

## Collection Development and Management in a Digital Environment: the case of HKUST

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### ***Outline of the Presentation***

1. The University and the Library
2. Continuing Development of Collections & E-Resources
3. Collection Development Policies and Practices
4. CD Strategies that Have Worked at HKUST
5. Collection Management Takes a New Importance
6. Extending Access Beyond Local Resources
7. Conclusions

(Questions and Answers)

## **The Hong Kong University of Science and Technology (HKUST)**

Founded in 1991

Student body: about 9,000

Teaching Faculty: 450

UG and PG degree programs: over 100, including 25 doctoral

Research funding: HK\$240 million

### *University Ranking in 2006:*

- \* Ranked the 60th in the world and top in Hong Kong by *Newsweek International*
- \* Ranked the 17th in Technology in the world by *THES* (London)
- \* Its EMBA program ranked the 3rd in the world by *London Financial Times*
- \* Its MBA program ranked the 1st in Asia by EIU of *the Economist*

## **The HKUST Library**

Floor space: 5 floors with over 10,000 square meters

Reader seats: 1,850 seats

Library staff: 95 (22 professional, 73 support staff)

Library Collections:

Book/bound periodicals: about 650,000 volumes.

Journals (print and electronic): 19,000 titles

Microform: 350,000 units

E-books: over 70,000 titles

Databases: 300+

## Continuing Development of Collections & E-Resources

- \* Allocation of Collections Budget
- \* 2005/06 Material Expenditures
  - Expenditures by format (in percent of total):
    - Books 13.5%
    - Standing orders 5%
    - Databases 15%
    - Print and electronic journals 65%
    - Microform and media resources 1.5%

(Total expenditures on E-Resources 61% +)

## Continuing Development of Library Collections & E-Resources

- Expenditures by subject (in percent of total)
  - Business 12%
  - Engineering 27.3%
  - General 3.4%
  - Humanities 3.5%
  - Social sciences 6.2%
  - Sciences 47.7%

- \* Role of Subject librarians/Selectors
- \* Role of the Collection Development Committee (CDC)
- \* Recommendations made by students and faculty

## Continuing Development of Collections & E-Resources

### Current Practice for New Material Requests

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**Collection Development**  
Current Practice for New Material Requests

Materials Type	Current Practice*
<b>1. Books</b>	
A. Regular items	<ul style="list-style-type: none"> <li>Most items are acquired by approval plan.</li> <li>Items requested by the faculty for research and teaching are normally approved and processed within one week.</li> <li>Expensive items (i.e. exceeding US\$ 250) are subject to further investigation and discussion.</li> <li>Evidence of heavy use is required for purchasing of additional copy.</li> </ul>
B. Reserve Books	<ul style="list-style-type: none"> <li>Multiple copies are purchased if requested by faculty and the class sizes warrant such acquisition.</li> <li>Faculty is asked to submit their materials requests two months ahead to allow sufficient processing time.</li> </ul>
<b>2. Media Resources (CD, LD, audio, video software, etc.)</b>	
A. Regular items	<ul style="list-style-type: none"> <li>Relevant/appropriate requests submitted by faculty to support teaching and research will normally be approved and processed within two weeks.</li> </ul>
B. Media Reserve	<ul style="list-style-type: none"> <li>Reserve materials will be ordered locally if available and if price is not prohibitive.</li> </ul>

file:///C:/Documents%20and%20Settings/bgloria/Desktop/current-coll-dev.html

<b>3. Others</b>	
A. Microforms	<ul style="list-style-type: none"> <li>Small volumes of microform are being handled in the same manner as regular items.</li> <li>Large microform sets are to be considered on a case by case basis.</li> </ul>
B. Thesis	<ul style="list-style-type: none"> <li>Items requested by faculty are normally approved and processed within the same week.</li> </ul>
C. Patents	<ul style="list-style-type: none"> <li>Items requested by faculty, staff and graduate students are normally approved and processed within the same week;</li> <li>Items requested by undergraduate students must be endorsed by faculty.</li> </ul>
D. Standards	<ul style="list-style-type: none"> <li>Due to the limited usage and high cost of this type of material, the Library will not be able to pay for the standards from the library materials budget. It will, however, assume the responsibility of obtaining quotations and information from vendor if required. Faculty and students must arrange payment.</li> </ul>
E. Special purchases	<ul style="list-style-type: none"> <li>Special purchases will be considered on a case by case basis.</li> <li>Faculty are encouraged to allocate a portion of their research grant to purchase research materials and house them in the Library.</li> </ul>
<b>4. Journals</b>	
A. Printed Journals	<ul style="list-style-type: none"> <li>In addition to filling out the New Subscription Request form, faculty wanting to request subscription to new journals must obtain endorsements from the respective representatives of their school.</li> </ul> <p><b>Business:</b> Library Coordinator &amp; Dept Head  <b>Hum &amp; SS:</b> Library Coordinator, Dept Head &amp; Dean of School  <b>Science:</b> Library Coordinator, Dept Head &amp; Dean of School  <b>Engineering:</b> Library Coordinator, Dept Head &amp; Dean of School</p>
B. E-journals	<ul style="list-style-type: none"> <li>E-journals which come with the printed subscriptions and have acceptable retrieval software are being added to the Library Web Server automatically;</li> <li>Paid e-journals are being evaluated in the same manner as the printed journals.</li> </ul>
<b>5. Electronic Resources</b>	
	<ul style="list-style-type: none"> <li>Requests submitted by faculty and staff are being handled in the same manner as printed journals. Please refer to procedures listed above in <b>Printed Journals</b>.</li> <li>Most new resources are identified and evaluated by librarians. Faculty are consulted when necessary.</li> </ul>

## Collection Development Policies and Practices

- \* General Collection Development Policy
- \* Other collection development policy documents, e.g.
  - \* Policy document for media resources
  - \* Policy and procedures for electronic resources
  - \* Guidelines for receiving gift items
  - \* Retention guidelines for items in our reference collection
  - \* Criteria for canceling journal subscriptions

http://library.ust.hk/info/journal\_cancellation\_policy.html

### Collection Development Policy

*Journal Cancellations: Criteria for Canceling Journal Subscriptions*

(Adopted by the Collection Development Committee on 26 August 2003)

Criteria used to select titles for possible cancellation balance many factors. All criteria are taken into consideration when evaluating a title for possible cancellation. No criterion is applied in isolation: for example, high cost may be balanced by high use or important program support.

- ▶ **Support for research and instructional programs.** The HKUST Library assesses the support of individual journal titles for HKUST programs using its collection development guidelines. Every effort is made to preserve support for all teaching and research programs.
- ▶ **Balance across disciplines.** The interdisciplinary nature of a title is an important factor.
- ▶ **Number of uses of a journal** as determined from actual use data for titles in digital format, re-shelving statistics, and related data. Use data can include the extent to which HKUST faculty publish in or cite the title.
- ▶ **Faculty assessment of the importance of specific journal titles.** Faculty comments on individual titles identified for possible cancellation are critical to final decisions.
- ▶ **Titles that are readily available through other vehicles** are more likely to appear on the final cancellation list. These include titles that are available via document delivery services, journal aggregator database, and interlibrary loan, especially if the titles are available within the JULAC consortium.
- ▶ **Title cost.** Cost calculations consider the number of pages and frequency of publication of a title; the ongoing expense needed to make the title available; pricing history; and absolute cost as well as costs compared with other titles in the discipline.
- ▶ **Publisher's history of price increases.** The pricing practices of a publisher - for example, a history of large annual price increases for the title catalog of a particular publisher - is an important factor in reviewing titles from particular publishers.
- ▶ **Titles that have competitive and cost-effective alternatives** to traditional (and costly) scholarly titles are more likely to appear on the final cancellation list. If cancel, the role of such titles will be met with a subscription to the cost-effective alternative.
- ▶ **Print titles with Web-based equivalents** will be converted to Web-based access when this results in cost savings. We realize at the same time that web-based equivalents are also more likely to be discontinued by the vendor for one reason or another.

## ***CD Strategies that have worked at HKUST***

### **A. Aggressive Migration from Print to E-journals**

Following a new policy to aggressively change our print journal subscriptions to E-only, whenever possible

### **B. Taking advantage and precautions of “big deal” e-journal packages**

These big deals include ScienceDirect which provides access to over 1,800 full-text journals published by Elsevier and its affiliates, including Academic Press, North-Holland and Pergamon

### **C. Active participation in the JULAC Consortial deals**

For instance, 50,000 ebooks from NetLibrary

## ***Current Journals at HKUST***

	<b>Print Journals</b>	<b>E-Journals</b>	<b>Total</b>
<b>As of July 2003</b>	<b>2,681</b>	<b>7,096</b>	<b>9,777 titles</b>
<b>As of January 2007</b>	<b>1,499</b>	<b>17,573</b>	<b>19,072 titles</b>

## Major Electronic Databases Added Since July 2003

(While our regular collection budget remains the same over the years, these databases are subscription-based, with annual price increases!)

Reuters 3000 Xtra  
ProQuest Digital Dissertations  
PsycARTICLES (over 50 full-text journals in Psychology)  
ScienceDirect (over 1,800 journals in multiple subject areas)  
Journal Citation Reports (upgraded from the CD version to the Web version)  
Dekker Encyclopedia of Nanoscience and Nanotechnology  
Gale Virtual Reference Library  
Blackwell Synergy (over 800 journals in multiple subject areas)  
Current Protocols in Nucleic Acid Chemistry  
Kirk-Othmer Encyclopedia of Chemical Technology

## Major Electronic Databases Added Since July 2003

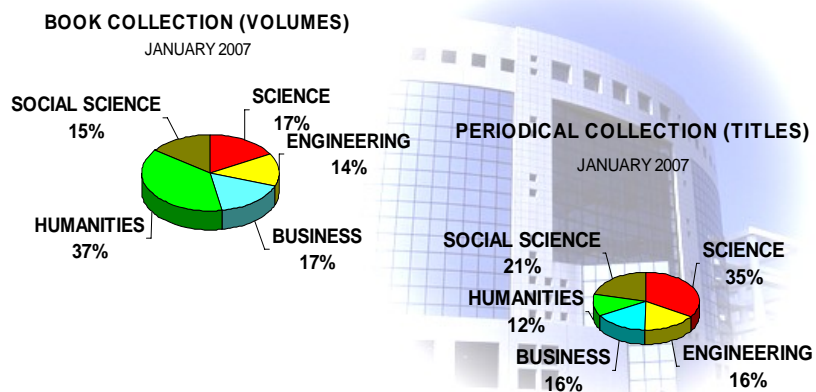
EBSCOhost Research Databases (over 4,700 journals in multiple subject areas)  
SCOPUS (largest abstract and citation database of research literature and quality web sources)  
Encyclopaedia Britannica Online  
CAJ Database 中國期刊全文數據庫 (over 2,400 journals in social sciences and humanities)  
WIPS (Worldwide Intellectual Property Search)  
Oxford Reference Online  
SourceOECD  
NetLibrary (over 42,000 ebooks in multiple subject areas)  
SciFinder Scholar  
Books24x7 (over 5,000 ebooks in technology)  
Safari Books Online  
Wiley Electronic Major Reference Works  
Springer e-book collection (over 8,500 ebooks in multiple subject areas)



### Collection Management Now Takes a New Importance

- \* **Digital Archiving and Repositories at HKUST**  
For instance, digital institutional repository, electronic theses database, digital university archives
- \* **Physical Inventory Projects to identify Missing Items**  
Laser barcode scanners are used to collect inventory information to be run against our holding records
- \* **JURO: Journal Usage Report Online**  
a system we have developed which is capable of importing usage statistics supplied by content providers in a uniform format known as COUNTER (see <http://library.ust.hk/software/software.html#juro> )
- \* **Evaluation of Borrowing and Lending Data**  
For instance, we recently analyzed what books our library users borrowed from other academic libraries in Hong Kong through the HKALL system to decide if we need to buy and supplement our collection with some of those items.
- \* **Analyzation of Collection Strengths by Format and Subject**  
Analyze our collections, including e-resources, to obtain good information on our subject strengths, collection gaps, and overlaps (see the pie charts)

### Collection Distribution by Format and Subject





## Collection Distribution by Format and Subject

		SUBJECT ANALYSIS OF LIBRARY COLLECTION					
		JANUARY 2007					
		BOOK	REFERENCE	MEDIA	PERIODICALS	PERIODICALS	ELECTRONIC
		COLLECTION		RESOURCES	VOLUMES	TITLES	JOURNALS
BUSINESS	ACCOUNTING	3,610	91	112	358	39	173
	ECONOMICS	45,852	1,180	882	3,824	325	1,312
	FINANCE	10,480	440	176	950	89	527
	MANAGEMENT	23,490	363	1,811	882	106	782
	MARKETING	3,844	59	299	336	37	197
	SUB-TOTAL	87,256	2,113	3,280	6,350	596	2,991
ENGINEERING	CHEM. ENG.	7,755	298	301	2,585	130	336
	CIVIL ENG.	20,405	267	723	4,722	353	563
	COMPUTER SCI.	17,636	112	483	1,830	192	388
	ELEC. ENG.	13,630	163	549	2,249	193	540
	ENGR (GENERAL)	4,386	507	463	1,125	105	195
	INDU. ENG.	4,556	58	274	561	47	233
	MECH.ENG.	5,735	68	319	1,220	90	210
	SUB-TOTAL	74,003	1,473	3,112	14,292	1,110	2,465
GENERAL	12368	9,884	525	316	1,313	118	188
HUMANITIES	1082	200,583	2,360	16,770	6,677	629	2,021
SOCIAL SCIENCE		76,799	4,106	3,354	6,729	617	4,039
SCIENCE	BIOCHEMISTRY	14,317	368	603	4,934	202	2,825
	BIOLOGY	23,228	322	1,543	11,157	414	1,462
	CHEMISTRY	8,327	319	328	6,522	236	347
	MATHEMATICS	18,796	75	584	7,508	278	480
	PHYSICS	16,515	175	825	10,041	267	434
	SCIENCE (GENR)	7,500	243	367	2,084	131	337
	SUB-TOTAL	88,683	1,502	4,250	42,246	1,528	5,865

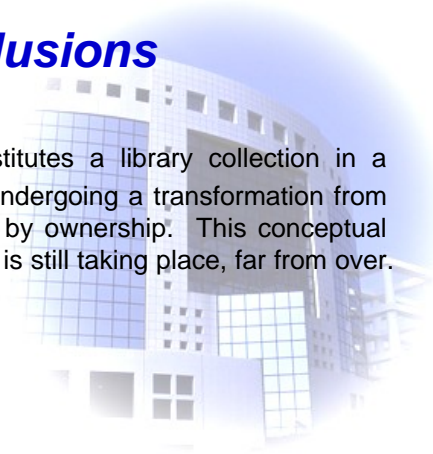
## Extending Information Access Beyond Local Resources

- \* Select and Catalog Open Access Journals
- \* Evaluate and Choose Quality Internet Resources
- \* ILL with local and overseas academic libraries
- \* HKALL Program



## Conclusions

The concept of what constitutes a library collection in a networked environment is undergoing a transformation from the old one defined largely by ownership. This conceptual and practical transformation is still taking place, far from over.



**Thank you very much !**  
**多謝!**

