

# **Utah State University Libraries Collection Development Policy**

Utah State University is a comprehensive doctoral university and the land grant university for the state of Utah. The University Libraries are committed to promoting the university's mission of serving the community through learning, discovery, and engagement. The Merrill-Cazier Library is the university's primary research library, supporting research, teaching, and learning for faculty and students on the Logan campus as well as at all USU regional campuses and centers. The Library is also committed to the University's land grant mission and strives to provide information resources to the people of the state of Utah, as far we are able within legal and budgetary limitations.

The Library collects materials broadly across all subjects in order to contribute to general education in all university disciplines, but we primarily focus on the specific areas in which our faculty members conduct research or teach. We have historic strengths in the agricultural sciences, the history and culture of the Intermountain West, folklore, and the history of the Church of Jesus Christ of Latter Day Saints. The Library also has at times and over the years developed smaller, specialized collections such as those focusing on the generation of Beat poets or California modernism. Currently, the only area in which we continue to collect materials somewhat exhaustively is the cultural and environmental history of Utah.

This policy is intended to describe the broad collecting philosophy driving the acquisition of materials that the Library makes. It also provides a high-level overview of budget sources, format preferences, and acquisition policies. It is not intended to provide subject-level guidance for the content acquired.

## **Collection Budgets**

The Library receives funds through a number of channels and allocation of the materials budget is driven by the current research and teaching needs across all USU campuses. While the budget opens each year based on the prior year's spending priorities, the Library annually re-allocates funds to adjust for changes in university priorities, academic programs, faculty research foci, pedagogy, and distributed education needs. The Associate Dean for Technical Services, in conjunction with the Head of Collection Development and with input from subject librarians representing the university's academic departments, prepares the budget prior to the beginning of the fiscal year.

The materials budget is comprised of several sources including state appropriated E&G funds, funds from the state Regents distributed through the Utah Academic Library Consortium, student fees, and a limited number of endowed funds. The Library initially allocates funds by format: serials, books, audio-visual materials, and

databases. The book budgets are further broken down by subject area, however other formats (serials, media, etc.) are funded in aggregate.

Information resources regularly experience significant price increases above the consumer price index; therefore, unless the Library receives new appropriations for inflation, our buying power is eroded and we must consider cuts. For one-time purchases such as books and AV material, this means that we end up buying fewer titles in each subsequent year. For continuing resources requiring subscriptions (serials or databases), we are often forced to cut existing titles on an annual basis. Thus, unless we receive new funds, the Library cannot consider adding new subscriptions without identifying a corresponding cut.

## **Collecting Guidelines**

The Library evaluates materials on a number of criteria to ensure that we are providing the most appropriate materials to support the University's mission. For all acquisitions, we consider the following:

- Relevance to the research and teaching needs of current faculty
- Currency of information
- Appropriateness of content level
- Quality of publisher and authority of author
- Language of publication (English is generally preferred with the exception of materials supporting language instruction)
- Price
- Demand by local users
- Redundancy with current collection holdings

When considering electronic formats, the library also evaluates the following:

- Effectiveness and functionality of the interface
- Provision of perpetual and archival rights
- Licensing requirements and restrictions
- Technical requirements including operating systems, authentication mechanisms, and browser support
- Provision of usage statistics
- Guarantees of patron data privacy
- Accessibility provisions per the ADA

## **Consortial Relationships**

The Libraries participate in appropriate consortial relationships that maximize our ability both to provide enhanced access to other research collections as well as to achieve better pricing on materials added to our own local collections. Our primary consortial relationships are with the Greater Western Library Alliance (GWLA) and the Utah Academic Library Consortium (UALC), both of which provide reciprocal borrowing agreements among member institutions, resource sharing agreements, and access to shared purchasing and licensing agreements.

The Library is also a member of several other initiatives that both broaden our constituents' access to research collections as well as allow us to make de-selection decisions with more confidence:

- The Center for Research Libraries (CRL) is an international consortium of research libraries, supporting advanced research in the social sciences and the humanities. CRL collects global resources, international theses and dissertations, primary source materials, historic newspapers, and other rare materials in a shared collection that are available for extended physical loan and occasionally digital copy to researchers at member libraries.
- The HathiTrust is a partnership of over 90 major research institutions working to build a shared digital collection of library materials. The collection serves as a reliable archive for member institutions and makes millions of items available in digital format to their patrons. HathiTrust is also working to provide accessible digital copies of most library materials held by members to patrons who have print disabilities.
- The Western Regional Storage Trust (WEST) is a distributed retrospective print journal repository that preserves the scholarly record while also allowing member institutions to reclaim space in their facilities and maintain reliable access to de-accessioned titles.

## **Formats**

The Library acquires materials in a variety of formats. Generally, we prefer to acquire an electronic rather a tangible copy of a title for our general collections whenever possible in order to facilitate ease of access regardless of patrons' physical locations. Through the acquisition of electronic resources, we are more easily able to meet the need for current materials on our regional campuses. The Library will purchase print titles and other tangible formats at the request of patrons who demonstrate a need for a specific title.

### **Books:**

There are several acquisition channels through which books arrive. The Library receives print and electronic books through the traditional methods of approval plans and firm orders, as well as newer methods such as demand driven processes and access to shared collections through interlibrary loan. In order to ensure that

we target our collection to USU faculty and student needs, the Library has minimized “just in case” purchasing. Prospective buying is limited to titles that meet the core needs specific to the research and teaching taking place within individual USU academic departments. Newer purchasing models provide rapid access to content that might be considered more peripheral.

#### *Firm Orders*

The subject librarian for each academic department annually receives a small budget allocation, which is used at his or her discretion to prospectively acquire materials (books and media) for that department or fulfill requests. The budgets are based on historic spending but are re-evaluated annually based on changes in departmental programs, curriculum, and research. The subject librarian spends time becoming familiar with the research conducted and courses taught in his or her assigned department. Subject librarians then identify recently published and core book titles directly supporting the current teaching and research at Utah State. Subject librarians are responsible for determining whether firm order books are acquired in print or electronic format, although electronic format is strongly encouraged for most disciplines.

#### *Approval Plans*

The Library maintains a small approval program with a national book vendor. This profile attempts to prospectively identify core academic titles that many academic libraries might want to acquire for their collections. The approval profile is supported out of a separate and central book fund. While the profile is e-book preferred, both print and electronic materials are delivered, depending primarily upon date of first release. The subject librarians are responsible for profiling appropriate approval plans to meet the need of their assigned departments and periodically review the materials received as well as the profiles themselves.

#### *Demand Driven Acquisition*

Demand driven access to e-books allows the Library to stretch the collection budget to provide immediate access to a much wider variety of content than we could purchase prospectively. Many, if not most, of our peer institutions have been moving away from purely prospective collection building (firm orders and approval plans), instead gravitating toward more demand driven models of acquisition. Utah State University has always encouraged faculty members to submit book requests, which subject librarians use firm order budgets to acquire. Increasingly, however, we are looking for ways to better allow our patrons to drive more of our acquisitions.

Beginning in fall 2010, the Library implemented a program through which interlibrary loan requests for recently published books would be immediately converted into rush purchase requests. We now annually provide an allocation to this program called the ILS-POD (purchase on demand). This program has been so successful in terms of the use of materials acquired that we also implemented a full-scale demand driven acquisitions program directly through our library catalog. We

now import large-scale numbers of bibliographic records for electronic books in all subjects into our Library's online catalog, adding to the records every other week with new content. Patrons can immediately access new books and use for a 10-minute period will trigger a library purchase. This is a model that has worked well at many of our peer institutions.

### *Shared Collections*

Utah State University is a member of the Greater Western Library Alliance (GWLA), a consortium of 33 western research libraries from Missouri to California. Over the past several years, the consortium has been looking for ways to leverage our collective buying power to develop more of a shared collection. There is a robust GWLA interlibrary loan agreement, with benchmarks of delivering books within 4 days to consortium members. The success of the interlibrary loan agreement has allowed us to begin to think about our collective collections as a shared resource. The consortium has implemented an unmediated request service called BorrowItNow. The BorrowItNow service operates through a shared catalog powered by Relais International. The Relais system allows each library to scope its materials for loan and then to display material availability in real time. The BorrowItNow service provides rapid access to a vast collection of over 70 million items from 33 research libraries.

### **Textbooks:**

The Library does not purchase textbooks in support of current university classes. We do place copies of textbooks on reserve if course instructors provide them to us.

### **Serials (Journals and Ongoing Database Subscriptions):**

The Library maintains separate funds for journal subscriptions as well as electronic databases. These funds are not further allocated by discipline but are centrally managed. The serial subscriptions for both print and electronic content consume a considerable portion of the Libraries' budget, which means that recurring and inflationary costs limit our ability to add titles on demand in the same way that we do for monographic or other one-time purchases. Faculty members who would like to request new serial subscriptions contact their subject librarian, who can then work with Collection Development to review the request. Generally, the addition of a serial title requires the cancellation of another title of equal or greater cost. While we do not often undertake systematic cuts, we do regularly review our subscriptions for underutilized titles, which provides us with reserve funds that can be used for new subscriptions, provided they are not too expensive.

### **AV-Media:**

The Library maintains a small budget for AV-Media requests, which is centrally administered. The library generally does not acquire any media prospectively, relying on faculty requests to build this part of our collection. The Library will fulfill individual requests to purchase media items up to the currently established price cap. Academic departments or teaching faculty must assume costs exceeding \$300

per item. When we do acquire media, we prefer to acquire streaming rights when they can be acquired in perpetuity or the media is required for distributed classes. When streaming rights are unavailable or unreasonably priced, we will buy in other formats, preferring DVD.

The Library will advise faculty members on their rights and responsibilities when streaming media for educational purposes and will research the availability of streaming rights for the requested content. Balancing instructional need, copyright restrictions, and cost, the Library may choose one of several options for media access. Please see the Library's policy on *Digital Media for Instructional Purposes* for specific information (this policy also includes current price caps for media acquisitions).

### **Data Sets:**

The Library generally does not acquire data sets and considers this type of resource the responsibility of the individual faculty researcher or his/her academic unit. If the data has a demonstrated, broad, multi-disciplinary value or is consistently used for student work, the Library reserves the right to consider data products on a case-by-case basis.

### **Federal Documents:**

The Merrill-Cazier Library is the regional federal document repository for the state of Utah. This collection is open to the public during the Library's normal business hours and complies with policies established by the Federal Document Library Program (FDLP).

### **Licensing:**

To acquire most electronic resources, the Library generally must execute a content license. In order to maintain scalable processes on our list of several thousand titles, we prefer the following for our resource licenses:

- Vendors must be able to provide IP authentication for access to the content. We absolutely will not subscribe to content that requires that the Library maintain a login and password for access.
- In order to flip print journals to electronic format, we require that the vendor guarantees and documents our post cancellation perpetual access rights to the electronic content for which we have paid.
- The license must not stipulate overly restrictive limitations on typical local use such as printing, displaying, or saving content.
- We cannot agree to indemnification clauses or restrictive terms that force the Library to assume responsibility for the actions of end users.
- Choice of law and jurisdiction cannot be external to the state of Utah and should preferably be in Cache County, Utah.
- The license should permit us to provide remote access via our proxy to all USU sites, including our Eastern campuses.

- The license should permit walk-in use by visitors to our facility.
- The license should permit interlibrary loan, scholarly sharing, and, preferably, deposit in our institutional repository by faculty authors.
- Changes to the license must be in writing.

## **Leisure Materials**

The primary function of the University Libraries is to support research and teaching; however, we also maintain a very limited collection of popular books and media to provide leisure opportunities for students, faculty, and staff. These materials are primarily funded through our student fees.

## **Gifts**

The University Library welcomes gifts that support the current teaching and research needs of our faculty. Our requirements for gifts in kind donations are outlined in our policy entitled *Guidelines for Acceptance of Gift Materials*.