

# COLLECTION DEVELOPMENT AND MANAGEMENT POLICY

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## **SMU Libraries Collection Development and Management Policy**

### **REVISION HISTORY**

<b>Revision Ref. No.</b>	<b>Status</b>	<b>Date</b>	<b>Document Reference Filename</b>
1.0	Approved	10/11/2014	Collection Policy 2014.docx
2.0	Approved	20/01/2022	Collection Policy 2022.docx

### **Purpose**

The purpose of this document is to set out the principles, guidelines and processes that inform the selection, procurement and management of information resources across SMU Libraries. While all effort has been made to ensure clarity and transparency to the various processes that make up collection development and management, it is by no means an exhaustive list.

Where situations arise that may not be covered by the policy, the issues can be escalated to the Head (Collections, Access and Technology) and tabled at the Collection Policy Committee as deemed appropriate or necessary.

### **Stakeholders and Curriculum**

SMU Libraries aim to support the teaching and research mission of the University through collecting print and electronic resources relevant to the research and curricular needs of its users. Along with research-focused centres, institutes and offices, the core of the collection supports the curricular and research interests of the following office and schools:

- Lee Kong Chian School of Business
- School of Accountancy
- School of Computing and Information Systems
- School of Economics
- School of Social Sciences
- Yong Pung How School of Law
- Office of Core Curriculum

### **Budget**

The development and management of the SMU Libraries' collections are guided by this policy within the scope of available financial resources. The University allocates funds to the Libraries for the acquisition and processing of resources. The Libraries' collection budget is apportioned as



appropriate by the Head, Collections, Access and Technology and is approved by the University Librarian. The budget includes both on-going subscriptions as well as one-time acquisitions. Based on past acquisition trends and new areas of development, allocations are made for:

- Databases
- Serials (Print & Electronic)
- Books (Print & Electronic)
- Media (Physical & Streaming)

## Principles - General

1. SMU Libraries provide and promote access to information resources that support the teaching, learning and research endeavors of the University.
2. Collection development and management decisions will be strongly influenced by consideration of the following factors:
  - An emphasis on e-preferred collections, where possible, aligned to the University's strategic goal of digital transformation.
  - Focus on providing 'just in time' access to relevant print and electronic resources, emphasizing availability at the point of need.
  - The finite space available for SMU Libraries collections on-site.
3. Research librarians, in consultation with faculty and other University stakeholders, are responsible for selecting and evaluating resources to meet the teaching, learning and research needs of the SMU community. Purchase decisions are endorsed by Head, Collections, Access and Technology.
4. Consultation with SMU's research and teaching community will determine the needs for each subject discipline. It should be noted that SMU Libraries cannot meet every need from their own collection; all effort would be undertaken to meet more specialized research needs through interlibrary loans (ILL).
5. SMU Libraries will avoid unnecessary duplication of resources unless it is for the purpose of supporting teaching needs.
6. The effectiveness of the collections in addressing the needs of the community will be periodically assessed.
7. SMU Libraries aim for a comprehensive coverage of material by the University's authors.
8. Most resources selected are in the English language except for basic and representative works in any other language taught at SMU. Exceptions to this are foreign language dictionaries, encyclopedias, and other resources determined to be necessary to support the curriculum and research.
9. The following selection criteria apply to all collections regardless of format:
  - Quality of content
  - Cost
  - Suitability of format to content
  - Authoritativeness of the author or creator
  - Reputation of the publisher
  - Currency and timeliness
  - Scope



## Principles – Format/Collection specific

### Books

SMU Libraries acquire both print and electronic books (e-books) based on the teaching, learning and research needs at the University. Multiple-user, concurrent access and Digital Rights Management (DRM) free formats are preferred in the acquisition of e-books. Books which are licensed to an individual user, accessible via publisher assigned link/access codes, will not be acquired.

### Duplication / Multiple copy guidelines

In general, SMU Libraries will avoid retaining multiple copies of resources. Exceptions will apply in the following situations:

- Copies needed in more than one location (e.g. Special Collections and Reserves)
- Different versions of a work
- High-demand resources (to be capped at a maximum of 5 copies across the Libraries)
- Reserves titles which support large student enrolment

For e-books, the decision to purchase fewer or no printed copies will depend on the access model and suitability for the subject area. For titles with considerable demand for both print and electronic copies, SMU Libraries may consider acquiring copies above the guidelines.

### Reserves Collection and Reading Lists

SMU Libraries support student outcomes by providing and supporting reading lists within eLearn for undergraduate and postgraduate modules. Research Librarians liaise with faculty, as well as with the SMU Libraries' Collection, Access and Technology department to provide access to course materials through acquisition of print copies or e-books for reserves. Reproductions and redistribution of works (scanned readings) that are within legal copyright limits will also be supported by the Libraries.

The Reserves collection provides short-term loans of 3-hours, in support of current modules offered at SMU. The collection is refreshed every semester. The following guidelines will apply in terms of quantity to be purchased/subscribed for course readings:

- Course Reserves: 1 print copy per 45 students on 3-hr Loan (maximum of 5 print copies)
- E-books (Perpetual access): 3-user access / unlimited access is preferred option when available. Single-user license will be purchased in the absence of other options.
- E-Textbooks (subscribed access): Single-user access per 45 students on 2-hr loan, with a maximum of 10 concurrent accesses

Faculty can request for adjustments to the number of copies by contacting their Research Librarian.



## Open Educational Resources

Open Educational Resources (OER) are digital resources, freely available for use, with few or limited copyright restrictions. Selected Open E-books and Open E-journals are curated in alignment with the University's focus areas and are discoverable through the Library search and in Research Guides. Requests or recommendations to add Open E-books / Open E-Journals to the Libraries' collection will be evaluated based on the resources' suitability and relevance to SMU's teaching, learning and research focus areas.

## Electronic Resources

SMU Libraries provide access to electronic resources including databases and datasets. In addition to the general selection principles, the following applies:

1. Permitted users – Access to be provided for all staff, faculty and students (full- and part-time) within contractual permissions
2. Cost – Reasonable, value for money and sustainable as compared with titles of similar scope and nature. In the case for renewals, incremental cost is considered. Multiple year contracts with price lock can be considered for key and well-used titles.
3. Access – Online with authentication via IP, via EZproxy, or SAML. Titles that require manual login accounts can be considered if and only if we could establish other means of access control. For example, login accounts can only be created via EZproxy; Login can be restricted to terminals within the Investment Studio. Where possible, resources are made searchable on Libraries' discovery platform.
4. Feedback from users – For new titles, a trial is conducted and shared with all potential users from the community to gauge their interest in the resource. Based on their feedback and other factors, SMU Libraries will consider the purchase or subscription of the resource. For renewals of existing titles, feedback from existing users could be included to support renewal decisions.
5. Usage – For renewals, we will review based on past years' usage and cost per use as compared with other resources.
6. License terms must comply to Libraries' Appropriate use of Electronic Resources Policy and/or be accepted by Office of Legal and General Affairs.
7. Ease of use

## Digital files

Digital files (including electronic books, reports, PDF files, datasets) will only be considered if the content is not available in another, more accessible format and that the content provider gives permission to host and disseminate the content to our users via our Library Management System.

## Serials

SMU Libraries subscribe to serial publications including journals, magazines, newspapers, standing orders, and loose-leaf services.



## Journals/Magazines

In addition to the general selection principles, the following applies:

1. Coverage
2. Availability in aggregator's databases
3. Open access availability
4. Post-termination rights
5. Journal Impact Factor
6. Preference for online version with the following exceptions:
  - Titles with no electronic equivalents (e.g. Singapore law titles)
  - Titles that are subscribed as "Print + Electronic" bundles
  - Course reading titles (e.g. Harvard Business Review)
  - Law titles (Selected print titles and duplicates are kept for historical research and reference purposes)
  - Lifestyle titles

Titles for permanent retention are to be bound and kept at Closed Stacks.

## Newspapers

The Libraries' newspaper collection comprises selected domestic and international titles in print, as well as online newspapers and commercial aggregated electronic news products.

## Loose-leaf titles

Primarily legal materials, the physical book/binder upon purchase is periodically updated via a loose-leaf updating service provided by the publishers or book vendors. Titles are reviewed regularly in consultation with the Research Librarians.

## Media

SMU Libraries provides a media collection of DVD titles for general and course-related viewing, in particular for broadcasts that are not available digitally (e.g. CNA programmes). Titles are purchased in accordance with IMDA guidelines. Restricted titles are kept at the Library Service Desk for controlled access.

The Libraries also subscribe to streaming service providers which offer educational / institutional licensing options (e.g. Films On Demand, Kanopy).

## Institutional Knowledge

The institutional repository known as InK, (Institutional Knowledge @ SMU) manages the research and scholarly works of the SMU community. Works in InK include:

- Publications and research outputs, (e.g. journal articles, conference proceedings articles), by faculty and staff with SMU affiliation
- Publications by existing SMU faculty prior to joining SMU
- Scholarly publications (e.g. journal articles, reports) by the schools, institutes and centres





- Publications and research outputs by SMU postgraduate students, especially theses and dissertations

More information on the scope of InK can be found in [InK's collection guidelines](#).

### **Research Data Repository**

The Research Data Repository (RDR) manages the research data of the SMU community. Works in RDR include research data used in SMU research, which may include but is not limited to numerical, textual or visual data, original or derived datasets, software codes, audio or video recordings, field notebooks, interviews and questionnaires. The research data in RDR are to be minimally retained for 10 years from date of publication.

More information on the terms of use for RDR can be found in [RDR User Guide](#).

### **Special Collection**

Special Collection refers to print resources and other physical media resources that have restricted access for purposes of preservation. Resources in the Special Collection include:

- **SMU Faculty publications**  
Scholarly works authored or edited by SMU Faculty. Books authored / edited by current full time SMU Faculty will be acquired for both the Lending and Special Collection. E-books with perpetual access are preferred. Books with chapter contributions by SMU Faculty, and works by Adjunct Faculty, will be acquired for the Lending Collection only.
- **Commemorative publications**  
Selected commemorative publications by SMU or government agencies may be collected for preservation and reference purposes. Newsletters, annual reports, and other publications by SMU schools, offices and centres will not be collected.
- **SMU dissertations / theses**  
Undergraduate and postgraduate theses submitted to the University will be made accessible by the Libraries. Print copies of theses prior to AY2020 are in the Libraries' Special Collection and are accessible upon request. Electronic copies of undergraduate theses are available via the Library search. Electronic copies of Master's theses and Doctoral dissertations are available in InK.
- **Others**
  - Rare materials
  - Materials in a fragile physical condition
  - Second copies of Singapore Law Publications



### **Closed stacks**

The Closed Stacks houses a collection of older resources that have low use and minimal evidence of check-out activity. These materials are not deselected as they may still hold some relevance to the University's focus areas. Items in closed stacks are available for loan upon request.

### **Miscellaneous collections**

#### **Lifestyle**

SMU Libraries collects popular and recreational titles in the following categories:

- Bestsellers
- Award winning fiction
- Nonfiction focused on personal development, hobbies and fitness
- Travel guides

#### **Exam papers**

SMU Libraries will create access to digital copies of past exam papers on the Libraries' website, when papers are submitted by the Schools. Decisions pertaining to posting of examination papers, as well as the frequency of updates lie with the Schools and faculty members of the Schools.

#### **Gifts & Donations**

SMU Libraries will not accept ad hoc donations of titles in all formats from the SMU community or the general public. Considerations may be given to titles that are relevant to the University's focus areas and titles that enhance the Libraries' collections, for example, books written by faculty or rare/out of print titles that are aligned with our selection principles. Financial donations from organisations will be referred to and administered by the SMU Office of Advancement.

#### **Ephemera**

Ephemera are transitory written or printed materials which include posters, pamphlets, postcards, flyers, slides, photographs and catalogs. SMU Libraries may collect ephemera selectively, if they are primary source material required to support research or an initiative of the university or the institutional repository, or to augment a library service.

#### **Exclusions: Other Materials & Publications**

The following publications are generally not acquired or collected by the Libraries:

- Coffee table books
- Conference proceedings
- Annual Reports
- Resources in an obsolete format (i.e. Microfilms and microfiches, VHS tapes)
- Juvenile publications
- Restricted / Banned publications



## Procurement – Acquisitions and evaluation

SMU Libraries comply strictly to SMU's Procurement Policy and Procedure (PPP) when acquiring library materials to support transparency, value for money and fair competition. Refer to the Procurement of Library Resources document (Intranet access only) for more details.

### Demand Driven

SMU Libraries provide access to collections of academic E-books and streaming video where users can automatically trigger acquisition of items when used.

### Standing order

Monographs which are issued as continuing resources or in multiple parts or as part of a series may be placed on a standing order with a publisher or book vendor, until the completion or cancellation of the series. Standing orders are auto-shipped to the Libraries, upon the publication of a new volume in the series. New titles to be placed on standing orders must be approved by the Lead, Collections, Acquisitions and Discovery.

### Third-party/used book purchasing

When items are out-of-print and unavailable either electronically or through Interlibrary Loan, SMU Libraries will attempt to purchase materials through third-party vendors (e.g. Abebooks, Amazon). Copies must be 'New,' 'Like New,' or 'Very Good' and unmarked.

## Cooperative Purchasing with other SMU departments

SMU Libraries purchase or subscribe to resources jointly with the schools, institutes, centres, and offices, as appropriate. SMU Libraries will request co-funding of a resource, typically a subscription to a database or dataset for the following reasons:

- The resource is primarily used for research purposes and will only benefit a small group of users
- Access to the resource is restricted, typically via individual login accounts and cost is dependent on the number of licenses subscribed.
- Cost of the resource is high and its usage is uncertain

Regardless of whether resources are funded in part or wholly by another school, centre or office, SMU Libraries will assume responsibility for administration, i.e. managing the licensing, authentication, and discovery of the resources.

## Consortium

SMU Libraries engage in cooperative collection development, resource sharing, and licensing of resources. SMU Libraries is an active participant in SAULeres, the e-resources sub-committee of



the Singapore Alliance of University Libraries made up of the autonomous universities in Singapore. SAULeres is committed to partner publishers and agencies to enhance access and expand e-resources at sustainable pricing for the universities.

### **Databases (Evaluation)**

Library databases are evaluated as part of the renewal process prior to expiry. Aside from the selection principle mentioned above, in support of the recommendation for renewal or cancellation, an evaluation metric comprising of the following factors: Student success, faculty success, uniqueness of the resources and flexibility of subscription.

### **Journals/Magazines (Evaluation)**

Library journals and magazines are evaluated once every two years based on the selection principles and their past usage trend.

## **Collection Management**

### **Stock-taking**

SMU Libraries will undertake a stock-taking exercise on a periodic basis, with the time gap between the exercise not exceeding three years. The purpose of this exercise is to ensure that the Library's catalogue accurately reflects the holding of materials and if necessary, to replace important and/or well-used missing titles.

### **Deselection**

Deselection/weeding is essential to ensure a relevant and up-to-date collection and is applicable to:

- Physical collections (Books, Journals, ephemera and Audio-Visual Materials)
- Electronic collections (Books, Journals, Indexes, Datasets and other online content)
- Digital collections (locally hosted content)

Deselection decisions will consider the following factors:

- Relevance to University's focus areas
- Usage statistics
- Age of publication
- Duplication
- Wear and tear

The following materials will not be deselected:

- Resources on current reading lists
- Resources deemed valuable or significant



- Resources that are deemed core or seminal works
- Resources which have a high circulation
- Faculty publications
- SMU theses and dissertations (both print and digital)

The [Deselection policy](#) provides details on applicable considerations for deselection and the suggested frequency on deselection exercises in SMU Libraries.

### **Replacement**

Materials which are damaged or missing may be replaced upon evaluation of the title. Decision on replacement will consider the existing coverage of the subject area in the collection, prior and potential usage of the title, applicable costs, and the availability of the resource in the market. If an up-to-date edition of the resource is available, the most recent publication will be acquired unless the older edition is required for reference or preservation. When purchasing replacements, preference will be given to an electronic version of the title.

### **Preservation**

Library materials which are damaged may be repaired, sent for binding, replaced or discarded, upon evaluation. Media and electronic resources which has become technologically obsolete may be transferred to a more relevant format, within provisions of the Singapore copyright law.

### **Interlibrary Loan (ILL)**

SMU Libraries' Interlibrary loan (ILL) service obtains books, book chapters, and journal articles for university-related research, learning and teaching, that are not available in the SMU Libraries collection. ILL services are provided at no charge for eligible users from SMU. [The Interlibrary Loan Policy](#) gives details of this service.

### **Copyright**

All resources provided by SMU Libraries are for educational, scholarly and research purposes only. The resources, which include print, online exhibits and digital collections are to be used in accordance with copyright regulations and applicable limits pertaining to educational use.

### **Policy Review**

This policy will be reviewed every three years by the Collections Policy Committee (CPC), in conjunction with the Library Planning Team (LPT) to ensure:

- The effectiveness of its guidelines and processes in meeting the needs of the SMU community
- It reflects and adopts the evolving best practices of the library industry within the context of the University.