

# COLLECTION DEVELOPMENT AND MANAGEMENT POLICY



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

### REVISION HISTORY

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2.0	Approved	20/01/2022	Collection Policy 2022.docx
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### **Purpose**

This document outlines the principles, guidelines and processes governing the selection, procurement and management of information resources at SMU Libraries. While efforts have been made to ensure clarity and transparency to the various processes that make up collection development and management, this document is not exhaustive.

Situations not explicitly covered by the policy should be escalated to the Head (Collection Management & Strategies) and tabled at the Collection Policy Committee as deemed appropriate or necessary.

### **Stakeholders**

SMU Libraries support the University's teaching and research mission by providing access to print and electronic resources tailored to meet the curricular and research needs of the SMU community, including schools, colleges, offices, centres and institutes.

### **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 (Collection Management & Strategies) and is approved by the University Librarian. The budget includes both on-going subscriptions and one-time acquisitions. Based on past acquisition trends and new areas of development, allocations are made for:

- Databases
- Datasets
- Research Software
- 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 the following factors:
  - An emphasis on e-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. Collection Management & Strategies (CMS), in consultation with faculty, library staff and other University stakeholders, is responsible for selecting and evaluating resources to meet the teaching, learning and research needs of the SMU community. Purchase decisions are endorsed by Head, Collection Management & Strategies
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 its own collection; all efforts would be made to fulfill specialized research needs through interlibrary loans (ILL).
5. SMU Libraries will avoid unnecessary duplication of resources unless required to support teaching needs.
6. The effectiveness of the collections in addressing the needs of the community will be periodically assessed.
7. SMU Libraries aims for 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:
  - Scope and relevance
  - Quality
  - Currency
  - Cost
  - Authoritativeness of the author or creator
  - Reputation of the publisher
  - Suitability of format to content

## Principles – Format/Collection specific

### Books

SMU Libraries acquires both print and electronic books (e-books) based on the University's teaching, learning, and research needs. Preference is given to e-books that support multiple-user



concurrent access and are free from Digital Rights Management (DRM). Books licensed to an individual user and accessible only via publisher-assigned links/access codes will not be acquired.

### Reserves Collection and Reading Lists

SMU Libraries supports student learning outcomes by curating and maintaining reading lists within the eLearn platform for both undergraduate and postgraduate modules. The CMS team liaises with faculty to facilitate access to required course materials through the acquisition of print copies and e-books for the Reserves Collection, as well as through digitised readings reproduced and redistributed within the bounds of applicable copyright legislation.

The Reserves Collection operates on a short-term loan basis and is refreshed each semester to align with current module offerings. Reserve items are available on 3-hour loans to ensure equitable access across the student population. The following guidelines govern the quantity of materials acquired or subscribed to for course readings:

- **Course Reserves (Print):** One print copy per 45 enrolled students, on a 3-hour loan period, up to a maximum of 5 print copies per title.
- **E-books:** Multi-user or unlimited access licenses are preferred when available. Single-user licenses will be acquired only where no alternative licensing model exists.
- **E-textbooks:** One concurrent user access per 45 enrolled students, on a 2-hour loan period, up to a maximum of 10 concurrent accesses per title.

Faculty requiring adjustments to the number of copies or access licenses for their modules are welcome to contact the Libraries directly.

### Duplication and Multiple Copy Guidelines

SMU Libraries operates under a general principle of avoiding unnecessary duplication of resources within its collections. Exceptions are made in the following circumstances:

- **Multiple locations:** Where a title is required across more than one collection (e.g., Special Collections and Reserves).
- **Different versions:** Where distinct editions or versions of a work each hold independent scholarly or practical value.
- **High-demand resources:** Where demonstrated demand justifies additional copies, subject to a maximum of 5 copies held across the Libraries.
- **Reserves titles with high enrolments:** Where a title supports modules with substantial student enrolment, additional copies may be acquired in accordance with the Reserves collection guidelines outlined above.

For e-books, the decision to reduce or forgo print acquisitions will be guided by the applicable access model and the suitability of electronic delivery for the relevant subject area. In cases where there is considerable and sustained demand for both print and electronic formats, SMU Libraries reserves the discretion to acquire copies beyond the thresholds specified in these guidelines.



## Open Resources

SMU Libraries supports the inclusion of Open Resources in its collection to promote equitable access to scholarly and learning materials.

- Open Access (OA) titles are scholarly works such as books, journals, and other digital assets that are freely available online for anyone to read, download, and use, often with minimal copyright restrictions.
- Open Educational Resources (OER) are freely available teaching, learning, and research materials, with few or limited copyright restrictions, which may include open textbooks, lesson plans, course materials, and multimedia content.

Selection and curation of OA and OER materials are guided by their relevance, quality, and alignment with the University's academic and research priorities. These resources are discoverable through the Library's search platforms and research guides.

## Electronic Resources

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

1. Permitted users – Access is provided for all staff, faculty and students (full and part-time) within contractual permissions. Alumni and Professional & Continuing Education (PCE) users can be granted access if specific conditions are met.
2. Cost – Reasonable, value for money and sustainable compared to 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 core and well-used titles.
3. Access – Online with authentication via IP, via EZproxy, or SAML is required. Titles that require manual login accounts can be considered if and only if we could not 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 & Data 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 with the Libraries' Appropriate use of Electronic Resources Policy and/or be accepted by Office of Legal and General Affairs.
7. User interface – Platforms must be easy to use and intuitive

### **Research Software**

SMU Libraries provides access to software and digital tools that support various stages of the research lifecycle, enhancing research capabilities and improving overall efficiency.

### **Digital Files**

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

### **Serials**

SMU Libraries subscribes to serial publications including journals, magazines, newspapers, standing orders, and loose-leaf services. 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 / Citescore
6. Schools' Journal Publication Lists (A\*/A titles)
7. 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

### **Newspapers**

SMU 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, these physical books or binders are periodically updated upon purchase via a loose-leaf updating service provided by the publishers or book vendors.



## Media

The media collection consists of DVD titles which are used for courses and is part of the course reserve collection. Restricted titles are kept at the Service Desk for controlled access. Titles are purchased in accordance with IMDA guidelines.

SMU Libraries also subscribe to streaming service providers which offer educational / institutional licensing options (e.g. Films On Demand, Kanopy). For media titles available through other streaming services that do not offer institutional licensing options, e.g. Netflix, it is recommended that users access these platforms with their own personal accounts, adhering to permissions granted by each service.

## Institutional Repositories

### Institutional Knowledge (Ink) @ SMU

InK showcases the research and scholarly works of the SMU community. Works 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](#).

### SMUseum

SMUseum stores the digital materials of historical and archival value to SMU from across SMU's schools and departments into a central repository for preservation and long-term access.

More information on the scope of SMUseum can be found in [Digital Preservation Policy](#).

### 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 the date of publication.

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



## Special Collection

Special Collection refers to print resources and other physical media resources that have restricted access for preservation purposes. 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 acquires popular and recreational titles in the following categories:

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



### **Gifts & Donations**

SMU Libraries does not accept ad hoc donations of titles in any 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 or out-of-print titles that are aligned with our selection principles. Financial donations from organisations will be referred to and administered by the SMU's 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 obsolete formats (i.e. Microfilms and microfiches, VHS tapes)
- Juvenile publications
- Restricted or banned publications

## **Procurement – Acquisitions and evaluation**

SMU Libraries complies strictly with SMU's Procurement Policy when acquiring library materials to support transparency, value for money and fair competition. When acquiring new materials, we will consider the depth of our existing collections and the availability of items to avoid unnecessary redundancy.

### **Demand Driven**

SMU Libraries provides access to collections of E-books and streaming videos where users can automatically trigger the 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.



### **Third-party or used materials purchasing**

When items are out of print and unavailable electronically or through Interlibrary Loan, SMU Libraries will attempt to purchase materials through third-party or used materials vendors. Purchased items must be in good condition and free of excessive damage.

### **Cooperative Purchasing with other SMU departments**

SMU Libraries purchases or subscribes 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 engages 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 partnering with publishers and agencies to enhance access and expand e-resources at sustainable pricing for the universities.

### **Databases (Evaluation)**

Databases are evaluated using a structured framework that assesses and scores each title against the following criteria:

- Alignment with teaching and coursework
- Contribution to research excellence and impact
- Support for institutional service delivery
- Uniqueness of content
- Usage trends and patterns

Based on the scoring matrix, titles are classified as either core or non-core titles. This assessment is conducted once every three years.

Renewals of core titles proceed through a streamlined workflow upon expiry. For non-core titles, continuation of the subscription would require additional justifications from relevant stakeholders, including faculty, administrative staff, and library staff, to ensure ongoing alignment with user needs and institutional priorities.



## Journals/Magazines (Evaluation)

Similar to databases, journals and magazines are evaluated using a structured framework based on the following criteria:

- Inclusion in the School's Journal Publication Lists
- Top 25% Usage (past 2 years)
- Top 10% Citescore Percentile
- Subject Matter Expert's Opinions

Individual titles are classified into core or non-core categories within a tier system. Non-core titles would require additional justification before they are renewed.

In addition, the renewal of journals is often interdependent within bundled subscription models, such as Big Deals (i.e. subscriptions that combine subject packages with individually subscribed titles) or Transformative Agreements (i.e. "Read and Publish" agreements that cover both access to subscription contents and open access publishing). In such cases, assessments may extend beyond individual titles to consider the overall value, cost-effectiveness, and strategic importance of the package or agreement as a whole.

## Collection Management

### Stock-taking

SMU Libraries will undertake a stock-taking exercise every 3 years. The purpose of this exercise is to ensure that the Libraries' catalogue accurately reflects the Libraries' holdings and where necessary, to replace important and or well-used missing titles.

### Deselection

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

- Physical collections (books, journals, and audio-visual materials)
- Electronic collections (books, journals, indexes, datasets and other electronic materials)
- Digital collections (locally hosted materials)

Physical collection deselection will be carried out every 3 years, The Libraries will consider the following factors:

- Relevance to the University's focus areas
- Usage
- Age of publication
- Duplication
- Physical condition
- Obsolete formats



The following materials will not be deselected:

- Resources on current reading lists
- Resources deemed valuable or significant
- Resources deemed core or seminal works
- Faculty publications in Special Collection
- SMU theses and dissertations

Where feasible and at SMU Libraries' discretion, certain deselected materials may be designated for donation or giveaway.

Digital collections hosted locally in the library management system follow the same deselection conditions as physical resources. Electronic collections may be subscribed annually or purchased with perpetual access. Subscriptions are reviewed regularly and renewed if still relevant. Materials with perpetual access are not subject to deselection because they remain hosted by the provider.

### **Replacement**

Materials which are damaged or missing may be replaced upon evaluation of the title. Decisions on replacement will consider the relevance of the title, potential usage costs, and the availability of the resource. When purchasing replacements, preference will be given to newer editions and electronic versions of the title.

### **Preservation**

Library materials that are damaged may, upon evaluation, be repaired, sent for binding, replaced, or withdrawn. Media and electronic resources in obsolete formats may be transferred to a more relevant format, within the 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](#) provides 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 5 years by the Collection 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.