

## Collections Review Appendices

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## **Appendix A Membership of Collections Review**

Senior Vice-Principal Nigel Brown

Ann Smyth, University Court

College representatives

Humanities and Social Sciences

Professor Lindsay Paterson, School of Education (meeting 2 and 3)

Janet Rennie, College Office, (meeting 1)

Professor David Fergusson, School of Divinity (meeting 3)

Medicine and Veterinary Medicine

Dr Steve Morley

Professor David Dewhurst, Director of Learning (meeting 3)

Science and Engineering

Gail Duursma, School of Engineering (meeting 1 and 2)

Professor Simon Parsons, School of Chemistry (meeting 3)

Richard Battersby, User Services Division, Information Services (meeting 3)

Matthew Macpherson, EUSA President

Wayne Connolly, Librarian, Newcastle University

Sheila Cannell, Director of Library and Collections, Information Services

Elize Rowan, Head of Acquisitions and Metadata, Library and Collections,  
Information Services

Liz Stevenson, Head of E-Resources, Library and Collections, Information Services

Minute taker

Meeting 1 – Louise Hallows

Meetings 2-3 – Nancy Baxter

## **Appendix B Minutes of meetings**

University of Edinburgh

### **Library Collections Review**

**Thursday 1<sup>st</sup> December 2011, Ochil Room, Charles Stewart House, 12.30pm**

Present: Nigel Brown (Convenor)  
Sheila Cannell (Director of Library Services)  
Dr Steve Morley (MVM)  
Wayne Connelly (External representative)  
Gail Duursma (CSE)  
Janet Rennie (CHSS deputy)  
Ann Smyth (University Court)  
Matt MacPherson (EUSA)

In attendance: Louise Hallows (minutes)  
Nancy Baxter (minutes)  
Elize Rowan (Library and Collections)  
Liz Stevenson (Library and Collections)

NB welcomed attendees to this important review of how the University should support library collections, saying that the first meeting would be exploratory. He said that the aim of the review will be to look at how materials are managed and to ensure that they are managed appropriately in a research intensive institution like UoE. He also noted that there is a need to look at how expenditure is managed through the University and College contributions and to examine whether we are organised in the most effective way, to examine whether purchasing through bundles is beneficial. It is also necessary to consider the changing landscape, considering the current scale and ambition of UoE.

SEC highlighted to the group some areas the group will need to focus on during the review:

- Allocations: how the funding is allocated to the ‘materials budget’
- Expenditure in relation to comparator organisation
- How we decide what to buy
- Impact of collections including usage and return on investment
- Satisfaction with collections
- Future developments

The group were asked to scope out questions/points they deemed relevant to the work of this review. The following questions and points were raised in discussion:

- Buying the right books, ensuring that there is a robust process for managing acquisitions or core textbooks in multiple copy and other monographs in response to the needs of users. The process needs to be adaptable and flexible

to cope with the changing landscape, particularly with the unpredictability of the impact of ebooks.

- Withdrawals of material – consider a more active strategy of monitoring usage in more detail.
- Resource allocation – the level of funds from Colleges is variable – are the funds contributed from Colleges sustainable?
- Open Access – need to look at how this is managed and funded, now and into the future.
- Identify needs of the users from the collection, eg through the use of surveys to understand what real requirements are.
- Expenditure on books – this need to be maintained as many students/staff, particularly in the humanities, consider books in libraries (including site libraries) as a scholarly requirement in the way in which scientists consider research laboratories. There is also a heavy need for books in foreign languages which incur higher costs.
- Collaboration – Should we consider more collaborative work to deal with the issues? This could include national (Scottish or UK) or local arrangements, and the importance of the National Library of Scotland was highlighted.
- Increase the amount of digital resources – this is crucial for the equity of the students, both Online Distance Learning students, but also because some campus-based students are restricted in the places they can study. The centrality of the Main Library was noted, and consideration needs to be given to the amount of duplication which is acceptable between site libraries and the Main Library.
- Would it be beneficial for there to be an indication within the catalogue when a user has requested a resource but it has not been available? This would indicate the requirement for this material.
- It was suggested that the Library could adopt a ‘just in time’ rather than ‘just in case’ model to acquisition, but that this would not always work.
- It was suggested that there should be more robust and detailed analysis of gathered data to help with what is procured. Just looking at numbers is not enough, particularly in those instances where there are small numbers of users using highly specific items as an important part of their work.
- Book recommendations need to be more heavily scrutinised to evaluate the advantage to the collection and to users.
- There needs to be wider understanding about the extent to which bundles allow for flexibility and understanding what we can do about lesser-used materials in bundles.
- The needs of the researcher/scholar differ from the needs of students. This must be considered.
- How do we cope with the introduction of new Masters Programmes? Does the library get sufficient information about new courses and programmes?
- It may be appropriate to address the needs of Schools where satisfaction is in the red in more than one area (as per the NSS,PTES and PRES survey table provided in the background paper).

It was agreed that although the briefing paper provided a lot of the required data, more data is needed to fully understand the issues. The following data was requested for the next meeting:

1. The data provided in the briefing paper should be amended in 2 ways:
  - a. To exclude Imperial College from the main set of comparators
  - b. To provide comparisons with Scottish institutions – Glasgow, St Andrews and Aberdeen.
2. College reps to provide more information about the nature of the financial input from Colleges.
3. More information about the collections component of the Information Services budget, including staff, operating and collections costs, to provide a better picture of the total costs of procuring and making the collections available.
4. More information about the links to the National Library of Scotland.
5. Information on the funds and amounts being used to support Open Access publishing costs, preferably sub-divided by College. It was noted that this will be hard to accurately record due to those materials funded by research grants.

LH/SC  
January 2012

University of Edinburgh

**Library Collections Review  
Monday 16 January 2012  
Held in Room 1.09 Main Library Meeting Suite  
At 11:30am**

**Present:** Nigel Brown – NB (Convenor)  
Sheila Cannell – SC (Director of Library Services)  
Wayne Connelly – WC (External Representative)  
Gail Duursma – GD (CSE)  
Matt MacPherson – MM (EUSA)  
Dr Steve Morley – SM (MVM)  
Lindsay Paterson – LP (CHSS)  
Ann Smyth – AS (University Court)

**In Attendance** Nancy Baxter (Minutes)  
Elize Rowan – ER (Library & Collections)  
Liz Stevenson – LS (Library & Collections)

**1. Notes of previous meeting**

**Nigel Brown (NB)** asked the Group if there were any comments arising from the notes of the last meeting held on 1 December 2011. It was noted that that the discussion had been wide-ranging and, the Minutes were agreed as a true and accurate record. **NB** outlined the agenda for the meeting, and advised that the next meeting being held on 23 February 2012 will be to finalise discussions and make recommendations to the University.

**12. General comments**

**NB** asked the Group for any general comments. The following were made:-

- **SM** requested that the remit of this Group be made clear as to what the importance of unique Collections has in this review. **SC** noted that research data is beyond the remit of this Group. **NB** confirmed that this Group is focussed primarily on library books and e-journals, not Collections in the more general sense.
- **SM** noted that Collections are 'all encompassing' and that Colleges need to find monies for unique items. **NB** noted Colleges may need to identify the difference between general and specific.
- **LP** felt that the Group should be looking longer than 5 years, however **NB** noted that this Group needs to keep to a 5 year span; make recommendations for future reference to resolve financial and capability issues, and keep the remit clearly defined.

**12. User-led acquisition of books at Newcastle**

**Wayne Connelly (WC)** gave a presentation on User-led Acquisition of books at Newcastle University Library – with 2 projects on Ebook Library (EBL) and Books on Time. Copy of the presentation is attached. [WC has subsequently said an additional note of clarification, also attached to these minutes.]

In discussion, he made the following additional comments:-

- There has been demand led purchasing in the last 2 years
- Timing can be an issue regarding the reading lists
- Free browsing period of 5 minutes can be reset to suit
- The University doesn't own the ebook material which is added to the catalogue for the project; titles are only flagged for purchase after 4 loans
- Money is deposited with the supplier by the University
- Books are flagged for purchase after 4 loans, but this can be reset to suit circumstances.
- Mechanisms are in place to allow 5 minutes of reading before purchase but if they wish to continue and, if so, then a request is sent to the mediator (staff in technical services) , these are approved within 24 hours and this has not proved problematic for users.
- Maximum number of loans per person per week can be adjusted.
- Highest usage in Loan and Purchase activity in 2010/11 is Business School, Politics, Geography and History.
- Email can be used in addition to personal requests via a web form.
- For books to be purchased from the Student Books in time fund, every effort is made to purchase books which are requested very quickly. Ebooks can be in place within 2 hours of request. Other ways of obtaining print books are via local book shops and Amazon.
- The implications for the budget is that one third of book purchasing is demand led, but this a moving target which is based on the previous years' experience.
- Cost of buying a book this way is the same as buying an e-book from the supplier. Downside is the loan costs paid prior to buying; could build in an initial loan cost the purchase cost but the supplier which Newcastle uses are not agreeing to this at the moment.
- Value for money yet to be proven; need to think about e-book cost against sliding scale of loans of the book.
- There is a record of multiple usages of these books, that is purchasing in response to user need is a good predictor of future need.
- Concern was expressed round a tightened access through mediation method. **WC** confirmed that it is purely a mechanical process of mediation, with very few items rejected—perhaps only if they are already in stock, or if there is an issue that the price of the item is very high. A list goes to technical services staff from the previous day requests and they purely press a button to activate.
- Books on Time for 'core recommended for courses' allows the service to be reactive and fast in response to demand which is good. It is important to be aware of size of class.
- Making ebooks available is important for Distance Education.
- WC estimated the current ratio of purchases for books/e-books in Newcastle is 50/50 (to be confirmed)

## **12. Financial input, formula allocation and method of purchase from Colleges**

**NB** asked each of the College reps to provide more information about the nature of the financial input from Colleges.

**CHSS – LP** produced documents (attached) illustrating the allocation model for CHSS Library budget 2010-11 which is formulaic, and giving information on how the acquisition of the CHSS collection is done; and a document noting extra non-recurrent monies given by CHSS

and constituent Schools 2010-11 noting in particular £100k from the College for unique Special Collections.

**CSE** – GD said that there was a budget of £1.4m in the current year. A major concern in the past few years is that College sustainability pot funds have been used to maintain the budget. The allocation is made to Schools use a formula based on 2 factors, student and staff numbers. An initial top slice of 28% goes to inter disciplinary collections. Each school has to look first at funding requirement for journal subscriptions and then uses what is left for books. Students may make recommendations to Academics. Academics who use the systems well and work fast benefit a little more than those who don't. There have been occasions when a school rep will veto a purchase if the purchase is not completely in line with the course. Various surveys have been carried out e.g. last year the cost per download, and a significant cancellation exercise was carried out last session. The College is aware that there is a need to be aware the inter-disciplinary use of bundles, along with discipline specific bundles, and that most funding goes on bundles.

**CMVM** – SM said that the mechanical review is similar to CSCE. Journal usage is appraised annually. He noted that there are issues if one College wishes to cancel something but another College is also interested in it but doesn't wish to cancel. He noted that there needs to be more rigour in book purchases; a need to ensure that the information is coming up from the grass roots; decisions to spend is in the hands of a few. Globally, the budget is split between medicine at 80% and vet at 20%, reflecting the number of students on the courses. . In CMVM, years 1 and 2 are book orientated and years 3,4 and 5 are more research oriented, with a greater interest in journals. Library staff oversee the purchase of books, and one issue in Medicine to ensure the ongoing purchase of these core textbooks. CMVM also has NHS monies coming in and this is key to maintaining the materials budget. In future there will be re-negotiations and it is likely to reduce or disappear. The CMVM budget is sufficient at the moment but CMVM needs to maintain their share of the allocation. There is already pressure on journals and very little more can be cut if University or NHS funding were cut, or prices rose further.

**NB** asked for general points raised by these presentations – the following were raised

- The importance of purchasing ebooks or digitising texts for Online Distance Learning
- A question about whether the number of core texts gone up as the student numbers have risen.
- Liaison Librarians automatically advise that core texts are required for a specific course.
- Text books are better and cheaper than in years gone by.
- Challenge is to recommend the good text books
- Conflict between journals for final 2 years and monographs for years 1 and 2
- There is strong pressure not to cancel journals unless really necessary,
- Topslicing more of the budget would fundamentally change the method of allocation
- Newcastle University top slice all the journal big deals, and the demand led book purchasing.
- Top slicing from an Acquisitions operational perspective would be beneficial as it is very labour intensive to apply specific fund codes.
- Key question for UOE in the next 5 years is do we need to move to a 'top slice' model



- **NB** noted that UOE has been through many of the available cost-saving the cost saving activities therefore there is a need to change going forward.

### **5. National Library of Scotland**

**SC** noted that the National Library is set up as a national organisation find it difficult to deal with the University of Edinburgh, even when it is the closest university. However, the NLS has agreed that we should talk more with a view to developing a joint Memorandum of Understanding about how the 2 organisations can work together. **SC** recommended that this be pursued as a strategy through the University.

### **12. Open Access payment**

**SC** noted that there had been 2 sets of calculations carried out in order to establish the amount of funding spent on Open Access author pays or gold payments. One calculation came in at £500k pa, and the second calculation came in at just under £1m. A paper on the second set of calculations is attached. Concern was raised re “double dipping” by publishers, the payment both for journals and for publishing. **SM** recommended setting up an account for publishing fees and that we should recover through fEC where possible.

### **12. Areas for recommendations by Collections Review**

**NB** suggested the following areas as those which the Group would wish to make recommendations to the University. The next meeting should have a set of potential recommendations for discussion.

1. Whether the overall funding of library materials is sufficient looked at in comparison to other institutions.
2. Guidance on how it should be driven – majority top sliced; shared budget; central fund/colleges, fEC funding, noting that there will be differences through the 3 Colleges, and there may need to be a mixed economy. An important part of this discussion is to understand how much of the budget is used broadly across the University, and how much is used in specialised pockets (eg by single researchers, or small groups, or even one School only). There needs to be reassurance that both the broad and the specialised routes these will be supported.
3. New methods of procurement to allow library staff to experiment with moving from the traditional models to new models, eg user driven acquisition.
4. Ensuring that collaborative activities which are in the interests of Edinburgh and others can be supported.
5. Establishing a way to support Open Access which may, over time, lead to a very different method for scholarly communications
6. Ensuring that teaching as well as research is supported
7. Ensuring that new courses, including Online Distance Learning courses, are supported at the appropriate level in a timely manner.
8. Pursuing discussions with Research Councils on library materials and open access fees

### **12. Outstanding issues for the next meeting**

The following issues were noted as actions to be carried out before the next meeting:

- More information about the collections component of the Information Services budget, in particular, staff and procurement, operating and collections costs, to provide a better picture of the total costs of procuring and making the collections available. **(SC)**
- It was suggested that each College representative should obtain two or more different views of the mechanism of acquisitions and research in their areas, focussing on areas where there was a degree of common use, and where the needs were unique. How do those in different areas view the mechanism for library support for research and teaching materials in their disciplines, and does this vary if the discipline is broad, or specialised? **(College representatives)**
- Literature search on how the broad and unique are supported in other Universities; and views on supporting the broad and unique from library staff **(SC/LS/ER)**
- Information from EUSA on student needs **(MM)**

**1. Date of next meeting**

23<sup>rd</sup> February, 10.30 Room 1.09, Main Library

University of Edinburgh

**Library Collections Review  
Thursday 23 February 2012  
held in Room 1.09 Main Library Meeting Suite  
at 10:30**

**Present:** Nigel Brown – NB (Convenor)  
Richard Battersby – RB (USD)  
Sheila Cannell – SC (Director of Library Services)  
Wayne Connelly – WC (External Representative)  
Professor David Dewhurst – DD (MVM)  
David Ferguson – DF (CHSS)  
Dr Steve Morley – SM (MVM)  
Simon Parsons - SP (CSE)  
Lindsay Paterson – LP (CHSS)  
Matt MacPherson – MM (EUSA)  
Ann Smyth – AS (University Court)

**In Attendance:** Nancy Baxter (notes)  
Claire Maguire (notes)  
Elize Rowan – ER (Library & Collections)  
Liz Stevenson – LS (Library & Collections)

**1. Notes of previous meeting**

**Nigel Brown (NB)** welcomed the Group to the third and final meeting of this Review. It was noted that the notes from the previous meeting held on 16 January 2012 had new appendices attached, and as such **NB** asked the Group if there were any comments arising from the appendices.

**2. Comments on new evidence**

**Appendix F**-IS Service Costs – **SC** noted that this is based on 2008/09 expenditure; is based on team structures rather than services. She noted that IS were currently working to update and improve services costing information.

**Appendix G**-Use of bundles by Schools – The Group agreed that the information in these tables were not based on usage and were indicative only.

**Appendix I**-Extract from LibQual Report – The Group agreed this information was useful, although some concerns were expressed about the statistical data. **SC** advised the Group that there is a separate report on the Web and will ensure that a reference to it is included in the evidence. **SC** noted that the survey is used by many libraries and allows us to look at what is happening internationally and across our comparators. It is significant that 1200 people completed the survey and half of these made free text comments. These comments are particularly significant as they provide qualitative data. **WC** noted that the LibQual Survey is the most thorough, grounded survey; it is well documented in the US, and the main value is its indicative nature. **NB** noted that the LibQual will be used as it is the standard, and should anyone want to make comment then they can do so.

### **3. EUSA presentation by Matt Macpherson**

Matt Macpherson made the following points:

- The different ways academics/students use different texts.
- The student council executive is concerned that PGT and U/G need to access excellent digital texts.
- He noted the strategic direction of DEI in next 5 years.
- He noted the importance of inter library loan for some.
- Printing and scanning: there are different demand in different schools.
- If a text book is not available then there needs to be a way to identify demand
- Different subjects require different access to libraries.
- Vets can't get to Roslin at weekends – what is the ML doing to address this?
- Browsing across the collections on different sites is difficult as there are different ways of browsing different collections.
- In general ongoing student dialogue with the Library is very good; more could be used of school reps; academics in schools should know about what is available; needs to be better at college/school level.

### **Discussion following MM presentation**

- **DF** noted that joint honours programmes study different subject so there is a need for centralised sign posting of where to get these texts.

### **4. Draft recommendations**

The group discussed the draft recommendations and made comments for incorporation into final recommendations.

NB/SC

## **Appendix C: Collections Review background information**

This paper gives background information for the Collections Review. It includes statistical information about allocations, expenditure and use of collections. There is also comparative data which relates the University of Edinburgh's position to other universities in the UK. In addition, there is contextual information the environment within which the Library chooses and purchases books, and how the environment is changing. There is also a section on comments derived from statistics about satisfaction with the collections. The final section gives the recommendations of the last Collections Review, and progress against these.

If the Collections Review members wish to have further data, this can be made available after the first meeting.

The paper is divided into the following sections:

- A. Allocations: how the funding is allocated to the "materials budget" (page 2)
- B. Purchases from the library materials budget (page 4)
- C. Comparative expenditure (page 5)
- D. How we decide what to buy (page 7)
- E. Procurement methods (page 8)
- F. The changing environment: new procurement methods to explore (page 9)
- G. Impact of the collections: usage, return on investment (page 10)
- H. Satisfaction with collections (page 12)
- I. Collections Review, 2008 (page 15)

### **Statistical data: notes**

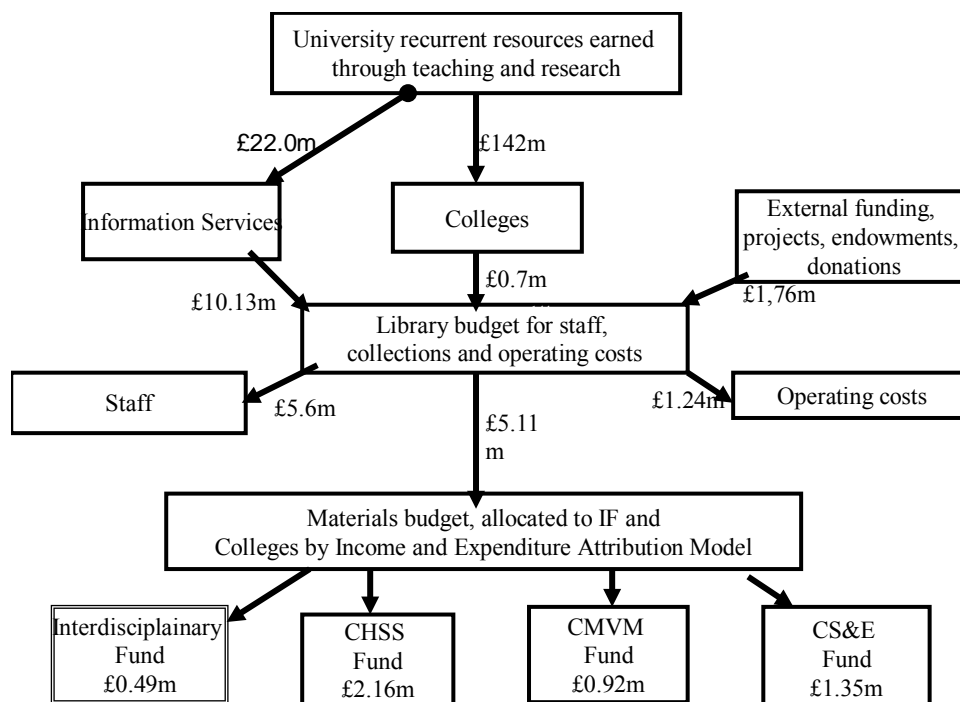
Much of the background information is statistical. Some of the data refers to Edinburgh only—in these cases the data is from 2010-2011. Where comparative information has been included, the data refers to 2009-2010, because more recent comparative data is not yet published. There is a long tradition of publishing library statistics, through SCONUL, and this proves immensely useful in making comparisons. However, statistics do need to be used with care, because different institutions may interpret statistics in different ways. It has also proven difficult to make international comparisons, because the definitions of, for example, a journal, have always varied in different countries.

For comparative data, 2 sets of comparators have been used:

1. RLUK mean: this is the mean of the results from Russell Group institutions
2. "Mean of 4": this is the mean of the results of 4 comparator institutions: Imperial, Leeds, Manchester, UCL. Oxford and Cambridge have not been included because their library statistics are skewed by their legal deposit status.

## A. Allocations; how the funding is allocated to the library materials budget

The chart below shows the route of funding in 2010/11, from the University and from external sources, to the library budget and onwards to the materials budget. Within the sums available to the Library (which covers the funding for library purposes in both the Library & Collections and User Services Divisions of Information Services), the library materials budget is ringfenced, since the amount and the case has usually been set out in the Information Services Plan.



The table below shows the distribution within the library materials budget from the various sources of funding. These figures refer to 2010-2011, and it should be noted that the allocations from Colleges, particularly CHSS, were particularly favourable in 2010-11. The “other” funding comes from a variety of sources, eg Schools, the Church of Scotland and Friends of Edinburgh University Library.

	Allocation from IS funds	Allocations from Colleges	NHS funding	Other allocations	Total allocation
Interdisciplinary Fund	£454,178	£0	£0	£44,439	£498,617
CHSS Fund	£1,476,569	£570,000	£0	£114,678	£2,161,247
CMVM Fund	£875,267	£0	£46,723	£836	£922,826
CS&E Fund	£1,206,161	£137,000	£0	£2,171	£1,345,332
Endowments & donations				£180,520	£180,520
Total	£4,012,175	£707,000	£46,723	£342,644	£5,108,542

In recent years, Information Services has ringfenced spending on library materials, and has not made exceptional bids for additional funding, on the basis that the Colleges would supplement funding to maintain, and where they wished, to enhance spending.

In the current (2011/12) year Information Services has allocated £465k of its NPRAS funding to maintain the 2010/11 purchasing power into 2011/12—£200k of this has been used to fill the 5% “downlift” from University funding, £200k will be used to meet publisher inflation requirements, and £65k to deal with the higher rate of VAT. This ensures that the IS element of the materials budget maintains purchasing power, but does not fully supplement all of the materials budget.

Since 2008-9, the IS element of the library materials budget has been allocated to Colleges according to the University’s Income and Expenditure Attribution Model. Prior to that, the budget had been allocated according to an historic position, modified each year by information on the differential costs of library materials in different subject areas. However, in an era of significant journal inflation, this was problematic in areas more dependent on books. It should be noted that the overall materials budget is still uplifted by Information Services in accordance with an overall view of library materials uplift, and then allocated out with no reference to this.

The Colleges and Schools who make contributions to the library material budget do not view this as a recurrent commitment. To date this year, we have received additional funding of c.£350k from Colleges and Schools (£120k from CHSS, £60k from the School of Law, £10k from the Church of Scotland and £171k from CS&E). A portion of the income from the NHS Lothian Service Level Agreement is used to supplement the purchase of Medical materials annually though this sum is variable.

As the funding has been disaggregated into IS and College/School funding, it has been much more difficult to manage the process of ensuring that there is sufficient funding to buy the materials which the University requires each year, both in terms of negotiating the necessary funds, and in ongoing budgetary management.

### **Allocations from Colleges to School**

Each College has a different method of allocating the library materials budget within the College.

**CHSS** topslices a central fund for CHSS interdisciplinary purposes and then uses the following drivers in making its allocations to Schools:

- a. Number of students
- b. Teaching load
- c. Number of academic staff
- d. Attributable income earned by each School
- e. Number of courses
- f. SFC Research Quality Grant allocation

After applying these, there is an additional weighting for price of books (□pening□g□ weighting of 50% applied to School of Law).

Some Schools in HSS then further sub-allocate their funds to disciplinary areas.

**CMVM** has one allocation of 80% to Medical Schools and one allocation of 20% to Vet School.

**CS&E** uses a model established in 2003, in which funds are first top-sliced for Inter-Library Loans, bibliographic databases, a range of interdisciplinary resources, and all Springer journals. The rest is then allocated to the Schools using an allocation model based on

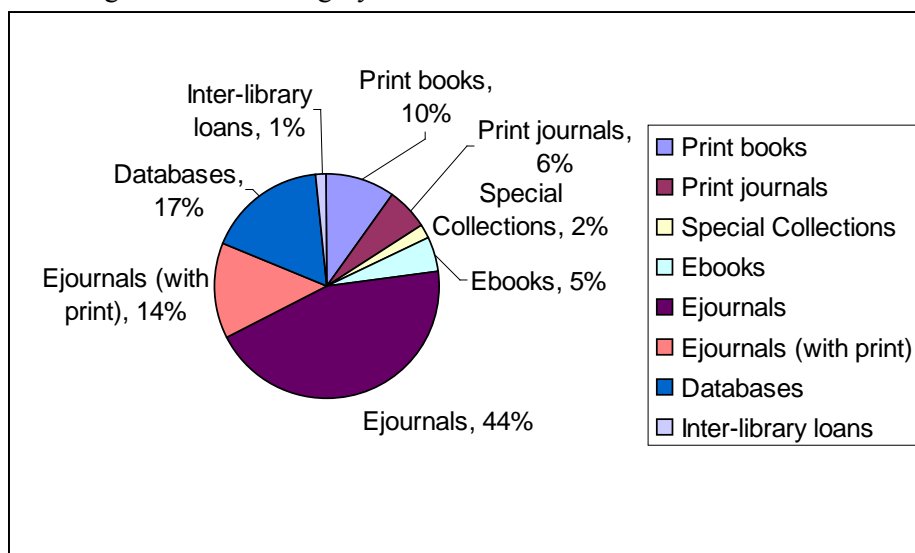
- Academic/research staff numbers account (40%);
- student FTE (UG, PGT, PGR) (60%)

Overall, this methodology creates a large number of cost centres (41) then subdivided by format, which are used for allocation and expenditure. These often have small amounts of money, each of which have to be managed. Expenditure from the funds varies, so that some funds have to work hard to spend up towards the end of the year, while others have exhausted their allocation early in the year, and requests for purchase have to be stored until the start of the next financial year. It is possible that the management of so many funds creates work equivalent to one post in the acquisitions area.

## B. Purchases from the library materials budget

The pie chart below shows the categories of materials we buy, and the percentage of the library materials budget spent on each category. In total, 80% of the budget provides access to electronic materials—ejournals, ejournals (with print), databases and e-books.

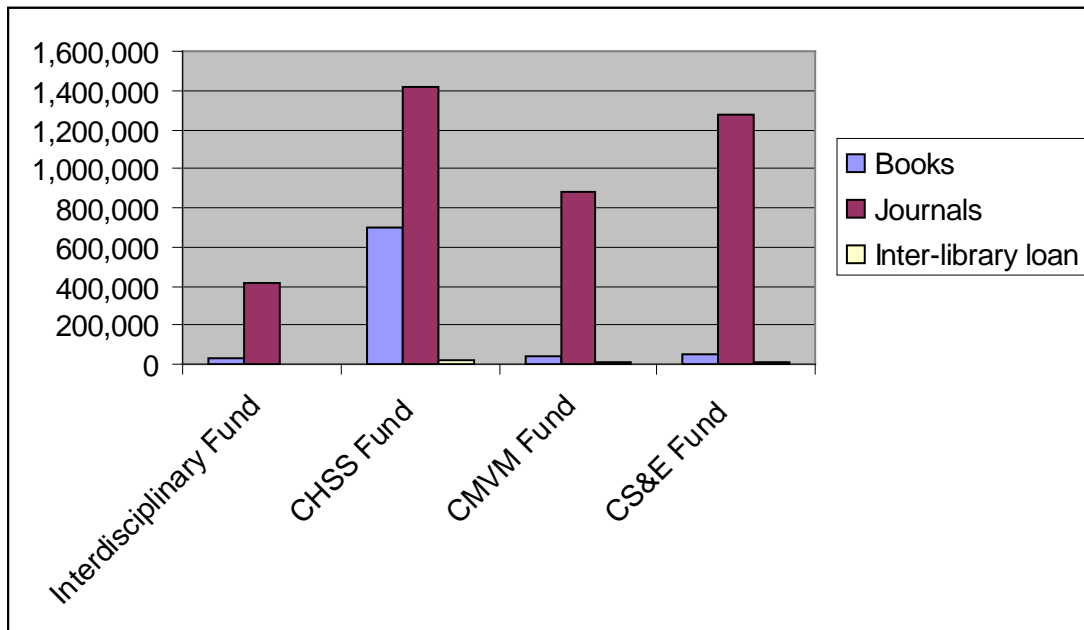
The category of ejournals (with print) may require some explanation. We continue to buy the print equivalents for some ejournals, often because it is cheaper to do so (because no VAT is paid on print), and less often, because there is an expressed academic need to continue to purchase the print. In 2012 we will be reducing this further and are actively reviewing the remaining titles in this category.



The overall expenditure by category is shown below. However, the expenditure varies significantly by College and the chart below shows the expenditure in each of the major funds. This makes it very clear that while CMVM and CS&E buy almost exclusively journals, CHSS has a more balanced profile between books and journals, thus retaining greater flexibility in its budget by not having such a high level on recurrent commitment. However, some Schools in CHSS are more like science (eg Economics), and some Schools in CS&E are more like the humanities (eg Maths).

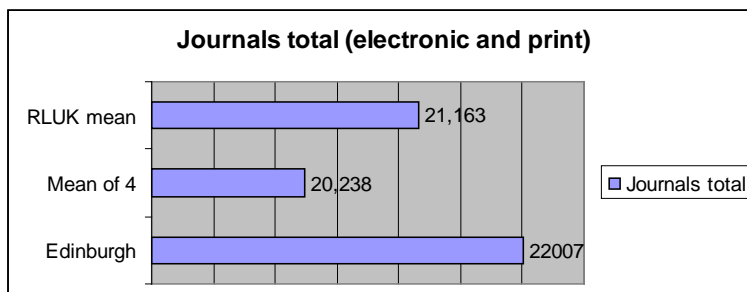
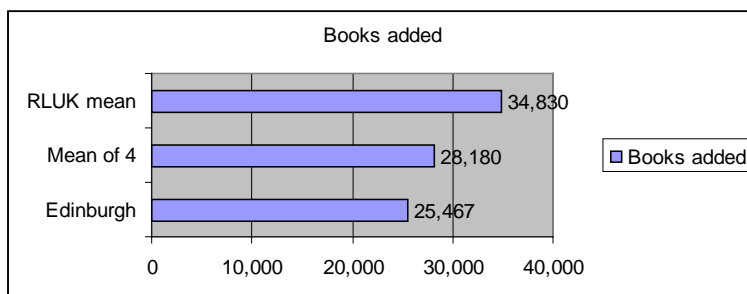
Print books	£249,582
Ebooks	£249,582
Print journals	£319,183
Ejournals	£2,253,543
Print & ejournals	£719,969
Inter-library loans	£73,629
Databases	£885,015
Special Collections	£100,000
Total	£5,105,870

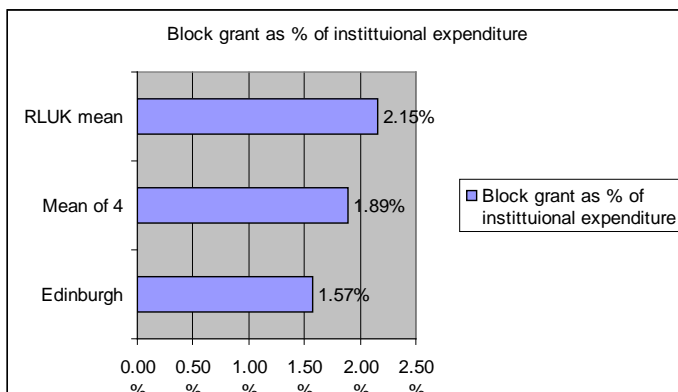
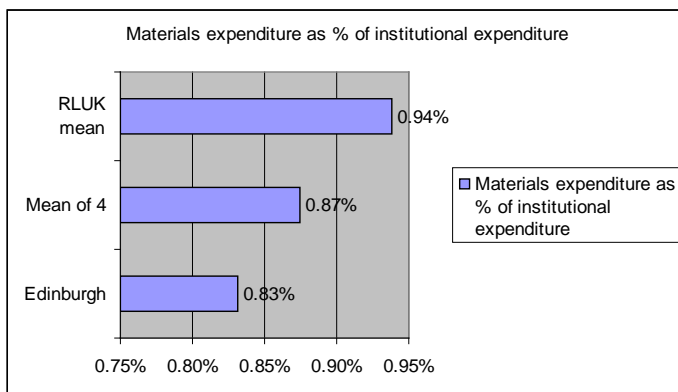
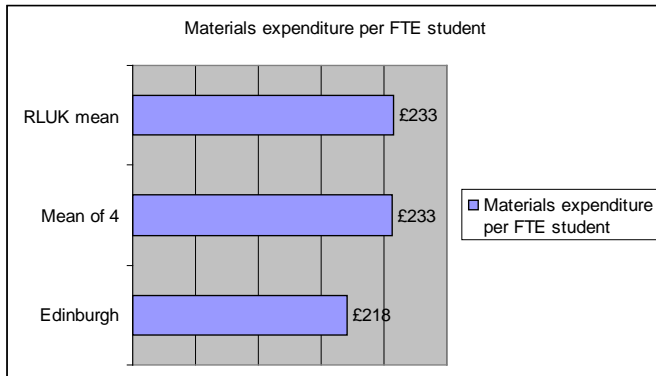
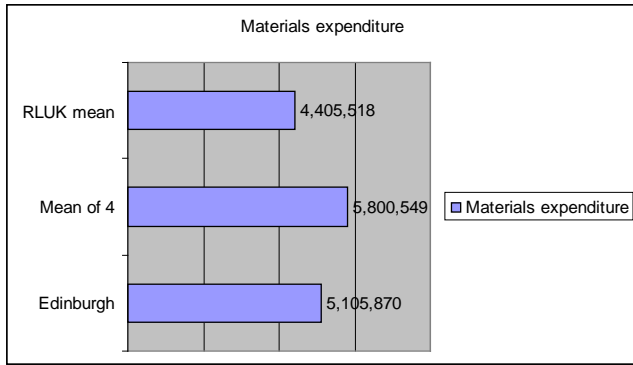




### C. Comparative expenditure (2009-2010 figures)

The tables below show how Edinburgh compares to other Russell Group libraries (RLUK mean) and to the 4 chosen comparators – Imperial, Leeds, Manchester and UCL (Mean of 4). All figures are for 2009-2010, for which comparator data is available.





## **12. How we decide what to buy**

There is a Library Collections Policy<sup>1</sup> which guides our decision making process. The Collections Policy is currently undergoing revision. The approval mechanism for the Collections Policy is Library Committee and Knowledge Strategy Committee.

**Journals:** these are largely carried forward as a recurrent commitment from year to year with only marginal changes. Most journals are electronic, although as noted above, we continue to receive the print for some electronic journals. Most journals are received as bundles—that is all the journals from one publisher. Information on usage is produced annually and Schools are encouraged to consider whether there could be any cancellations. In practice, cancellations are usually only made when there are financial issues. Cancellations within bundles are very constrained, so there is greater pressure to cancel unbundled titles. This means that Schools having large numbers of titles that are not in bundles can end up cancelling a greater proportion of their titles whilst other Schools are not able to cancel anything as their titles are all in bundles. It should be noted that we now buy very few new journals which are not received as part of bundles—this can be an issue where journals not in bundles are required to support new research.

**Books:** purchase is much more discretionary—and therefore time-consuming. Most purchases are based on recommendations by academics backed up by Liaison Librarians. Most are in print, but we are rapidly increasing the number of e-book purchases. Students may recommend via a web based form. Books for the HUB Collection in the Main Library, and the equivalent reserve collections to support teaching in other libraries are prioritised (although if a School allocation has been exhausted this can be difficult).

**Bibliographic databases:** these have been very important and remain important in some Schools as a method of resource discovery. However, in recent years, with the advent of full online availability of journal articles, this has been an area where Schools have considered that cancellations can be made.

**Inter-library loans;** this is, in effect, a way of supplementing our holdings by making individual requests to other libraries. Most ILLs are now received as electronic document delivery, although we still borrow (and lend) print books. If something is regularly requested on ILL, we consider purchasing it. Users are charged £5 for each ILL request—in some cases this cost is covered by the School or research grant, in other cases the user has to pay themselves..

**E-reserve:** This is another way of making electronic content available, and is based on scans of existing print collections where these are covered by the Copyright License Agency License, or by payment to the publisher. These are based on academic requests and the service is primarily used by CHSS, with some Schools being particularly heavy users. This will become more important with the increase in Online Distance Education. The costs for this are not included in the materials budget, because they are primarily staff costs.

## **E.Procurement methods**

The staff cost of procurement of library materials is not included in the library materials budget. In 2008-9, we calculated the costs of procurement for each College. The table below shows that the cost of procuring books is much higher than acquiring journals:

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<sup>1</sup> <http://www.ed.ac.uk/schools-departments/information-services/about/policies-and-regulations/operational-policies/collections>

	Materials costs	Staff costs	Income	Net cost	Cost to CHSS	Cost to MVM	Cost to S&E
Journals	£4.046m	£0.132m	£0.262m	£3.916m	£1,419m	£0.908m	£1,589m
Books	£0.912m	£0.716m	£0.213m	£1,415m	£1,038m	£0.126m	£0.251m

We have very recently carried out a “lean” process review of the acquisitions and metadata processes. An implementation plan is currently being prepared from this very useful review, and this will lead to changes. For example, we will be able to free up time by making a modest investment in buying print books ready for placing on the shelves, which will free up much needed time to deal more effectively with ebooks and ejournals.

The lean review did identify the large number of funds to which books and journals can be charged as a major inefficiency. It is labour intensive, particularly around the payment processes, and slows down delivery if, for example the money in a fund has been exhausted. Considerable time is spent on getting permission from Liaison Librarians to move money around between funds in order to deliver library materials which are needed

As far as journal procurement is concerned, we work within a framework of collaborative procurement deals, which deliver significant savings. Many of the procurement deals are made by JISC Collections, who then make them available to all UK universities. JISC Collections have recently been re-negotiating with 2 major publishers, Elsevier and Wiley-Blackwell on behalf of the community. These renegotiations have been successful commercially with a much reduced level of annual uplift (1%, 1%, 3%, 3%, 4%, with a breakpoint after Year 3), and payment in sterling, although they did not fully meet the expressed instructions of the libraries in some other regards. Edinburgh has not yet settled with Elsevier because of issues with recent mergers.

In Scotland we have moved towards making the Scottish Higher Education Digital Library. This is based on the JISC Collections deals but creates a level playing field of access for all universities in Scotland for certain deals. This is becoming more difficult in straightened financial circumstances.

Book procurement for both print and e-books is also subject to procurement negotiations, this time managed by the Scottish Confederation of University and Research Libraries and negotiated by the UoE Procurement Office.

## **12. The changing environment: new procurement methods to explore**

As we move more rapidly to a digital environment, there are new procurement methods available to us.

1. Journals: the “bundle” method of procuring journals is still based on historic spend. Edinburgh has done well from these deals, making available many more journals than we were able to in the print era—and these have been well used. The recent renegotiations with Elsevier and Wiley-Blackwell confirmed the model of the bundle based on historic spend. There is some movement towards new methods of pricing, based on, for example usage or JISC banding. By and large these are not in Edinburgh’s interests because our usage is usually very high in comparison to other universities, yet we tend at the moment to pay about the same. Some US universities, particularly the University of California, are examining pay-per-use, but they start from a very different baseline of availability than we do. It seems probable that new models will emerge over the next 3-5 years, perhaps based on continuing with bundles which are heavily used, and moving to pay-per-use for less used titles.

2. Open Access. It is clear that more and more people are using Open Access versions of publications through ArXiv or Google scholar. It is important that Edinburgh continues to make as many of its research outputs as possible available openly in order to support this collaborative activity. Publishers are seeking payment from users to allow them to make their research publications available. Apart from Wellcome funded publications, this University, unlike others, has not taken a centralised view of this, and it may be appropriate to consider the establishment of an Open Access Publishing Fund, available to all researchers, in order to promote this method of publication.
3. New ways of buying e-books are being established at a fast rate. One of the most important is “patron driven acquisition” (PDA). In this model, the metadata for available ebooks are put in the catalogue, and users may request the book. If there is only one request, this is covered by a fee to the supplier. If 2 or 3 people request the book, the publisher charges the Library, and the book becomes permanently available to all users. We are very keen to run a pilot, in a couple of subject areas using PDA later this session, , but we need to establish funds to do this.
4. Bundle purchasing for books, eg purchasing all books from particular publishers. This would reduce the cost of selection (by both academic and library staff), but we have not established a suitable publisher where we would want to buy all content. It is possible that we may experiment with this model for e-books only. We do have “blanket approval plans” in some subject, eg music, which saves on the costs of selection.
5. The use of inter-library loan to supplement purchasing needs to be explored further. Some US libraries are now using Amazon or other online suppliers for rapid purchase of items requested on inter-library loan and then placing them into the collection. With suitable safeguards on price, this may be cheaper than using the normal ILL routes.
6. We are also examining the feasibility and cost of providing inter-library loans, with certain limitations, free at the point of use, to supplement the library collections—this would be very popular in Schools where postgraduates have to pay for ILLs, and where the collection is considered inadequate.
7. Special Collections. Special Collections add to the uniqueness of the University of Edinburgh collections. Procurement of Special Collections is dependent on the market. Last year, CHSS provided £100,000 to purchase Special Collections items. This has been welcomed by many users, and it is likely that these items will both attract new students and provide important research resources in the future. Further, it is necessary to ensure that Special Collections are not hidden, but revealed through cataloguing and digitisation.

## **12. Impact of collections: usage and return on investment**

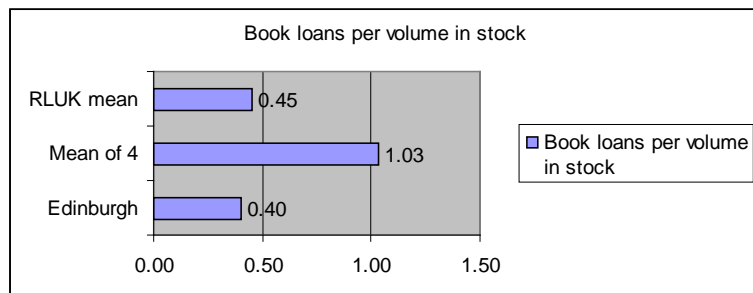
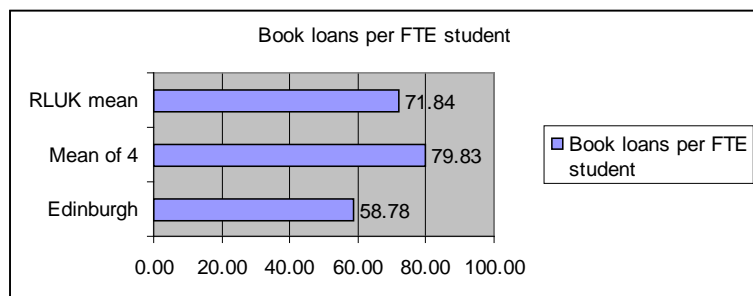
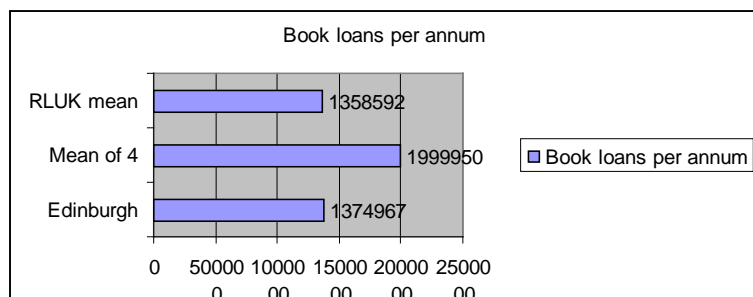
We gather a lot of information about how our collections are used, but this is quantitative, not qualitative. We do not know *how* items are used, only whether they are used. Much of the information is also gathered at a macro level. This section looks at some of the information which we have gathered, and compares our results, where we can, with comparators. In some of the tables below, the FTE student number has been used as a proxy for size of the University.

There are a number of methods by which users can find library materials which interest them—we call this “resource discovery”. These include the Catalogue, and Searcher. We are constantly trying improving resource discovery.

**Books**

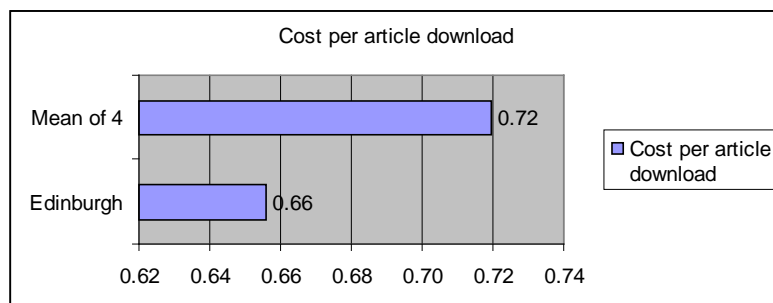
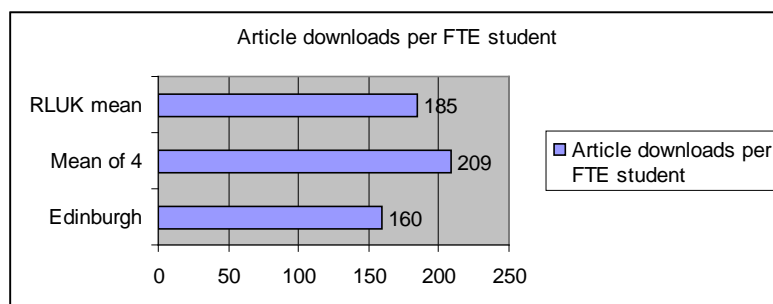
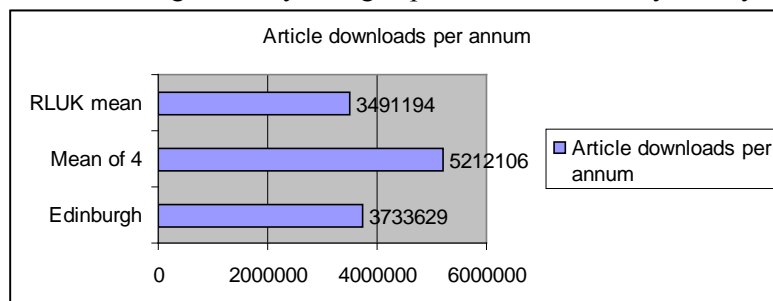
With regard to books, we have been following the circulation of all books purchased during 2007 over a number of years. In 2007, we purchased 19,588 books costing £510,351. Of these books, 2,385 (12%), costing £62,314, still show no circulation. This does not mean that the books have not been used—they may have been used in the Library, and therefore not have a circulation record.

The tables below show the use of books in relationship to the comparator groups, covering the total number of book loans per annum, and the number of book loans per FTE, and the book loans per volume in stock. While all of these measures may be subject to some scrutiny as to their exact meaning, it may suggest that our books could be made to “work harder”.



## Journals

The next set of tables looks at journal and article usage, covering article downloads per annum, downloads per FTE student, and cost per article download. Again, in comparison to these comparators, Edinburgh's collection could "work harder", but our cost per use is low. The figures below are based on the evidence of one year, and we need to look at the evidence provided over a number of years in order to make decisions about, eg cancellations, because there can be significantly changed patterns of use from year to year.



## H Satisfaction with collections

Clearly, the most important issue is that the user community should be satisfied with the collection provided. We find assessing satisfaction with the collections at a macro and micro level straightforward—that is we gather information through overall surveys, and we respond to issues raised by individual users. But we find it more difficult to assess the adequacy of the collection for average users on an everyday basis—until we try to cancel something, when we hear about it very quickly!

On surveys, we scrutinise the results of the NSS, PTES and PRES surveys closely, although the "library" questions in each of these surveys are very general, and are probably subject to many views of the library which are not to do with the collections, primarily satisfaction with library space and library staff. However, we can derive some information particularly from the free text comments.

The Library also takes part, biennially, in the LibQual survey, an international survey, with much more detailed questions—perhaps too detailed—about the library. We last took part in this survey in 2009, and some information appears below. We have just completed our participation in the 2011 survey, and are likely to get the results about Christmas 2011, and will share these with the Collections Review. We have already got the free text comments from the 2011 LibQual survey and are in the midst of analysing these—about 50% of those who completed the survey made comments, often lengthy.

The table below shows the response to the “library questions” for the 2011 NSS, PTES and PRES surveys, and for NSS, the direction since 2010. In each case the best 5 scores are highlighted green, the worst 5 scores highlighted red.

The library questions are as follows:

NSS: “The library resources and services are good enough for my needs”

PTES1 “The library resources and services are easily accessible”

PTES2 “The library resources and services are good enough for my needs”

PRES: “There is adequate provision of library facilities” (we know from the comments that this has been interpreted by most respondents as being about the library space, rather than the collections)

	<b>NSS 2011</b>	<b>NSS direction since 2010</b>	<b>PTES1</b>	<b>PTES2</b>	<b>PRES</b>
<b>Whole institutions</b>	<b>85</b>	<b>0</b>	<b>79</b>	<b>75</b>	<b>73</b>
ACE	84	-3	76	71	79
Biological Sciences	89	-8	89	78	86
Biomedical Sciences	74	-23	90	87	83
Business	89	-1	87	86	61
Chemistry	78	-12	50	75	75
Clin Sci and Comm H			74	77	74
Divinity	90	-1	79	63	54
Economics	92	4	90	85	78
Education	77	-1	68	69	76
Engineering	81	-10	77	68	82
GeoSciences	89	-2	73	72	72
HCA	82	10	85	80	49
Health in SS	76	-1	73	67	78
Informatics	80	-5	84	75	86
Law	93	-2	80	77	69
LLC	84	5	66	68	49
Maths	84	-7	95	83	96
Medicine	92	6			
Mol Clin Med			90	90	76
Physics & Astronomy	91	-1	91	73	91
PPLS	86	-4	73	72	80
SPS	77	3	83	77	62
Vet	72	-2	83	85	66



We have also examined the free text comments in these surveys. There is a clear trend of users commenting on lack of resources to support their courses.

	Number of comments referring to lack of resources	Total number of free text comments received	Percentage of comments referring to lack of resources	
NSS	36	71	50.7%	
PTES	24	38	63.2%	
PRES (2009)	17	50	34.0%	

The extracts below are from the report on the 2009 LibQual survey comments:

#### **“Print collections**

The print collections, both their organisation and content, were heavily criticised by all categories of respondent with 95% of comments being unfavourable. Undergrads generally wanted more copies of core texts, while post grads and academic staff were particularly unhappy with currency of the stock and the depth of collections for research purposes. “Book collections are sparse”; “there could be more spending on academic books”; “the printed books and journals ... tend to be out of date and not very useful,” are fairly representative of the comments in this category. One academic went as far as to state “considering the amount of money the university takes in from the FEC...the constant cutting of the journals they carry hardcopy and by electronic access is not only a disgrace, but I would argue is criminal.” The dual classification system still in operation and the split of titles between the HUB and the upper floors in the Main Library also raised a few comments with users finding these confusing at best. The library “needs to re-catalogue books and uniform its abstruse call numbers in a coherent simple system” (Academic, HSS). Other comments in the ‘collections’ category concerned the storing of materials off site, the high incidence of vandalism to books and the slowness of returning books to shelves – the latter was a particular issue at the time of the survey.

#### **“Electronic collections and services**

The vast majority of comments in the collections category related to electronic collections (59%), and 60% of these were critical. Academic staff and post grads were the most dissatisfied, while undergrads were split with an equal number of positive and negative comments. Comments ranged from: “I use journals on-line a lot and the main frustration is when I cannot access a journal because the University does not subscribe to that journal or time period” (Academic staff, S&E) and “Many of the relevant journals in my field ... are not available electronically through the university” (Academic staff, Informatics) to “the online resources and e-journals are fabulous” (UG, HSS) and “in the past year the access to more electronic databases (e.g. Times Digital Archive) has been fantastic for personal research” (PG, HSS) and “Combined with a vast collection of physical and electronic resources, this library fulfils all my academic needs.” (UG, MVM).

Searching for resources proved to be frustrating for many – 25% of electronic related comments from staff, undergrads and post grads were on this topic, and 83% of these were uncomplimentary. A selection of comments: “It can be exceptionally difficult to find materials held by the library due to the many different searches and systems used on the website” (PG, HSS), “I find the website initially impenetrable. Once one has found one’s way

(more by luck than judgement) to the right place the information is good” (Academic staff, HSS), “Searching for accessible electronic journals online is really time consuming and complicated” (UG, MVM), “Organisation of electronic resources is poor and difficult to navigate on the library site. The journals are difficult to search online and it seems to require a definite idea of which journal you are wanting.” (PG, HSS).

The remainder of the comments on electronic collections and services were concerned with access issues, with undergrads having most difficulty, although some staff and post grads also posted negative remarks. “The new e-journal interface is much worse than the old one – the pop-up windows and multiple clicks to get anywhere are infuriating!” (Academic staff, Education), “Solely dependent on e-library, not always easy to access, too many safety blocks, has to find inventive ways to get “in” – e-books most difficult.” (PG, MVM), “Access to journals from home would make my library experience 100 times better” (UG, HSS)”

## **12. Recommendations from previous review**

This section gives information about the most recent previous review of the collections, including updates on progress (yellow highlights).

### **University of Edinburgh**

#### **Review of Library collection development and budget arrangements, February 2008 Summary of Recommendations**

*Headings in italics relate to the original remit of the Review Panel.*

*Ways to achieve a balanced collection across the University within the resources available (Remit: 3.3)*

and

*Collection development for the University of Edinburgh given the external factors such as bundles, e-books, and the Scottish Higher Education Digital Library, and the continued requirement for print (Remit: 3.4)*

Recommendation 1: The definition of a balanced collection and therefore the means used to achieve it differ between the Colleges and specific disciplines. Collection development planning must continue to reflect this, but must also take account of the scope for interdisciplinary planning and purchasing.

**The collections policy and funding mechanisms allow for this**

Recommendation 2: The Library collection development policy must support a fully balanced collection at University level.

**The collections policy seeks to do this within available resources**

Recommendation 3: The Library Committee’s advisory role to the Vice Principal Knowledge Management & Librarian should support the strategic oversight of the collection development policy at University level; ensure that the strategy is supported and implemented within the Colleges; and require that members update Library Committee on the strategic direction of their respective College.. The resulting collection must meet the recognised needs of the University’s academics, researchers and students. The Library Committee will advise on the updating of the Collections Policy.

**The Library Committee does advise on these issues including updating of the Collections Policy**

Recommendation 4: Current collection development practice should be critically reviewed and regularly assessed to ensure that innovative solutions are combined with established

practices with maximum effect to achieve an overarching balanced collection.

New practices are regularly introduced, eg we are currently considering patron driven acquisition

Recommendation 5: Where the option exists, the default position will be that, subject to an agreed set of selection criteria, digital materials should be chosen over printed materials; the collection development policy should be revised to incorporate this.

This is the normal practice and will be confirmed in the Collections Policy revision

Recommendation 6: The purchase of 'bundles' should be fully exploited to achieve maximum benefits in collection development quality and cost-effectiveness and in the provision of the maximum amount of material.

Bundles are heavily used, but it may be that disbundling may now, or in the near future, be appropriate in some circumstances

Recommendation 7: The effectiveness of recent purchases of the entire output of relevant publishers (both of monographs and serials) should be investigated as a benchmark for continuation or extension of this purchasing method in the future with a view to reducing the need for costly selection processes.

This was investigated and found not to be an effective route of procurement

Recommendation 8: Consideration be given as to how new routes for scholarly publishing, such as Open Access, should be promoted and funded within the University. This should become an accepted collection development method with the same status as purchase of commercial materials.

Open Access continues to be promoted by the Research Publications Service and will be further promoted with the introduction of PURE

Recommendation 9: The potential for including planned and on-demand digitisation of Library materials should be investigated as an accepted collection development method with the same status as the purchase of commercial materials.

This is done, but there is potential for more investment in this area

Recommendation 10: The Library's collection development policy should include the management of special collections and new materials such as research data, as judged relevant for teaching and research in consultations with the academic community. This should become an accepted collection development method with the same status as the purchase of current commercial materials This is in hand.

UoE now has a policy in RDM and an implementation plan is being developed

Recommendation 11: There should be ongoing dialogue with local libraries to understand their collection development policies in order to better inform the University of Edinburgh's collection development decisions. This is particularly important with respect to the National Library of Scotland, where recent changes in digital access may have changed the position of the two libraries in some subject areas.

New dialogue is under way with NLS

Recommendation 12: The ongoing dialogue with the NHS concerning collection development plans and the most effective means of operating in partnership with the NHS, is maintained.

This dialogue continues, but is not straightforward

Recommendation 13: The University of Edinburgh Library should continue its leading role in developing the concept of the Scottish Higher Education Library (SHEDL). Its current collection development methods should anticipate as far as practical the solutions which

SHEDL could bring, and this element of its collection development practice should be regularly reviewed as SHEDL develops, to exploit its potential to the full.

SHEDL has continued to develop, although there are now new challenges

Recommendation 14: The Library's collection development methods should take account of the UK Research Reserve for document delivery and UKRR and CASS for collaborative retention policies. Collection development policies should include principles for when and how the University would rely on this service rather than provide specific material locally.

We are contributing to UKRR; CASS is no longer active

*The appropriate level of funding for the materials budget for a University such as Edinburgh (Remit 3.4)*

Recommendation 15: A special case for additional recurrent funding to provide stability for the Library's collection development should be prepared. This should show the shortfall as an underinvestment in a key part of the research infrastructure. It may be appropriate to sustain this in whole or in part through the use of full economic costing (fEC) funds. The sum proposed must be calculated following a full assessment of current funding of the Library Collections and of the overall institutional infrastructure for research and teaching. Comparative data on this from appropriate institutions (eg Imperial College, University of Manchester, London School of Economics, etc) should be included. The case should show known gaps in the collections; the level of additional short-term funding currently provided by Colleges; and how far this does or does not support consistent development of balanced collections. The case should also take account of specific strategic issues affecting individual Colleges or Schools, as indicated in this Review.

Funding has been maintained, with some growth through College funding.

Recommendation 16: As part of their evidence for allocation of their Library funding, Colleges and Schools identify and communicate clearly with the Library on the needs of new researchers, particularly those in new, emerging and interdisciplinary subjects.

The processes for this could be more rigorously enforced.

*How best value for money on expenditure might be achieved (Remit 3.2)*

Recommendation 17: Information Services should explore library resource allocation methodology practices at comparator institutions and use the results to confirm the most cost effective methodology for Edinburgh's needs. Two sorts of comparator institutions should be used: those in the Russell Group, and those who have a similar structure to the University.

The allocation method was changed to become the IEAM

Recommendation 18: The funding allocations to the Colleges are reviewed with urgency to ensure equity. These allocations should be reviewed regularly taking full account of the overall funding environment of the University.

This review is part of this process

Recommendation 19: The funding allocation split between top-sliced funds and individual College or School allocations should be regularly reviewed, to ensure maximum costeffectiveness. This should be included as a specific element of Colleges' reports to the Library Committee as proposed in Recommendation 3.

This has not changed and may be examined as part this review.

Recommendation 20: The Library Committee should identify the key value for money issues in relation to both the existing Library collections and future purchases. , and steer work to identify satisfactory measures to inform assessment of value for money in both contexts.

Work on Return on Investment and impact has continued and is presented to this Review

*The roles and responsibilities of Library staff and academic staff in collection development (Remit 3.5)*

Recommendation 21: The identified weaknesses in the decision-making and operational processes supporting collection development and management are resolved as a matter of urgency.

Better communication was put in place through the library management team to address this weakness

Recommendation 22: A number of issues arose during the Panel's consultations that require a review of routine operational processes and procedures within the Library and more widely across Information Services. These fell outwith the scope of this report, however it is recommended that the Vice Principal Knowledge Management and Librarian take note of these issues and reviews accordingly.

These issues have been, and continue to be addressed. The recent process review of Acquisitions and Metadata was part of this review process.

November 2011

## **Appendix D Information from Colleges on allocations**

### **Books & journals: notes on the acquisition of CHSS collections**

- The College of HSS allocates the funding it receives from Information Services according to an agreed formula
- Each year there is a sum top-sliced to cover e.g. ILL, cross-disciplinary books, journals, databases and a CHSS Librarian's fund
- School Liaison Librarians advise how much has to be set aside in each School for recurrent commitments (mainly journal subscriptions and standing orders), and what is left, put simply, is available for the purchase of books (print and electronic)
- My estimate would be that c. 90% of library book purchases in CHSS are made on the recommendation of academic staff, while 100% of journal titles suggestions come from academic staff. The remaining c.10 % of the book funds are used by Liaison Librarians and students to recommend book purchases
- Schools have a variety of ways of dealing with their allocation – some give specific sums to each member of academic staff, others have regular meetings to assess all recommendations for purchase which have been submitted by their colleagues. Yet others have a more informal, elastic process whereby the Liaison Librarian keeps an eye on the equity of recommendations made for each subject area in a School, and (sometimes in conjunction with the School library rep) will put a hold on any area which appears to be overspending. Numbers of copies to be ordered is also controlled through the Liaison Librarian
- Student recommendations come directly to the College Librarian who assesses them and forwards them to the appropriate School for acquisition if funding permits
- All recommendations are then processed by the Acquisitions & Metadata Department using book and journal suppliers as agreed through national University consortia

## **Extra monies given by CHSS and constituent Schools, 2010-2011**

**(To be used as an example, sums vary from year to year)**

### **College**

- £250k for general purchases
- £100k for Special Collections materials
- £25k for a cataloguing project in New College Library
- £8.5k as matching funding for a Special Collections cataloguing project in Moray House Library

### **Schools**

- £80k from the School of Law
- £5k from the School of Education
- £6k from the School of Business
- £5k from the School of Economics
- [£15k from the Church of Scotland via the School of Divinity]

Decisions on the expenditure of the £250k from the College were based on existing lists of desiderata compiled over the year by Liaison Librarians in conjunction with their Schools, by consultation with School Library reps, and finally by decision of the College Library Committee.

The expenditure of the £100k for Special Collections was the result of discussion amongst Library and academic staff, but also depended on what was available on the market at the time – in the depressed economy it was felt that we got very good value for the money spent, both at auction and through dealers.

Of the £494.5k extra monies received in 2010 – 2011, £441k (89%) was spent on materials' purchases, and the remainder on practical aspects of facilitating access to the collections.

Frances Abercromby  
12 January 2012

## **MVM: Acquisition of Collections, Books, Journals and Databases**

### **Budget Allocation and Management**

The materials funding is allocated within MVM according to a formula of 80% to the three Schools within MVM and 20% to the Vet School. There is no individual allocation to the 3 Medical schools as such in MVM as Medicine is treated as a “corporate” school – as is done at College level.

The 3 colleges operate very different allocation models; from the MVM model which is in effect a top-slice model to the more complex HSS which allocates out to schools. SCE operates a combination of the models used by MVM and HSS. For CMVM the only other variation is the income from NHS Lothian which has steadily been decreasing and from time to time necessitates cancellations.

- The budget is managed by the Head of Consultancy Services for MVM who allocates the annual budget and manages the expenditure over the year. From time to time if there is a need to cancel journals we will consult with the College Strategy Group but generally the decisions to cancel are taken on the basis of cost and usage. This has been working well for MVM for the past 10 years. When there is a real issue with a cancellation we will negotiate with the school/unit/individual and try to accommodate their needs.
- Within these allocations money is top-sliced for Inter-Library loans and databases.
- The majority of expenditure for MVM is recurrent for journals and databases. For example in 2010/11 95% of our budget is for recurrent spend on journals and databases. This leaves only approx 5% for expenditure on monographs.
- Many of the MVM journals are part of bundle deals so there is not much flexibility in changing them though we do examine usage figures and where these are low, and we are able to cancel, we will do this. We receive recommendations for journals from academics and as far as possible we try to obtain these. Where we do not have funds we keep a note of these and if funds become available or we are able to cancel other less well used journals we will endeavour to buy them.

### **Books**

- We are also buying more e-books as a matter of course but these are less available, or more costly than print versions, in the disciplines of medicine and veterinary medicine.
- All recommendations for books are processed by the Acquisitions and Metadata department using book and journal suppliers as agreed through national University consortia.

### **Databases**

- Some databases are core ie Medline and some we buy when we can afford them. In the past we have cancelled databases where use of these has not justified the expenditure or the money could be used more effectively in purchasing journals.

### **Topslicing**

- Due to the high percentage of expenditure on recurrent resources in the MVM budget a model of top-slicing would work well for MVM.
- The College has a mandate to move to electronic provision where this is available and cost-effective and we have been gradually moving our journal subscriptions to online only over the last few years.



- We share costs for some resources with Science and Engineering and some other cross disciplinary resources with HSS. This approach has worked well as the trend for more cross-disciplinary work has been increasing and would also support a top-slicing model.

Irene McGowan  
Head of Consultancy Services for MVM  
January 2012

## Science and Engineering: library materials budget

### Budget allocation and management

- A proportion of the budget (28% in 2011/12) is top-sliced to fund a range of inter-disciplinary resources, including some bibliographic databases, general science journals, components of electronic journal packages, Springer journal subscriptions, and inter-library loans
- The remainder is allocated between the 7 Schools using a model agreed with the College some years ago and in which student numbers account for 60% and staff numbers 40%
- For the past few years the College has provided Sustainability Funding in response to bids from IS. This year the funding is £171k and has allowed further journal cancellations to be avoided
- In recent years there has been no other additional funding forthcoming from the College or from the the Schools
- The budget is managed by the Head of Consultancy Services for S&E, working closely with a range of staff in the Library & Collections Division

### Expenditure

In 2010/11 the split was as follows:

- Journals (print only, electronic only, print/electronic combined) – 82.6%
- Bibliographic databases – 13.5%
- Books (print and electronic) – 3.5%
- Inter-library loans 0.4%

### Journals

- Most subscriptions are allocated to a single School, though there are some charged to multiple Schools. Some titles are shared with HSS and with MVM
- In Summer 2010 a major cancellation exercise was carried out in order to keep within budget. This was a complex and time-consuming project requiring close working with the College Office, as well as much consultation by the Liaison Librarians with their respective Schools. Cancellations of electronic journals were largely identified largely on the basis of high cost per use.
- In some of the School funds a very large proportion of the budget is now devoted to journal subs, leaving very little left for book purchase.
- There are significant differences in the ability of each School to cancel subs; some have a very high proportion of their subs included in bundles and packages.
- Over the last few years virtually no new journal subscriptions have been placed (unless they come automatically as part of a package) because of the increasingly difficult financial position.
- Recently, many of the combined print/electronic subs have been moved to electronic only
- The processing of invoices, renewals, negotiations of licences etc are all handled by Library & Collections Division colleagues

### Books

- Book purchase varies between the Schools depending on the availability of funding
- While the actual amount spent on books has fluctuated in recent years, the overall trend has been down as more of the budget has had to be devoted to journal subscriptions

- In the last couple of years more electronic books (packages and individual items) have been purchased
- Recommendations for purchase are made by teaching staff and by the Liaison Librarians
- A web form is available to allow students to suggest books for possible purchase
- Books are ordered by the Acquisitions and Metadata Team

**Bibliographic databases**

- In Summer 2010 a number of significant bibliographic databases were cancelled for financial reasons to reduce the need to cancel more journal subscriptions
- Those that are left (BIOSIS, SciFinder Scholar, CABI, MathSciNet) are all charged to the top-sliced fund

Richard Battersby  
Head of Consultancy Services for S&E  
February 2012

## **Appendix E: Additional comparator statistics**

In the following tables, the following definitions are used:

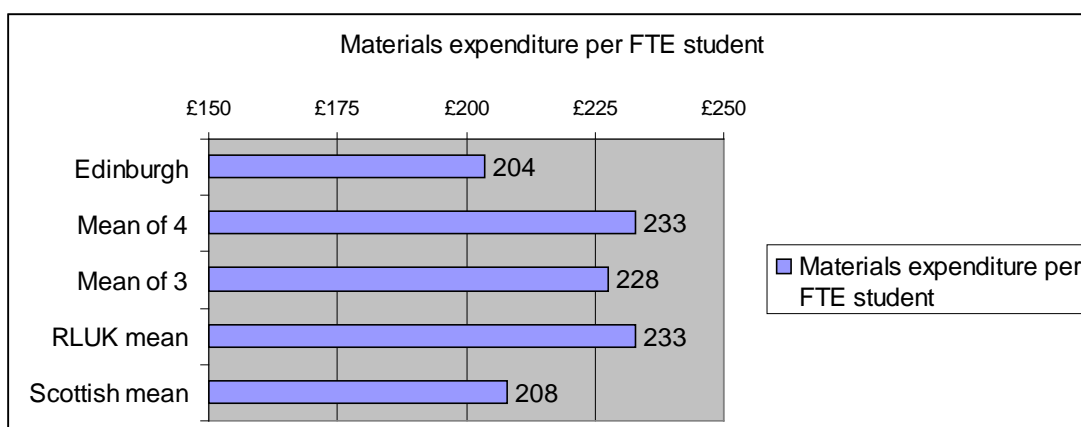
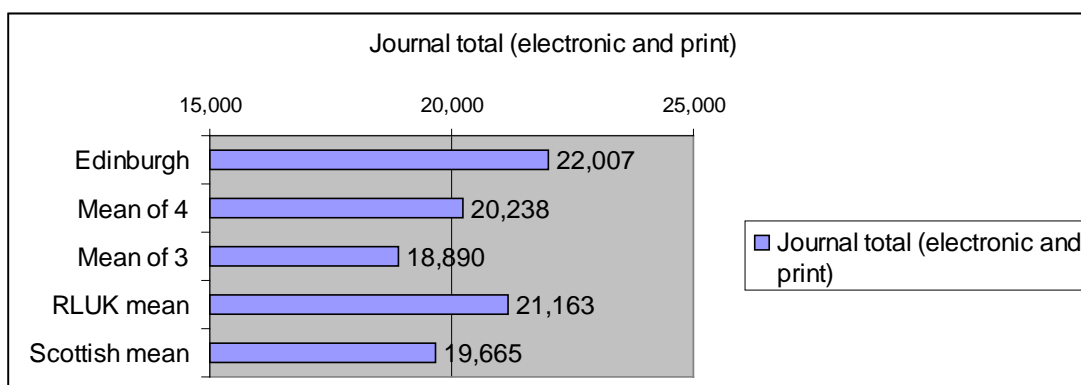
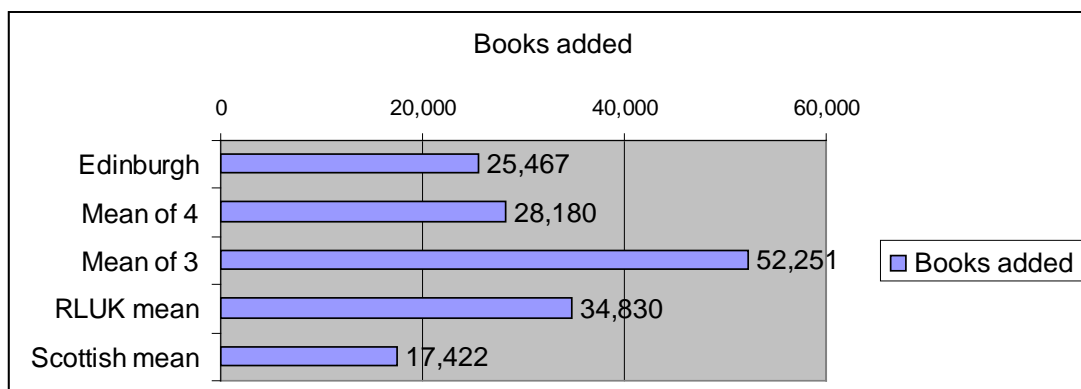
“Edinburgh” is the University of Edinburgh’s figure. NB Edinburgh is not included in any of the other groupings, except “RLUK mean”

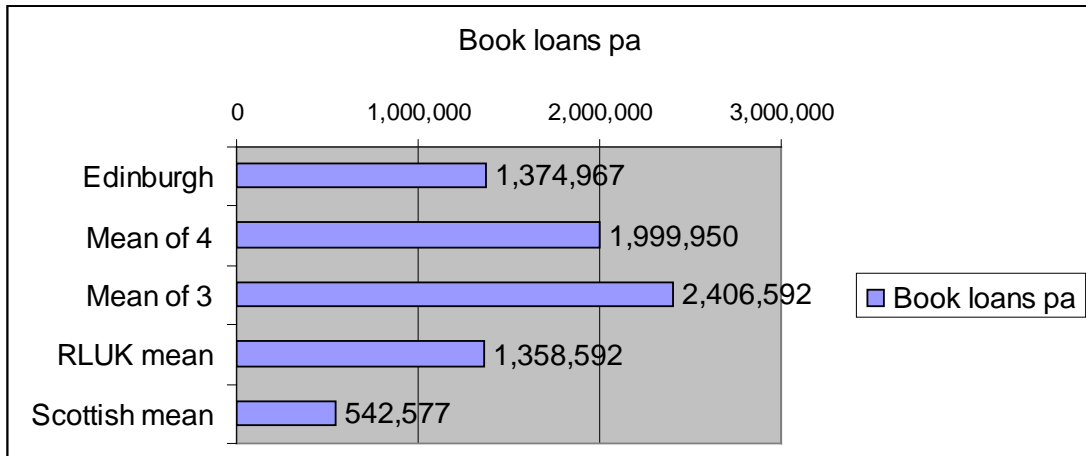
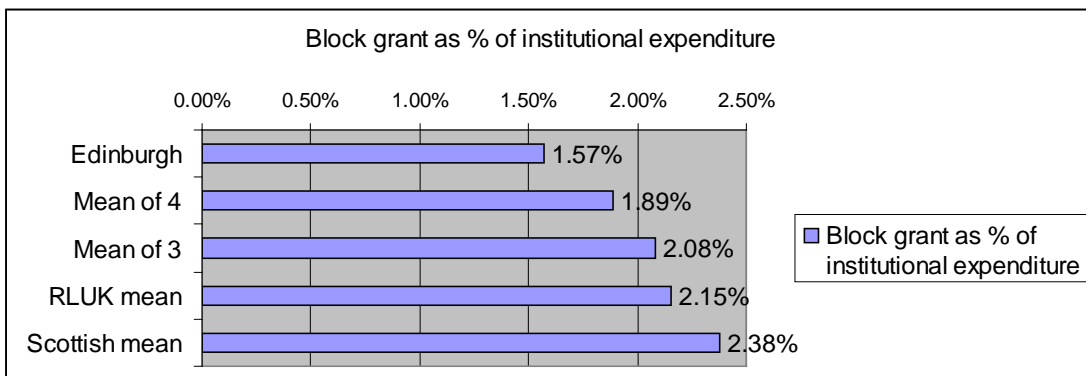
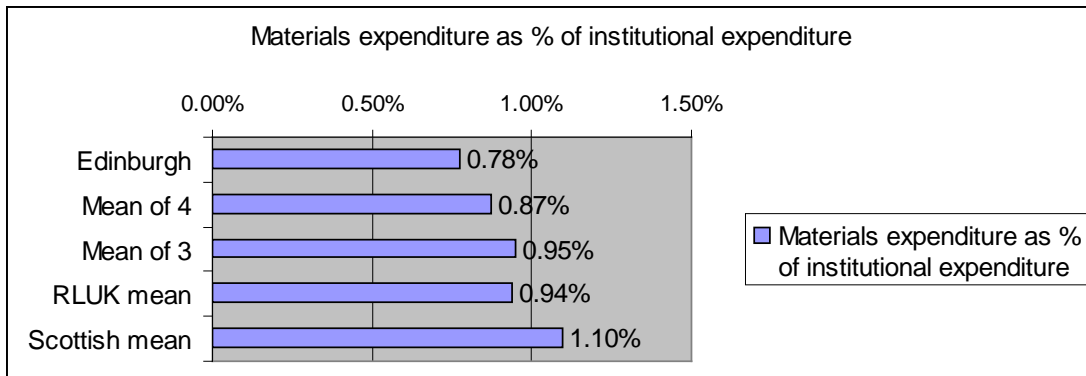
“Mean of 4” is the mean of Imperial, Leeds, Manchester, UCL

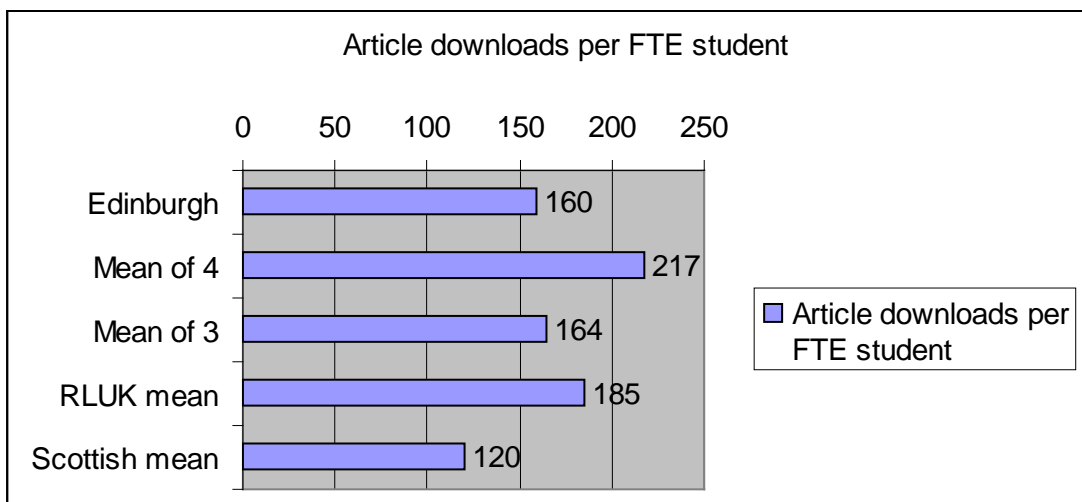
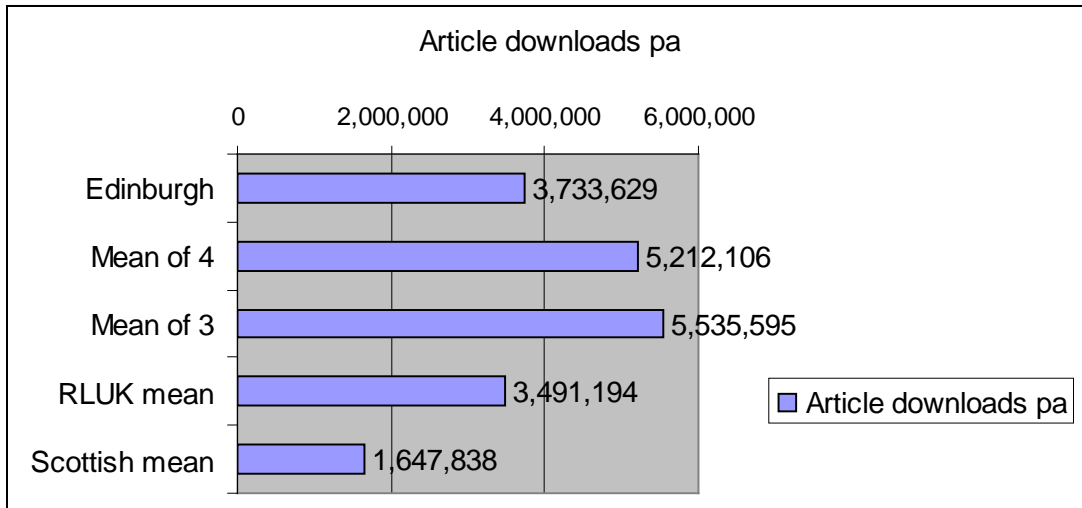
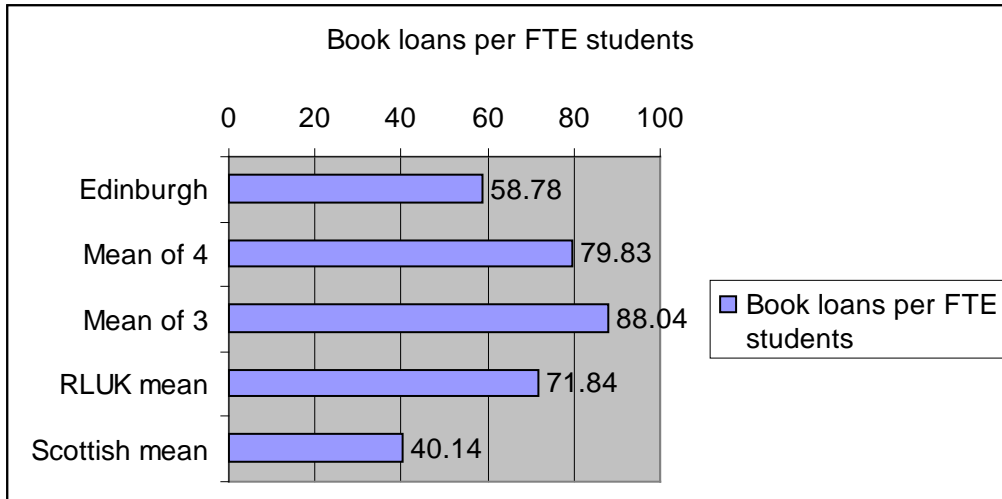
“Mean of 3” is the mean of Leeds, Manchester and UCL

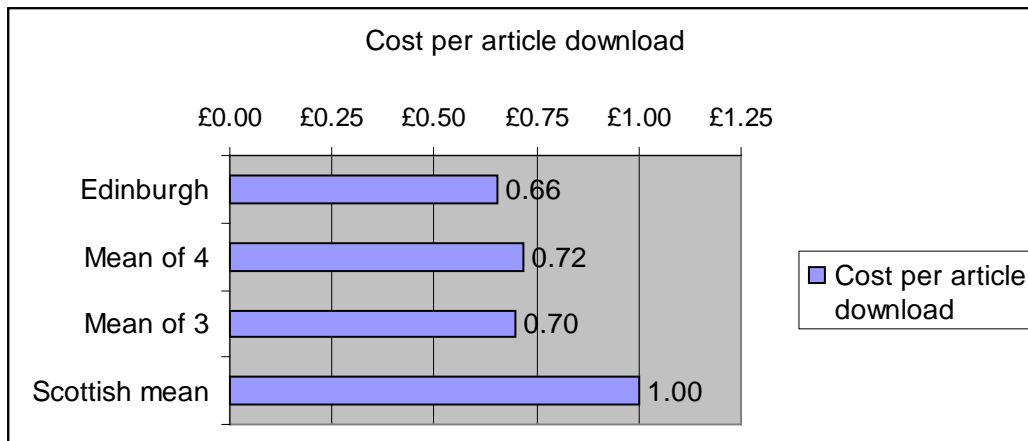
“RLUK mean” is the mean of all Russell Group universities

“Scottish mean” is the mean of Aberdeen, Glasgow, St.Andrews









SC, January 2012

## **Appendix F IS Services costs**

This table below shows the costs of services in Information Services, based on 2008/09 costs, nominally allocated to Colleges. IS is currently working to update this methodology, but this is not yet ready. These calculations have been made based on the costs of teams, not all costs of a particular service, so that issues to do with, for example, e-journals fall across several teams in the lists below.

This table only includes costs related to library issues.



IS Services costs based on 2008/09 Expenditure										
IS Service cluster name	Service cluster details	Staff cost	Non-staff cost	Total Service cost	Income generated by IS	Net cost	Allocation method to Colleges	Service allocation of net cost Colleges		
		08-09	08-09	08-09	08-09	08-09	Models A-B-C	HSS	MVM	SCE
		£k	£k	£k	£k	£k		£k	£k	£k
							A-Staff & Students	39.6%	18.0%	25.7%
							B-Staff	20.6%	22.8%	22.5%
							C-IEAM	41.2%	24.0%	34.8%
<b>Rate</b>										
<b>Library materials (books)</b>	Collection development, acquisition, cataloguing and description of library materials (print and electronic books)	716	912	1,628	(213)	1,415	By library materials books expenditure HSS 76.6%; MVM 7.8%; SCE 15.6% HSS virements inc. here)	1,038	126	251

Appendix F

<b>Library materials (journals)</b>	Collection development, acquisition, cataloguing and description of library materials (print and electronic journals)	132	4,046	4,178	(262)	3,916	By library materials (journals) expenditure HSS 35.9%; MVM 22.7%; SCE 41.4% (SCE virements inc here; all credits inc here)	1,419	908	1,589
<b>Document delivery</b>	Document delivery □pening□g inter-library loan of items not in the library collection and e-reserve	99	18	117	(7)	110	C-IEAM	45	26	38
<b>Digital Library</b>	Delivery and management (not acquisition) of digital library resources, including Research Publications Service and repositories	743	160	903	(59)	844	C-IEAM	348	203	293
<b>Collections management</b>	Shelving, management, relegation and transfer of existing collections, journal and book	566	98	664	(46)	618	C-IEAM	255	148	215

Appendix F

	binding service									
<b>Centre for Research Collections</b>	Curation and use of University's Special Collections, Archives, and Lothian Health Service Archive	650	79	729	(50)	679	HSS 60%; MVM 20% SCE 20%	407	136	136
<b>IS Helpdesk at Main Library</b>	Services delivered in Main Library, including evening/weekend opening. Includes: face-to-face help; circulation of books and other material eg laptops, clickers; photocopying services; self-help service	438	37	475	(171)	304	C-IEAM	125	73	106
<b>IS Helpdesks at HSS Site Libraries</b>	Services delivered in 4 site libraries, including evening/weekend opening in some of the sites. Includes: face-to-face help; circulation of books and other material eg laptops, clickers; inter-library loan services, photocopying services; self-help services. Collections activities including journal	382	32	414	(70)	344	Actual service cost for College	344		

Appendix F

	check-in, journal binding preparation, and shelving									
<b>IS Helpdesks at MVM Site Libraries</b>	Services delivered in 5 site libraries, including evening/weekend opening in some of the sites. Includes: face-to-face help; circulation of books and other material eg laptops, clickers; inter-library loan services, photocopying services; self-help services. Collections activities including journal check-in, journal binding preparation, and shelving	217	9	226	(139)	87	Actual service cost for College		87	
<b>IS Helpdesks at SCE Site Libraries</b>	Services delivered in 5 site libraries, including evening/weekend opening in some of the sites. Includes: face-to-face help; circulation of books and other material eg laptops, clickers;	262	9	271	(19)	252	Actual service cost for College			252

Appendix F

	inter-library loan services, photocopying services; self-help services. Collections activities including journal check-in, journal binding preparation, and shelving									
<b>IS Helpline</b>	Frontline point of contact for email and phone enquiries on any IT, Library or elearning issues.	582	4	586	0	586	A-Staff & Students	273	129	184
<b>Consultancy Services for CHSS</b>	Provides high level professional advice covering the domains of IT, elearning and library including library materials selection. Facilitates communication between the College and Information Services.	697	3	700	(2)	698	College Service	698		
<b>Consultancy Services for CMVM</b>	Provides high level professional advice covering the domains of IT, library and elearning, and facilitates communication between the College and Information	361	2	363	(16)	347	College Service		347	

Appendix F

	Services									
<b>Consultancy Services for CSCE</b>	Provides high level professional advice covering the domains of IT, library and elearning, and facilitates communication between the College and Information Services	378	1	379	(21)	358	College Service			358
<b>Total</b>		<b>17,124</b>	<b>9,898</b>	<b>27,022</b>	<b>(5,484)</b>	<b>21,538</b>		<b>9,736</b>	<b>4,806</b>	<b>6,995</b>

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## Appendix G: Use of bundles by Schools

The College Librarians have looked at bundles to provide information on which Schools are likely to use them, with 1 considered high use, 2 lower usage. It is not possible to provide statistical information about usage. Bundles which do not meet criteria or “2 Colleges or 3 Schools” highlighted This work should be considered preliminary and will require checking if decisions are to be made based on these criteria.

	HSS											MVM				S&E						
	Busi ness	Divi nity	Eco nomi cs	ECA	HiS S	HCA	Law	LLC	MH (Edu c)	PPL S	SPS	Bio Med Sci	CSC H	MC M	Vet	Biol Sci	Che m	Engi neer ing	Geo Scie nces	Infor matics	Maths	Phy sics &A
<b>Bundles</b>																						
American Chemical Society															2	1	1					
Annual Reviews												2	2	2	2	1	1	1	1	1	1	1
Berg				1					2								comment					
BMJ Publishing					1				2			1	1	1	1							
Cell Press					2							1	1	1	1	1						
CUP	2	1	2	2	2	1	1	1	1	1	1				2	1	1	1	1	1	1	1
ScienceDirect	1	2	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1
EUP		1		2		1	1	1		1	1											
Intellect				1					2													
Institute of Physics																	2	1				1
JSTOR	1	1	1	1	2	1	1	1	1	1	1				1	1	1	1	1	1	1	1
Karger Journals					2							1	1	1	1	2						
Nature Publishing Group					2							1	1	1	1	1	1	1	1	1	1	1
OUP												1	1	1	1	1	1	2	1	2	1	1
Project MUSE	2	1	2	1	2	1	2	1	1	1	1											
Royal Society of Chemistry																2	1	1				
Science Online												2	2	2	2	1	1	1	1	1	1	1
Springer	1	1	1	2	2	2	2	2	1	1	2	1	1	1	1	1	1	2	1	1	1	1
Wiley-Blackwell	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1
<b>Packages</b>																						





Appendix G

Artstore				1																	
ATLA		1																			
Biosis Previews												1	1	1	1	1				1	
British Education Index												2									
Business Source Premier	1		1					2				2	2	2	1						
CAB Abstracts												2	2	2	1	1				1	
CINAHL					1								2	2							
Construction Information Service				1																1	
Digimap																				1	1
Digital Dissertations	1	1	1	1	1	1	1	1	1	1	1	2	2	2	2	1	1	1	1	1	1
Econlit	1		1																		
Educational Research Abstracts												2									
Embase												1	1	1	1	1					
Factiva	1		1	2				2													
Faculty of 1000 Biology & Medicine												1	1	1	1	1					
Geology Digimap															1					1	
Global Health					2							2	1	2	1	2					
Grove Art Online		2		1																	
Grove Music Online				1																	
IEL Database																			1		1
Index Islamicus		1				1		1		2											
Lexis Nexis							1														
Linguistics and Language Behavior Abstracts								2		1											1
Literature Online								1													
Mathscinet																					2
Medline					1							1	1	1	1	1				2	
MLA International Bibliography								1													
Oxford Dictionary of National Biography		1				1	2	1		2	2										



## Appendix H Extracts from LibQual report

### Edinburgh University Library Committee LibQual + Survey 2011

#### **FULL REPORT**

Available here in due course: <http://www.ed.ac.uk/schools-departments/information-services/about/organisation/library-and-collections/library-and-collections-about/strategy>

#### **Introduction**

In November 2011, Information Services participated in the international LibQual+ survey which helps libraries define and measure service quality. The University Library has participated in the survey every two years since 2003.

In 2011 the number of valid responses was 1320 which is more than twice the number of responses received in 2009. Almost half of all respondents (48.6%) added a free text comment, again a significant increase on 2009.

This paper is an overall review of the results, and includes 2 appendices. Appendix A (page 7) is background information to the survey; and Appendix B (page 10) is an analysis of the free text comments.

At the April meeting of Library Committee, there will be a paper on responses to the survey, covering how we intend to address the issues raised in the survey.

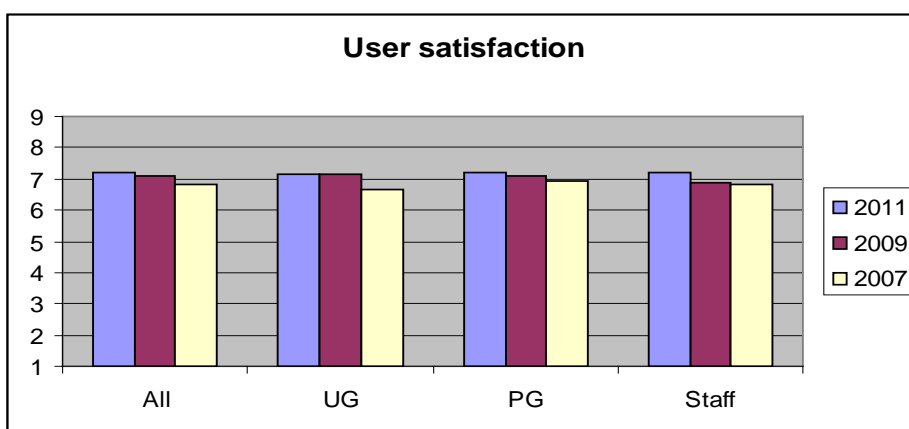
#### **General satisfaction**

There are three general questions which respondents were asked to rate on a scale of 1 (strongly disagree) to 9 (strongly agree):

1. In general, I am satisfied with the way in which I am treated at the library
2. In general, I am satisfied with library support for my learning, research and/or teaching needs
3. How would you rate the overall quality of the service provided by the library? (*extremely poor to extremely good*)

The graph below shows the average scores for all three questions, for each of the user groups, for the surveys conducted in 2007, 2009 and 2011.

Overall, scores for 2011 are higher than 2009. Results indicate that the perception of service quality has increased most amongst Academic staff and least amongst Undergraduates. This is in contrast to 2009 when the opposite was observed.



**User expectations**

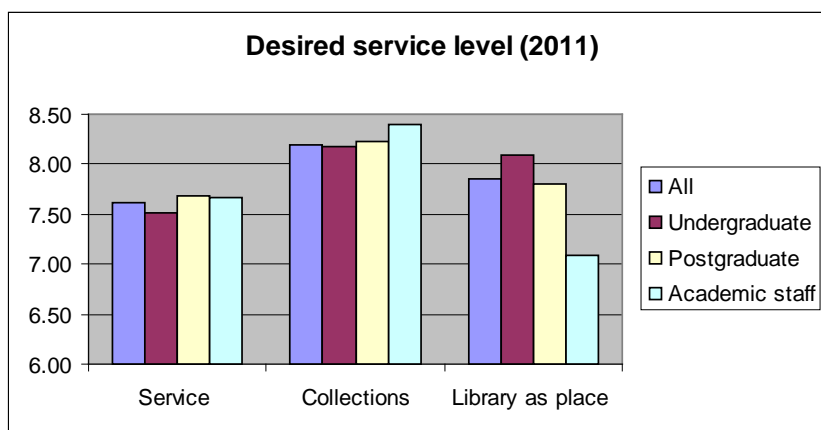
User expectations can be determined by the scores placed on the core questions. The greater the desired service level score the greater the quality of service expected from the user.

For postgraduates and Academic staff, the questions relating to the collections and access to the collections receive the highest scores. The high scores given by undergraduates reflect how much this group value the Library space as much as provision of, and access to, the collections.

User group	Most valued services
Undergraduates	Quiet place for individual work, access to required print/ electronic journals and access to e-resources outwith the library, a haven for study, learning or research.
Postgraduates	access to required print/ electronic journals and access to e-resources outwith the library, tools and means to access electronic resources- including website to find information on own
Academic Staff	access to required print/ electronic journals and access to e-resources outwith the library, tools and means to access electronic resources- including website to find information on own.

The graphs below illustrate average desired service level scores for each of the three categories or ‘dimensions’ of questions (see Appendix A). Service level scores are provided for each user group and for all users combined.

All users place significantly higher priority on the quality of the Collections. Library as place is most important for Undergraduates and least important for Academic staff. This is consistent with 2009 and with previous years.



**Service adequacy**

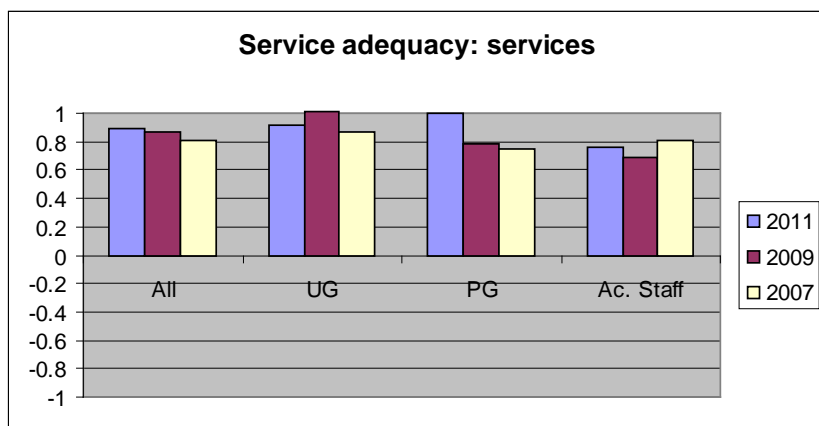
For each of the 22 core questions users were asked to rate the service quality they would like to receive (desired), the minimum they would expect to receive (minimum) and what they actually receive (perceived) (see Appendix A).

Service adequacy is then calculated by comparing the minimum scores and the perceived scores for each of these questions. In this way Libraries can determine the extent to which they are meeting the minimum requirements of their users.

A positive score indicates that the actual service is above the minimum level expected and a negative score indicates the users’ perceived level of service is below the minimum they would expect. It is rare for libraries who conduct the LibQual+ survey to achieve the desired service levels.

The graphs below show the average service adequacy scores for the questions in each of the three dimensions (see Appendix A), for each user group, for the surveys in 2007, 2009 and 2011.

### Services



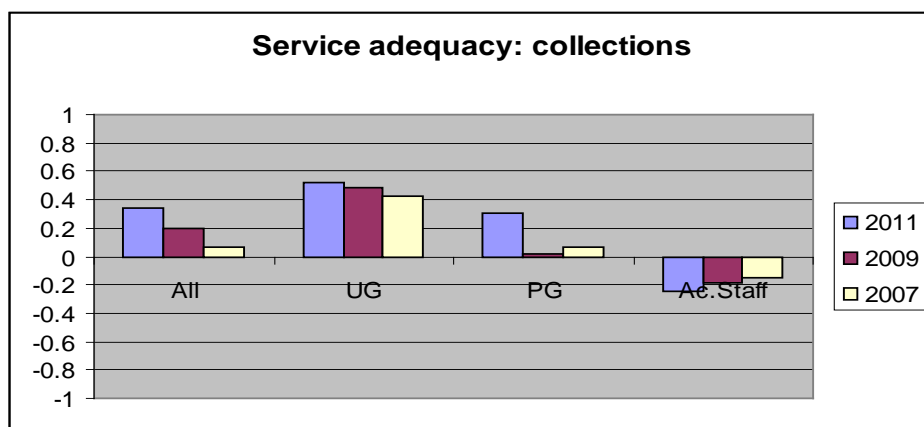
There are nine questions relating to services and library staff, the graph above shows the average adequacy scores for all questions.

Overall, the score for all users has improved on 2009. Postgraduates and Academic staff both rate quality of service higher in 2011 than they did in 2009, however, undergraduates rate it slightly lower.

As in 2007 and 2009, no question relating to library service and staff received a negative score. Indeed this has been the case since the first survey in 2003. Free text comments received further reinforce the overwhelmingly positive feedback about the services provided by library staff and the library staff itself.

### Collections

The answers relating to the eight questions on both the provision of collections and access to resources have been averaged. This is the category where user expectations are highest.



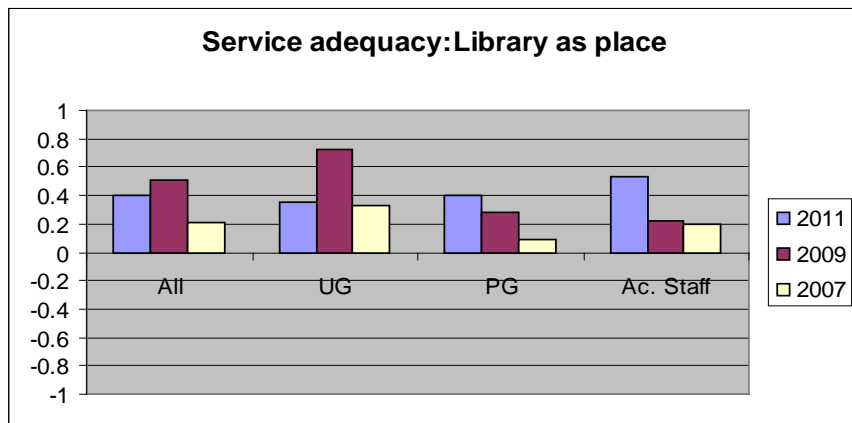
Overall, in 2011, service quality in this area continues to improve. The most significant positive change in perception of service quality has come from postgraduates, particularly in terms of provision of and access to electronic resources. However, when it comes to having the printed material needed for their work, postgraduate students perceive the service to be **below** the minimum expected.

As with 2007 and 2009, the scores for 2011 show that Academic staff have the lowest perception of service quality with regards to provision of collections and access to collections. Although still negative, in 2011, there is improvement in the

perception of delivery of printed materials. However, there is an additional negative score for easy-to use- access tools to help find information.

The Collections Review, chaired by Vice-Principal Nigel Brown, will wish to take note of these results as they consider the library's materials budget.

### Library as place



The graph above shows the average scores for the five questions about the Library as place.

The results for 2011 show a lower score than in 2009. This is due to a sharp fall in overall satisfaction from undergraduates (50.4% of survey respondents). However, postgraduate and Academic Staff opinion on Library as Space continues to improve with each survey.

Overall, when averaged, the scores for the five questions in this category are positive.

However, we received an overall negative score for the question, *Quiet space for individual work*, from both undergraduates and postgraduates. For these groups the perceived level of service, in relation to this question, is **below** the minimum level of service expected. Given the impact of the ongoing Main Library re-development, the popularity of this library and the importance placed on study space by undergraduates, this score is not surprising.

This result is reinforced by the large number of opinions expressed in the free text comments regarding lack of desks, computers and study space in the Main Library. This is a reflection of the popularity of this library rather than a criticism, and presents a challenge to IS, and indeed to the University as a whole, to provide good quality study space across the campus to meet users' growing expectations.

In this category we achieved the desired service level for a question: Academic staff rate the provision of group study and learning space provided as **above** the desired level.

### Library Selected Questions

Users were also asked to rate following five 'local' questions which we selected from a list provided by LibQUAL+:

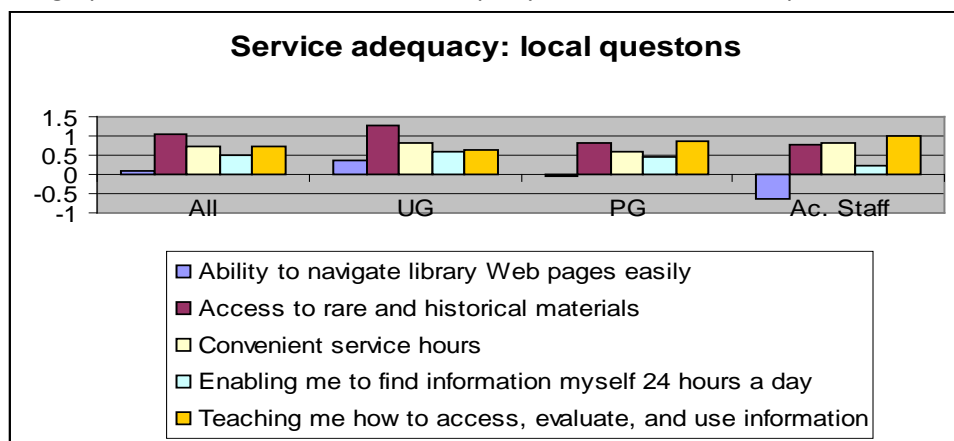
1. Ability to navigate library Web pages easily
2. Access to rare and historical materials
3. Convenient service hours
4. Enabling me to find information myself 24 hours a day
5. Teaching me how to access, evaluate, and use information

The most important of these, for all three user groups, are: the ability to easily navigate web pages, convenient service hours and the ability to find information themselves 24 hours a day.

Academic staff have the greatest expectations when it comes to the ability to easily navigate library web pages and the ability to find information themselves 24 hours a day. Undergraduates have the highest expectations with regards to service hours and Academic staff the lowest.

When it comes to providing library web pages which are easy to navigate we fall **below** the minimum level of service expected by postgraduates and Academic staff.

The graph below shows the service adequacy scores for the local questions in each for each user group.



### Survey comments

A total of 642 comments were made. This represents 48.6% of survey respondents. Over half the comments (343) came from undergraduates. Comments recorded broadly support the findings of the report. A detailed analysis of the comments has been prepared and we will act appropriately to address any concerns raised.

A summary report of the comments is attached as Appendix B.

## LibQual + Survey 2011

### Comment Analysis – Appendix B – Comments on collections only

At the end of the LibQual + survey participants are invited to leave a comment. We received 1320 valid responses to the survey and 642 comments. Almost half of all respondents (48.6%) made a comment.

Comments were made anonymously. However, participants were encouraged to leave an email address to enable us to respond directly to feedback. Only one user supplied contact details. Users, having supplied an email address to enter the prize draw, may not have realised that, if they wished a response, they were required to add their email address twice.

#### Demographics

Number of comments per user group:	
Undergraduate	343 (53.4%)
Postgraduate	165 (25.7%)
Academic Staff	84 (13.1%)
Other Staff	44(6.9%)
Library Staff	7 (1.1%)
No user group given	5(0.8%)

Comments by college affiliation:		Total respondents by college affiliation (%):
HSS	389 (60.6%)	61.6%
MVM	67 (10.4%)	11%
S&E	145 (22.6%)	24.6%

Number of comments by most used library site:	
Main Library	473 (73.7%)
Darwin Library	32 (5%)
Moray House Library	27 (4.2%)
ECA Library	23 (3.6%)
Law and Europa Library	20 (3.1%)
New College	13 (2%)
Robertson Engineering & Science Library	9 (1.4%)
A class library	9 (1.4%)
The Lady Smith of Kelvin Veterinary Library	7 (1.1%)
Western General Library	5 (0.8%)
James Clerk Maxwell Library	4 (0.6%)
Royal Infirmary Library	3 (0.5%)
Scottish Studies Library	1 (0.2%)

#### Introduction

Comments covered a wide range of subjects and, inevitably, there is a mix of positive and negative feedback. The fact that so many users chose to leave a comment is testament to the value they place on the library service. Even when users have a particular issue to highlight, the majority remain very positive about the library service in general.

The comments back up the findings of the main LibQual+ Survey in the three main categories: Services, Collections and Library as place. Our users have helped us by providing valuable feedback. We will carefully consider their comments and suggestions and work to continue to improve the quality of the library service.

#### Comments by category



The following 12 broad headings were used to categorise the comments.

	Category	Number of comments	Percentage of total comments including a reference
1	Library as place	283	44.1%
2	Collections	195	30.4%
3	Staff	129	20.1%
4	Computers	124	19.3%
5	Library systems + website	97	15.1%
6	Site / Class Libraries	74	11.5%
7	Opening Hours	51	7.9%
8	Other	39	6.1%
9	Survey feedback	33	5.1%
10	Information skills	25	3.9%
11	e-users	17	2.6%
12	ILL	11	1.7%

...

## **2. Collections**

30.2% of all comments made refer to the library's collections and how they are managed.

167 comments (26% of total comments received) concern lack of printed books. There is clearly still a demand from users, across disciplines, for access to print materials. Users would like more up-to date books in certain subject areas and more copies of high use books and core texts which students often find impossible to obtain – even when placed in the HUB/reserve collection.

Users also mention having to go to other university libraries or to the National Library for access to books.

Inevitably, the library collections do not provide online access to everything users would like. However, it is clear from the comments received, that users would like more journals available in their subject area, access to specific key journals (named in comments) and online access to older journal issues.

An academic sums up the issue:

Expanding the range of quality electronic resources without sacrificing commitment to the print collection strikes me as our current challenge.

There are 29 comments which make reference to the HUB/reserve collections. Four users are positive about the services, 10 want more copies to be available in the HUB/reserve collections and a further 10 comments make reference to the difficulties time restriction on HUB/reserve items causes. One user would like to be able to renew HUB items online. One user comments that access to the reserve section at Darwin Library should be available 24 hours a day.

- 6 comments refer to missing books not being replaced.
- 2 users mention being unsure about how to find out more about and use rare books and special collections.
- The facility to make requests (aka holds/recalls) online would significantly improve the quality of service for six users. These users are surprised this isn't possible. An HSS academic points out that, "Plenty of other universities

have found a way to provide this particular service” and a postgraduate thinks, “having to go into the uni every time to recall a book is ridiculous”.

- Five users would also like to be able to return items to any library site – not just to the issuing library.

### **5. Library systems and website**

15.1% of comments relate to library systems and the library website. Comments on library systems tend to relate to user’s specific issues rather than general problems. Nevertheless, they are an indication of issues experienced by the wider user population.

- 10 users comment that the library catalogue can be difficult and confusing to search.

An HSS undergraduate suggests the cause of the confusion:

....there seem to be at least three different ways of searching the library catalogue (find it @ Edinburgh, classic search, Aquabrowser) and not all of them are reliable.

- Checking availability of an item on the catalogue only to arrive at a library to find the book is not on the shelf is a frustration highlighted by 9 users.
- 8 users find searching for e-journals complicated and at times difficult.
- Off campus access is problematic for 7 users. However, 5 users comment on ease of access off campus.
- 8 users referred to Searcher. There are mixed comments. An undergraduate thought the e-journal access via Searcher was ‘excellent’ However, two users point out that they often find articles on Searcher they can’t access and two users would like it to be ‘simplier’ and ‘easier’ to use.

In the main LibQual+ report postgraduates and academic staff scored us below the minimum service level for the local question, *Ability to navigate library Web pages easily*.

Therefore, it is surprising that the library website is only mentioned by 17 user comments (2.6% of total comments).

10 users found the library website difficult to navigate. Criticisms include the catalogue and Aquabrowser not being prominent or easily accessible and the search function being unreliable.

One user would like a more visible library webpage. However, one user did praise the online help available and one user comments web access is ‘straightforward’.

An Academic (S&E) sums up the issue:

....[my] only criticism is the web pages, which currently are NOT user friendly - with lengthy explanations as to how to use the different services, but no obvious links to access said services! ...

...

## **12. Other**

There were 39 comments touching on a wide range of topics not covered elsewhere and categorised as ‘other’. Many are reflect users own personal issues or make suggestions for improvement and do not fall into a particular category.

- 2 comments came from students with dyslexia who say we need to do more to provide alternative options to help dyslexic students use the catalogue and website as finding and locating books is ‘often very difficult’. One student suggested providing features such as spellcheckers or autofill.
- Two disabled users made comments about negative experiences using the library.
- 3 people commented on guest users. 2 people (both academic staff) would like to see access made easier for external users, while an undergraduate thinks it’s ‘unacceptable’ there are so many guest users when space in the Main Library is so limited.
- 3 people made comments about uCreate. One academic said it was a ‘great’ service and two others said that the computers with scanners were unfortunately, always occupied by people not using the scanners.
- 5 users make reference to the amount paid in fees and how, as a consequence, they expect to have adequate copies of books and study space. Two users point out that they then pay again for InterLibrary Loans when the library doesn’t have required materials.

An undergraduate sums up the grievance:

I find it VERY frustrating the fact that we pay so much for fees and countless times the library does not have a book a require, or a paid subscription to particular academic journals-in these cases the library/university should cover the cost of the inter-library loan and not me who has already paid a substantial amount in fees to cover such resources!

...

## **12. ILL**

Eleven comments include references to the Interlibrary Loans service. This represents 1.7% of total comments

<b>Comments came from four groups:</b>	
Postgraduate Taught	2
Postgraduate Doctoral research	6
Academic research staff	2
Undergraduate (4 <sup>th</sup> year)	1

A Postgraduate (doctoral research) praises the service:

The library offers a great inter-library loan service though, which I have often used..... thanks for that!

- One would like it if this service was offered- clearly unaware it already exists.
- Three people think it’s too expensive. One user believes that as he pays fees he shouldn’t have to then pay for ILL. One undergraduate explains,

...the library/university should cover the cost of the inter-library loan and not me who has already paid a substantial amount in fees

- One user would like more feedback from staff if an item is taking a long time to be delivered.

## **Appendix I Student priorities**

Library Collections Review Committee

### *Student Priorities*

By Matt McPherson – EUSA President

#### Summary

- Digitalised texts must be driven forward
- Fluidity in school provision for joint-honours and cross research students
- Inter-library loans take far too long
- There is a lack of up-to-date research publications (specific examples will be sought)
- The library needs to update their catalogue taking account of missing books – a reporting system for such occurrences should be instigated
- The James Clerk Maxwell library is comparatively poor
- School Reps should be used more to help list priorities
- The Law Library is shut over Christmas which is inconvenient when essays are due
- More accurate demand – measuring systems

#### Related Issues

- Printing and scanning facilities are not reliable
- Business School students have a separate printing account so they have difficulty printing from computers elsewhere in the campus

#### Outline

The LCRC have discussed the importance of the holistic experience to the student in regards to library provisions. However, we appreciated that our approach had been somewhat institution, college and school focussed, and so I was asked to compile some student priorities for the years ahead.

I brought this issue to the Students' Representative Council Executive, and the members shared their concerns with me. The division which exists as a result of this focus group is not necessarily the gift of the LCRC, but should be part of its strategic objective of this period.

#### Key themes

##### Measuring Demand

Even where a book may not be available, there should be an electronic way of measuring demand for that text. The means of selecting which texts to request for courses varies from school to school, and LCRC has stated that this system needs firmed up. However, there is an opportunity for students to measure demand rather than staff at the University. This may give us more accurate measures.

Further to this, staff should be informed of expectations in regards to which texts will realistically be available for their courses. If the Library cannot meet the necessary requirements of the course, others texts should be sourced, or the course itself should be restructured. The reason for this is that academic attainment should be based upon academic originality and ability – not a race on who can get precious texts first.

### An Holistic Experience

There is a lack of equality across the University as a whole, in regards to academic provisions. It should be explored that the Main Library in George Square does better in facilitating a greater range of courses, so that Veterinary Medicine students, for example, who cannot access their campus at weekends due to public transport, can access key texts and appropriate programmes for the continuation of their studies.

Joint-Honours students, and those post-graduates committing to research over a range of strict disciplines, understandably require texts from a range of sources, which are not in the same category as those texts of extremely high demand and usage. It is therefore important to these students that resources are not totally demand led. The library, in a way, must take a leading role – and empower academics to adopt a similar position – to provide texts and access to journals which we would hope people will want to look at, and which will allow students to further research, not simply provide for the ‘mass’ courses.

Browsing the University’s – rather than the Main Library’s – collections is very appealing. It should be clearer to students what the institution has in total, rather than adopting the current system, in which there are a range of ways to search for items. It is also confusing for students in regards to where they should go in order to get them.

### On-going Dialogue

The SRC Executive felt that Library Committee was a welcome forum through which representatives could air concerns and contribute to better services. However, School Reps could be contacted more frequently, or have a more fluid way of contacting the University in regards to bringing attention to needed focus in library service provision. This again could link to the demand which simply cannot be met by certain courses – a trait which I imagine some departments will simply be more guilty of than others.

There must also be clearer detail of exactly what provisions are open to each type of student (undergraduate, postgraduate, etc.). Many students are not aware of the special collections material – something which may be considered to be opened up to undergraduates in order to inspire a greater depth of learning, and also ambition to go on to do research.

## Appendix J Gold Open Access at the University of Edinburgh: working out a yearly cost

### Executive Summary

As there is no direct way to determine the total cost of papers published as open access at the University of Edinburgh we don't have enough data to give a comprehensive answer.

However, we can make an informed guess by using UK PubMed Central (UKPMC) to estimate the number of open access articles from the University of Edinburgh. Noting the inherent limitations - the service only indexes biomedical and health research - we can suggest a lower ballpark figure for the amount spent on Gold OA.

Based on previous publication figures and article processing charges we would indicate that during the 2011/12 academic year the University of Edinburgh will spend in the region of £996,075.

### Methodology

There are a number of ways to determine the amount of money spent on Gold Open Access fees at the University of Edinburgh. The options are:

1. Finance data
  - a. Using account codes
  - b. Wellcome Trust data
2. Search from aggregators (e.g. PMC or WoS)
3. Search direct from publishers

The following section discusses the merits of these options and recommends an approach.

#### 1. Finance data

Theoretically if open access costs had their own finance account code then these costs could be accurately given. Unfortunately the official accounts code list (June 2010) does not list such a code. Publication costs are given as 3445, but this would include page and colour charges for non-OA works. The Wellcome Trust OA grant uses account code 3512 - exceptional items - to record the OA publication costs. This is too generic to use.

The Wellcome Trust open access grant spending report for the last four years gives the cost of OA as:

2007/08 - £32,971.22  
2008/09 - £56,111.63  
2009/10 - £91,186.49  
2010/11 - £124,501.61

These figures only give indicative costs for Wellcome Trust funded researchers.

## 2. Search from aggregators

There are a number of data aggregators that could be used to determine publishing records from the University of Edinburgh. The main options are:

- a) Web of Science
- b) PubMed Central
- c) UK PubMed Central

### *a) Web of Science*

The first option can be disregarded as WoS is not fine grained enough to find Open Access articles.

### *b) PMC search*

"university of edinburgh[Affiliation] AND ("2010"[PubDate] : "3000"[PubDate]) AND "open access"[filter]" - retrieves 776 articles

Detailed analysis shows 299 of these articles are published in PLoS journals, but this figure seems too high - a search on UKPMC confirms this.

### *c) UKPMC search*

(JOURNAL:"PLOS" ) (AFF:"university of edinburgh" ) PUB\_YEAR:[2010 TO 2010] - only retrieves 41 citations for PLoS journals.

The difference (299 vs. 41) between the two databases seems to be that UKPMC has better affiliation data as PMC includes journal editor information in the search.

## 3. Search direct from publishers

Searching directly from publisher sites should give the most accurate data, however there are a number of disadvantages - multiple publishers to search takes time, hard to find the OA content for hybrid journals.

For the traditional subscription journal publishers, e.g. Science Direct, Blackwells-Wiley, there is no way of searching for hybrid OA articles.

For Gold OA journal publishers it is possible, but there are still problems with affiliations, e.g.:

### *Public Library of Science search*

((affiliate:"university of edinburgh")) Search publication\_date:[2010-01-01T00:00:00Z TO 2010-12-31T23:59:59Z] - 33 full text articles

Public Library of Science (PLoS) has not picked up all UoE articles from some departments, e.g. the Roslin Institute, although UKPMC does seem to do this. Taking into consideration this and the previous points UKPMC would appear to be the better option to quickly and accurately find out publication rates within the university.



## Working out a yearly cost for Gold Open Access

Using the methodology of searching for UoE affiliation by year within UKPMC gives the following results:

(AFF:"university of edinburgh" ) PUB\_YEAR:[2008 TO 2008] - 402 articles  
(AFF:"university of edinburgh" ) PUB\_YEAR:[2009 TO 2009] - 587 articles  
(AFF:"university of edinburgh" ) PUB\_YEAR:[2010 TO 2010] - 648 articles  
(AFF:"university of edinburgh" ) PUB\_YEAR:[2011 TO 2011] - 460 articles

## Working out the cost per article

OA publishers set a wide range of fees<sup>2</sup>, from low cost (£500), through to high cost (£3500). Using the Wellcome Trust spending reports the average costs per article for the last few years are:

2007/08 - £1735.33  
2008/09 - £1516.53  
2009/10 - £1823.73  
2010/11 - £1886.39

Costs seem to be rising each year so we would suggest the average Open Access publication fee for 2011/12 would be in the region of £1900.

## Previous yearly costs for the University of Edinburgh

2007/08 - £1735.33 \* 402 full text articles = £697,602.66  
2008/09 - £1516.53 \* 587 full text articles = £890,203.11  
2009/10 - £1823.73 \* 648 full text articles = £1,181,777.04  
2010/11 - £1886.39 \* 460 full text articles = £867,739.40

There is not enough data to accurately predict the number of open access article for 2011/12 - however the average for the last four years data is 524 full text papers per year. Multiplying this figure by our predicted average open access publication fees for 2011/12 gives a total figure of £996,075 for the spend on open access this academic year.

Theo Andrew  
Research Publications Service  
9 January 2012

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<sup>2</sup> [http://www.lib.berkeley.edu/scholarlycommunication/oa\\_fees.html](http://www.lib.berkeley.edu/scholarlycommunication/oa_fees.html)

## Appendix K

### 1. Correlation between academic excellence and library materials spend: evidence from the literature

Establishing a correlation between library expenditure and academic excellence is an active field of research. I have included information below about 2 recent outputs in this area, with both showing correlation, but not establishing a direct causal link. It is difficult to establish a direct link, because there are so many factors which play a part in providing an excellent environment in which research thrives.

**A. The report from the Research Information Network on “Ejournals: their use, value and impact”<sup>3</sup>**, published in January 2011, and produced by the CIBER Research Group at University College London, comes up with some statements which are useful. The report looked at ejournal costs and usage in 115 institutions, with Edinburgh included in this report as one of the 10 “super-users”, that is users which make significant use of their resources which are available to their researchers. The report includes the following statements, which indicate a correlation between library spend and research output, but not the direction of the correlation. The following are extracts from the report from the section entitled “Do e-journals make a difference?”. The tables and charts are not reproduced below but available in the website.

“We find that article downloads correlate positively, with few outliers, with all four measures of research success [PhD awards, RGC income, articles published, citation impact]. The correlations are highly significant and independent both of institutional size and the balance of STEM research activity...

Hence we have attempted to build a more dynamic model, using data from a five-year period rather than a single year, to test a series of six hypotheses:

- H1: Spending drives use
- H2: Use drives research success
- H3: Spending drives research success
- H4: Use drives spending
- H5: Research success drives use
- H6: Research success drives spending

We tested these hypotheses using a structural modelling technique, introducing a time lag of three years so that we could ask the question (as in hypothesis 1) ‘Is spending on e-journals in year one a good predictor of research outcomes in year three’?...

A positive answer to this question still would not necessarily imply cause and effect. But it would nevertheless imply a much stronger relationship than a simple correlation. For it would indicate that if there is a change in the driver (in this case expenditure) in year one, there is a strong likelihood that there will be a change in the target (in this case usage) in year three. That clearly takes us some way further than the simple within year correlations shown on the previous page. And because we can test the reverse hypothesis - that use drives spending (H4) - we can get a bit closer to understanding directionality as well.

The results of our modelling are summarised in Figure 7 (overleaf). It shows that there are three strong driving relationships. First, expenditure drives use. Indeed, expenditure is a

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<sup>3</sup> <http://www.rin.ac.uk/our-work/communicating-and-disseminating-research/e-journals-their-use-value-and-impact> pages 27-29

precondition for use, since purchase of a licence or some other payment is required in order to gain access to any content that is not open access. The reverse hypothesis, that use drives subsequent levels of library spending, is not supported. The relationship is weak, probably because of the bundled nature of journal purchasing. Second, and most powerfully according to the model, the use of e-journals drives subsequent research success. Third, research success drives more usage of e-journals in the future. There is thus a strong positive feedback loop between levels of usage and research outcomes: they each feed off each other.

None of this is to suggest that cause and effect have been conclusively established. There are many factors in the wider environment that are not included in the model, and it may be that some third element is at work as we demonstrate that levels of usage are a strong predictor of future research success.”

**B. A second report was produced by JISC Collections on “UK scholarly reading and the value of library resources”**<sup>4</sup> This report by Professor Carol Tenopir from the Center for Information and Communication Studies at the University of Tennessee was published in February 2012. This report highlights the importance of library collections for research, with the following as some of the key findings:

The library is more often the provider of scholarly articles as the number of personal journal subscriptions declines. More than half the respondents do not have a personal subscription.

Including all browsing and searching methods used to become aware of articles, academics read on average seven articles in addition to the one they located. This suggests another value-added aspect of the library’s online search and discovery services—allowing discovery of additional relevant articles.

Article readings obtained from the library are considered significantly more important to the principal purpose than those from other sources.

Successful academics, that is those who published more and earned an award in the past two years, read more articles. While we cannot conclude a cause and effect relationship, this demonstrates that scholarly reading is a valuable part of their work activities.

## 2. Further comparator data on surveys

The statistical evidence given to the Collections Review Group to date has looked at a number of comparators, and at the overall Russell Group. The information below looks only at institutions which tend to be above Edinburgh in league tables, Cambridge, Oxford, Imperial, and UCL. In all cases the information has caveats, eg in the case of Oxbridge there is additional funding, not included in the table, because of their status as legal deposit libraries, in the case of Imperial there is no humanities, and in all cases, there will be differing demographics of teaching and research.

The overall expenditure on library materials is lowest in Imperial, which covers fewer subjects, with Edinburgh second lowest.

The second column looks at the expenditure per FTE academic staff and students, with academic staff weighted at 5 and students at 1.

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<sup>4</sup> <http://www.jisc-collections.ac.uk/Reports/ukscholarlyreadingreport/>

	Materials expenditure	Spend per weighted FTE
	£	£
Edinburgh	4,764,538	125
Imperial	4,567,500	144
UCL	5,841,052	142
Cambridge	9,840,071	245
Oxford	6,863,433	151

### 3. Comparator data on survey results

While the survey evidence has been questioned by some members of the panel, it is the evidence we have. The Review Group has not previously looked at comparative evidence on survey results, and it is perhaps worth looking at the comparative evidence to see how Edinburgh stands in relation to others.

**National Student Survey.** The results for the question 16 (the library question) are shown below for 2009-2011. Edinburgh is the lowest score except for UCL in 2011. Of course it is difficult to be certain about how the students are answering the questions, but we know from free text comments that the collections are a concern to the students in Edinburgh.

	2009	2010	2011	
Edinburgh	84%	85%	85%	
Cambridge	95%	95%	95%	
Imperial	94%	92%	93%	
Leeds	89%	88%	90%	
Manchester	86%	87%	86%	
Oxford	na	98%	97%	
UCL	87%	87%	84%	

#### PTES and PRES

Detailed Postgraduate Taught and Postgraduate Research Experience Surveys (PTES and PRES) results are not available outside the institution to which they pertain, so it is only possible to make a comparison with the Russell Group as a whole.

For the library questions, the figures of satisfaction with library resources (for the whole institution) are as follows:

	UoE	Russell Group
PTES	77%	78%
PRES	73%	82%

Sheila Cannell  
March 2012

# Student-led acquisition of books at Newcastle University Library

Ebook Library (EBL) and  
Books on Time



“ Outstanding Library Team ”

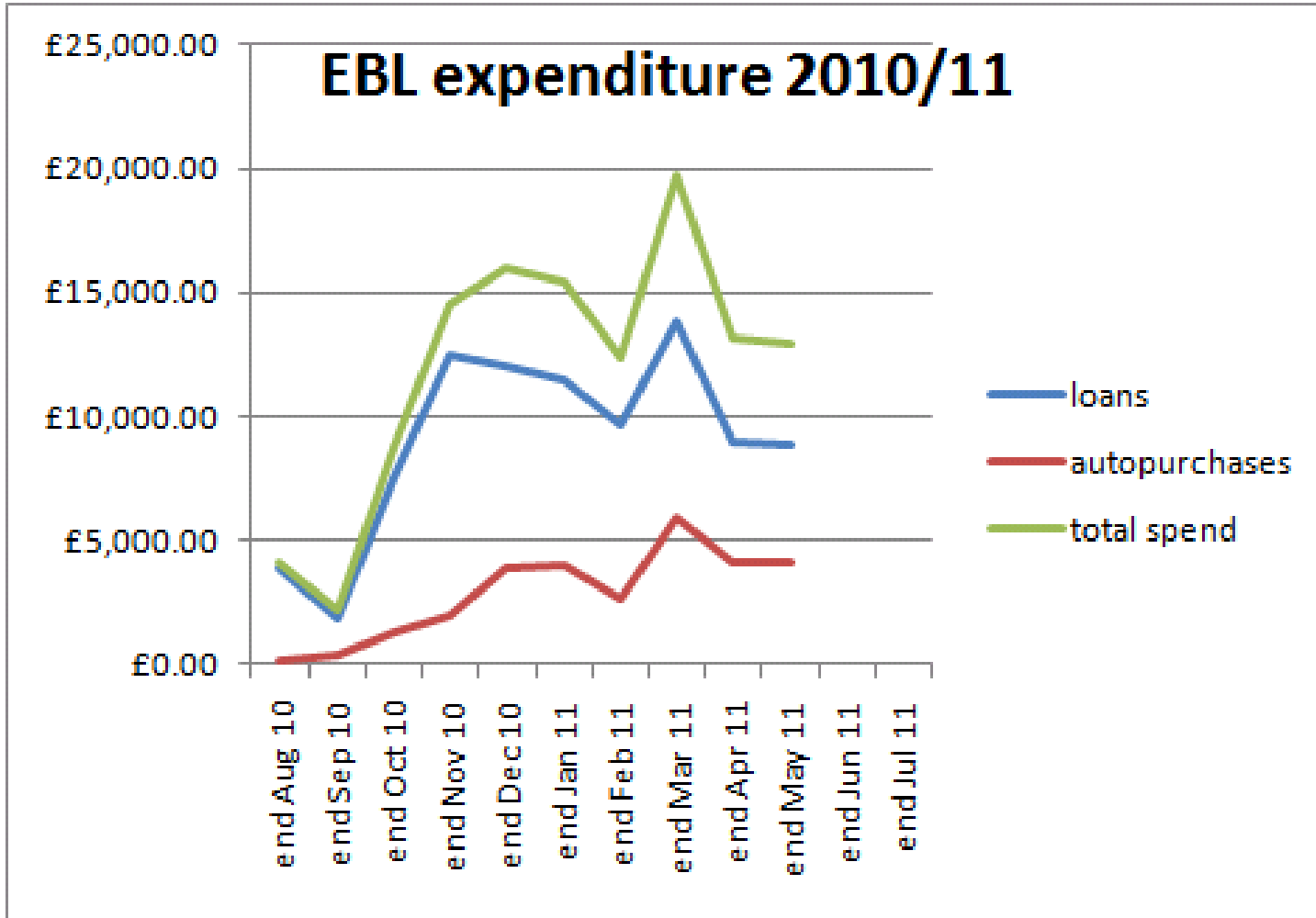
# Why demand-led purchasing

- Student feedback demanding “more books”:
  - wider range of books
  - more copies of core texts
- Delays inherent in conventional recommendation routes:
  - reading lists
  - approval/validation of individual requests
- Rigidity of established resource allocation models
- Evidence of lack of use of books purchased “just in case”

# The Ebook Library model

- 120,000 ebooks made available immediately via the library catalogue
- Free browsing period of 5 minutes
- “loan” for 3 days to 1 week, incurring a payment against the Library’s account
- Books are flagged for purchase after four loans
- Demand is managed to contain expenditure:
  - all requests for loan are mediated for approval within 24 hours
  - maximum number of loans per person per week
- Average loan cost £7.50; average purchase cost £69

# Loan and purchase activity in 2010/11



- £130K spent
- 10,000 ebooks loaned
- 500 ebks bought



# Books on Time

- High profile service actively encourages students' participation via:
  - personal requests using web form
  - “high holds” (numbers of reservations)
- Most orders placed urgently without mediation of academic staff or Subject Librarians
- Service heavily used by students in Business School, Politics, Arts and Cultures

# Implications for the Library's budget

- Library bookfund 2011-12

– Total planned expenditure	£620K	
– School allocations	£390K	(63%)
– EBL account	£150K	(24%)
– Books on Time	£ 80K	(13%)