

UNIVERSITY OF NORTHERN IOWA

ROD LIBRARY

Collection Management Plan

The Rod Library's Collection Management program is designed to assist librarians, staff, faculty, students, and donors in the decision-making processes that support the cooperative building of the University of Northern Iowa Rod Library's collections. These collections will support University values such as academic freedom, access, accountability, diversity, and engagement.

Collection Goals and Strategies

Rod Library's goal is to meet the information needs of the community at the University of Northern Iowa, a comprehensive university. To this end, the Library monitors curricular developments, societal needs, topics of current interest, and campus demographics. Members of the University community are encouraged to submit recommendations for new acquisitions.

The Library's collections have areas of strength or uniqueness that we also will actively maintain. Historical areas of strength include:

- Educational and pedagogical literature,
- Global history, in particular Iowa history and cultures,
- Mid-twentieth century English language and literature, especially American fiction,
- Psychology and counseling,
- Children's and young adult literature.

The subject emphases and formats also are determined with reference to University research interests and publication patterns. The collection primarily includes materials in English, although resources in other languages are acquired as circumstances merit. In terms of regional focus, the Library strives to collect materials with roots in Iowa and, to a lesser degree, the Midwest. The Library maintains the official UNI archives in the Special Collections and University Archives. Other specialized collections include the Youth Collection and the Fine and Performing Arts Collection, which administers the Rod Library Art Collection. The UNI Museums collection includes resources related to anthropology/world cultures, the history of education, institutional history, biology, and

geology. The parameters of each of these specialized collections are addressed in separate documents.

The Rod Library does not seek to maintain advanced research-level collections. Additionally, we will not maintain extensive resources outside of our stated scope in the areas of law, medical, veterinary, and agricultural materials. The Library does not purchase data sets at the present time and purchases textbooks on a limited basis. Going forward, we will collect non-English language resources only selectively.

Selected materials are available in digitized form. These include theses, dissertations, scholarly journals, art collections, and archival materials. Some of these materials are acquired in digital formats, while others are converted to digital formats by the Library. Additional materials will be added to the digital collections as time and funding permit.

The Library focuses its attention on providing collections and resources to meet the needs of our students and the teaching needs of the faculty, and only secondarily on meeting the research needs of the faculty, in part in response to budgetary constraints. In keeping with library collecting ethics, we will attempt to create and maintain collections that represent diverse viewpoints particularly but not exclusively in the areas of globalism, multiculturalism, and pluralism. The Library works toward providing formats accessible to individuals who have diverse needs and abilities.

Selection of materials, liaison with members of the teaching faculty, collection evaluation, and related activities are carried out by library faculty affiliated with the Collection Management and Special Services Department. Faculty from throughout the library serve as bibliographers for specific disciplines or collections under the direction of the Head of Collections and Museums. As part of materials selection, the bibliographer is expected to identify and select current and retrospective materials in diverse formats on a timely and continuing basis, to be ordered as funding permits. Funding for the acquisition of Library resources comes from a recurring materials budget provided by the University, Foundation accounts, Student Technology Fees, and monies realized through Library fines and replacement charges. The bibliographer is charged with developing and maintaining knowledge of local academic programs and research interests and of publishing patterns within particular disciplines; s/he also is expected to cultivate a familiarity with technologies applicable to Collection Management activities. The bibliographer is responsible for monitoring and revising parameters established for particular subject areas as part of the library's approval plan profiles. S/he works with bibliographers for related disciplines or collections to coordinate acquisitions. The experienced bibliographer is expected to identify areas of the collection that need assessment and to conduct evaluations of holdings in all

formats, applying the knowledge gained through the process to selection, deselection, and preservation decisions, and to long-term planning for collection development.

The next three to five years will see a shift in focus in the development of the Library's collection. The constraints on the materials budget during the last decade have made it impossible to keep up with new materials in print and electronic format. Because of that hard reality, librarians will need to focus collecting goals on the areas that will best serve the needs of a comprehensive university. Examples of anticipated areas of attention include STEM literature, materials that support the Culture and Intensive English Program, and innovative materials within selected disciplines. The creation of an institutional repository and increased digitization efforts mean the Library needs to enhance the information available on those subjects as well. With the UNI Museums now affiliated with the Library, there is an increased need to collect materials related to museums as well as materials in support of the collections and services provided by the UNI Museums.

There are certain resources that are rare, unique, of local interest, or part of our collections of distinction that will receive priority in our preservation and digitization efforts. These include materials on historical or rural Iowa, education, rural schools, Charles Fullerton and music education, and women's and gender studies, and a collection of boys books in series. The collection also includes regional periodicals, the *North American Review*, the Charles E. Grassley papers, the Lynn Cutler papers, Pocket and Signet books, and maps of the region.

Rod Library aspires to have collections of distinction in the areas of:

- UNI and the Cedar Valley,
- Greater Northeast Iowa area,
- Iowa events and people,
- Rural education,
- Local authors of note.

We are in the process of identifying our unique or little-held materials by drawing on Sustainable Collections Services reports. This information will assist us in shaping the collections in the future.

Parts of the collection will receive priority for retention in print form. These items include:

- materials in archives and special collections,
- scores,
- maps,

- children's and young adult literature,
- plays,
- Iowa history and culture,
- titles in unusual formats or with distinctive physical features,
- art books and exhibition catalogs, and
- botanical or medical books with plates and tip-ins.

Digital surrogates may suffice where trusted repositories exist and UNI can draw upon these repositories over time. Some of these trusted repositories include Five Colleges, Western Regional Storage Trust (WEST), Center for Research Libraries, Portico, HathiTrust, and Library of Congress American Memory.

In general, areas where currency is of particular importance include:

- computer science,
- rule books,
- travel guides,
- recreational fiction,
- test preparatory books, and
- directories.

In some instances, format is not significant or the digital format enhances access. These resources are ones we will not retain in physical format for extended periods of time in order to ensure currency of the collection.

Trends in local collection use include declining circulation and gate counts. There is heavy use of articles in electronic format and a preference for journal literature in electronic format, preference for streamed music, and increasing demand for DVDs. Future development of the collection will be based on several factors including but not limited to known use; cost per use; support of University curriculum, research, and strategic initiatives; and availability elsewhere. There is a need to evaluate EBSCO Discovery Service (locally branded as OneSearch!) statistics about use, website data, and statistics for all electronic resources for which they are available. We will continue to investigate alternative forms of access including streaming video.

The Rod Library currently is exploring the role it will play in regional and national archiving and resource-sharing efforts. The Library has no off-site storage. All materials are housed in open stacks or in Special Collections and University Archives. The Library will continue to explore opportunities to work with other libraries and consortia such as the Central Iowa Collaborative Collections Initiative (CI-CCI), Five Colleges, WEST, or

Iowa Private Academic Libraries (IPALs). Participation may be limited by budget, expertise, infrastructure, or space restrictions.

By collaborating with other institutions in building and evaluating collections, the Library aims to enhance access to materials that we do not own. It would also allow the library to use the materials budget in a more focused way. We may or may not duplicate holdings at partner libraries. In addition to increasing access, collaboration with other libraries would necessitate the implementation of planned retention and de-selection plans at all participating institutions. One potential impact of such an alliance that needs to be evaluated would be that our patrons would have limited access to fewer copies. In sum, by joining a consortium, the Library hopes to reduce the local footprint of the collection, maintain access to some low-demand items, increase dependability of long-term access, and increase the purchasing power of our limited budget.

The decision and policy making role of the Rod Library faculty will vary with the consortium. Whatever the consortium's policies, Rod Library will be attentive to meeting local resource needs and expectations.

The duration of the retention commitments also may vary by consortium. Confirmation of retention may include notes in the bibliographic records. The provision for "best copies" and piecing together complete journal runs will again depend on the particular consortium.

At this time, Rod Library has made a commitment to a shared print periodical program, but not to shared monograph retention and collection building. Issues to consider as the Library joins additional programs include:

- what provisions are in place to secure patron access to materials,
- how frequently materials can be delivered to campus,
- what is the length of the loan period and what provisions exist for renewals,
- what provisions are in place for digital delivery and/or print on demand access,
- what provisions exist for patrons from the institutions to use materials on-site, and
- whether patrons can request loans of long journal runs and groups of specialized materials.

Rod Library participates in a robust interlibrary loan program. There are consortial agreements for several database licenses such as ScienceDirect, Wiley Interscience, and Web of Science. A pilot project using the Get It Now document delivery service for materials published by Emerald is currently being conducted. The Interlibrary Loan unit uses the Copyright Clearance Center for additional document delivery.

Based on the recent feasibility study, the expectation is that the collection's physical footprint may be reduced by up to 30% over the course of a number of years. In this process, consideration will be given to established collection goals. Areas that have reached or are nearing capacity include the general stacks, music CDs, the Browsing Collection, and Special Collections and University Archives. The reduced footprint could be realized by adding compact shelving. Some of this reduction can be achieved by withdrawing duplicate copies and superseded editions and print journal volumes that remain available in stable electronic formats and collections. The digital collection will continue to grow.

The current floor plan needs modification in order to meet the needs of the collection, library services, and patrons. First and foremost, space has been allocated for the UNI Museums to move into the Library. Beyond the Museums, the faculty and staff envision a future environment where patrons can engage in more collaborative, digital, and creative work; have easier access to special collections materials; and have more spaces dedicated to exhibits and enhanced classrooms (e.g., CAT classrooms).

Collection Analysis and Decision Support Tools

Rod Library currently collects a variety of data to help in making data-driven collection management decisions. For print materials, the data include condition, number of copies, number of editions, use (both internal and external), pre-existing retention commitments, and established deselection policies. Data for electronic resources include use statistics and, in some instances, vendor-supplied article retrieval statistics. Wherever possible, the Library relies on COUNTER-compliant statistics. Other considerations include vendor interface usability. However, we cannot conduct a multi-point analysis with current tools. In addition to statistical data, bibliographers will make decisions on retention based on qualitative factors such as the need to represent diverse viewpoints and cultures as well as anticipated trends and user interest. Efforts will be made to identify and assess unmet needs and to provide for patron-driven acquisitions. Collections will continue to be built as funding allows.

The Library plans to complete a collection map of the circulating monograph collection using an outside vendor to analyze our holdings such as Sustainable Collection Services. Collection analysis can help us refine our collection building, provide guidance on areas of strength and weakness, and help shape future review and deselection.

Bibliographic Records, Discovery, and Access

Rod Library has complete and accurate bibliographic records for all materials in the general stacks and reference areas. Collections still undergoing retrospective conversion are maps, federal and state documents, and university archives. While there was a pilot program to acquire content information for some titles, the majority of anthologies and collections do not have contents notes, which limits access to the titles contained in the collections. The journal holdings statements are accurate. The holdings of monographic series can be found by searching the series title in the catalog. The Library has completed a comparison of the records in the online catalog against the records in OCLC WorldCat to verify that what we hold is adequately reflected in the database.

The Library has easy access to copy-level circulation data since 1989 and has been recording in-house usage since 2008/2009. Because of confidentiality and privacy concerns, circulation data is not linked to patron data once the item is returned. Easily accessed and interpreted data on interlibrary loan activity is not currently available. Recent advances in the interlibrary loan process have the potential to provide more information.

The Library's integrated library system is set to use the MARC 21 583 field to record information about processing, reference, and preservation actions. The field displays as a note to the public. This information will allow us to record retention decisions for ourselves or for any consortia we may join.

Selection for Retention in Open Stacks and Transfer to Special Collections

Rod Library's physical holdings are primarily available in open stacks. Retention decisions are based on at least one of several factors. These factors include:

- internal and external circulation and use statistics,
- circulation patterns,
- the number of majors and graduates as tracked by the Office of Institutional Research,
- faculty distribution,
- course offerings and the curriculum,
- known reference transactions and research consultation topics.

At this time, collection management is exploring changes in inter-institutional agreements. Consortial collecting is a topic of interest amongst several Iowa libraries, but it is in the beginning stages of discussion at the time of drafting this document.

Due to space and budget constraints and in support of the goals and objectives of the University of Northern Iowa and Rod Library, material that is accessible in high quality electronic format--through the UNI Institutional Repository, licensed databases to which the Library has long-term commitments or have well-established archives, or freely available e-collections--will generally not be duplicated in print form in the Library's collection. Some mitigating factors include usage and quality of the electronic image.

There are other mitigating factors as well that influence whether the Library will retain print material that is available electronically. Types of materials the Library will retain in both physical and electronic format include:

- collections of distinction (e.g., rural education),
- local and regional publications,
- items in the locked maps case,
- special collections and archival materials,
- material in unusual formats,
- items by local authors, and
- last print copies for any consortial partners.

Rare and valuable print material may be transferred from the open stacks to Special Collections to provide enhanced security. Access to these items may be limited, based on such factors as age, local interest, physical condition, monetary value, history of loss or mutilation, and distinctive physical features.

Criteria for Deselection

While Rod Library owns several unique collections, the guiding framework for collections review is that the University of Northern Iowa is a comprehensive-level institution. While there is research done by students and faculty, we do not collect at the same level as a research institution. The Library's goals for deselection include improved browsability, assurance of relevancy of the collections, and creation of needed physical space. In general, materials are withdrawn to improve the physical quality of the collections and to remove items that are inappropriate to a collection of a comprehensive-level institution.

Some collection analysis has been done in order to identify areas of the collection that might benefit most from weeding. Areas have been identified with consideration to the importance of currency or the historical record, the need for duplicate copies and superseded editions, fill rates, and obsolete formats. Ongoing deselection is preferred

over large, one-time projects for both staff and patrons, with the ongoing schedule to be determined by Bibliographers' Council.

In the past Rod Library has conducted deselection projects in communication with Technical Services and Access Services so that other departments are prepared and able to handle the withdrawal of large numbers of titles. Where possible, the Library attempts to secure digital access rights, such as via HathiTrust or other shared digital archives, before withdrawing materials. Once an item is withdrawn, Technical Services deletes the bibliographic record from the online system.

At present, the Library's deselection criteria are being revised to take into account the holdings of other libraries. There are several safeguards that can be implemented to prevent regrettable errors in weeding, such as checking the scope of WorldCat holdings and additional communication among the biographers and other departments. Rod Library seeks to involve the faculty by conferring with them about changes in curriculum. However, the Library does not seek permission to remove specific titles.

The rationale for withdrawing materials will be communicated to the wider campus community by the distribution of this policy, through e-mails and the library website, and by the bibliographers and the dean.

Disposition of Withdrawn Materials

The Library uses various means to attempt to find homes for usable withdrawn materials. The Library does sell some materials through Alibris as well as a book sale area in the building. We use the Needs and Offers (N&O) lists for federal documents. In the past, some withdrawn materials have been sent to other departments on campus. Future options to be explored include exchange lists and services such as Better World Books. If withdrawn materials cannot find a new home, they are recycled by City Carton.

Education, Outreach, and Communication

The Library is in the process of developing a plan for education of and outreach to the University and local communities. Faculty involved in the process of developing the plan include the Dean of Library Services; the Head, Collections and Museums; and the bibliographers.

In recent years the Library has engaged the University community in a number of ways. During the fall 2013 semester, university faculty and staff participated in the feasibility

study through open sessions, the steering committee, casual conversations, and a survey soliciting input on the Library's strengths and weaknesses.

The next few years will see the dissemination of the collection management plan (this document), establishment of a faculty collection management advisory group, and an evaluation of the faculty-library liaison program so that the Library is serving the information needs of the community to the best of its ability.

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