

AN INVESTIGATION OF THE COLLECTION MANAGEMENT POLICIES OF SCOTTISH PUBLIC LIBRARIES

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Declaration

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Abstract

Recent developments, such as limitations on library budgets and the introduction of electronic resources, have had a dramatic effect on collection management. There has been a philosophical change in collection management and the effects this and other recent developments have had on collection management policies required research. Collection management policies have traditionally not been used in many libraries so the usage of policies also needed investigation. Scotland was chosen as the venue for the research as its size, demographics and library culture were suitable for the research.

The aim of the research was to determine whether collection management policies were used in public libraries and what components were present in these policies. A literature review was used to provide background information and a survey methodology was used to conduct this research. The aim was to survey all Scottish Local Authorities. Interviews were used to supplement the data.

It was discovered that 93.3% of authorities surveyed had collection management policies. This was a much higher degree of use than found in previous research on other countries. The presence of different components varied greatly with those components predominantly associated with electronic resources generally having the lowest levels of representation. Those authorities that were predominantly rural also had the fewest components on average. The research also discovered that adapting to electronic resources, managing reduced budgets, and the centrality of the user were dominant themes in collection management.

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1. Introduction

1.1 The Research Problem

For years the public library has been at the centre of the community, providing information and entertainment. Libraries are the gateway for many people to embrace new technologies, with efforts like the people's network providing people's first access to the internet. This trend continues today with many libraries embracing new electronic resources like ebooks and online databases. However, these new technologies - along with the reduced funding available to libraries in the modern era - have led to a change in the organisational ethos of the library. The nineteenth century attitude of "collect everything" has evolved around the user so that ownership is no longer the central tenet of the library but has been superseded by the provision of access.

This philosophical change is reflected in the progression of one of the core competencies of librarianship: collection management. Historically, this term was synonymous with collection development (Singh, 2004) but the broad changes in libraries, their design, their stock and their mission, mean that a bigger and more in-depth field is required to provide modern library services. Jenkins and Morley effectively describe this transformation,

"Collection management is a more demanding concept, which goes beyond a policy of acquiring materials, to policies on the housing, preservation, and storage, weeding and discard of stock." (Quoted by Clayton & Gorman, 2006, p.17)

Modern collection management encompasses several important tasks, which are explained in more detail in the literature review. These tasks have had to adapt to new technologies, as cataloguing is no longer conducted on printed cards; evaluation, selection and preservation have been aided by computers, software and the internet. Despite its advantages new technology brings new problems. For example, ebooks have been available to the public for years and have been received with great enthusiasm, but these materials are only just appearing in public libraries under layers of licensing and terms and conditions. The difficulties of preserving these digital materials are becoming apparent as are the difficult choices involved in selecting digital or electronic materials over their physical counterparts. That electronic resources require changes to collection management is a fact. What these changes are and how they are enacted in public libraries needs to be investigated.

The change in collection management theory has been established in the literature review but whether it has been incorporated into practice needs to be researched. To investigate this matter in public libraries, their ideologies, processes and procedures need to be investigated. This can be done quite efficiently by examining a library's Collection Management Policy (CMP). As will be explained in more detail in the literature review, there has been very little research into collection management in public libraries and research into CMPs is even sparser.

The value of a collection policy has been espoused vociferously in the literature with few dissenters. A policy can guide selection, provide the library with protection for its decisions, aid in staff training and development and be a tool for communication with local government, the public and even within the library. With these numerous advantages it would seem unimaginable for a library not to have a collection policy but the literature reflects a worrying trend that many libraries in America, Australia and the United Kingdom have no collection

policy (Kennedy, 2005; Snow, 1996; Cole & Usherwood, 1996). Of those libraries with policies many have only a brief outline or an incomplete dated policy that sits on a shelf gathering dust. The most recent research into collection policies in the UK was conducted in 1996 by Cole and Usherwood and they did not detail any statistics for Scotland. There has been very little research into CMPs in the twenty-first century, especially those of public libraries. There is a suggestion from recent research into collection policies in academic libraries that such policies are seeing resurgence (Pickett et al, 2011) but research is required to determine whether this is the case in public libraries. Research is also needed into the current level of the use of CMPs in public libraries as there has been very little investigation into this in recent times especially in the United Kingdom and Scotland in particular.

The lack of CMPs was a problem in the past but in the current climate it is even more serious. One of the biggest changes to libraries in recent times, as previously mentioned, is electronic resources. Ebooks, ejournals and audiobooks are just some of the new resources that libraries are adopting but these new formats have inherent issues that are not present with traditional media. Generally these items are not bought from a publisher but rented with detailed licensing agreements that can be prone to change. The CMP is a tool that libraries can use to express their intentions on selection, intellectual freedom and licensing with regards to electronic resources which is recommended in the literature (Vickery, 2004; Kennedy 2005). The technological and legal requirements for electronic resources are many but can be handled by a CMP: stating current levels of technology, defining licensing agreements and stating clear reasons for the selection of one format over another. If a library intends to use electronic resources then these issues and others must be addressed. The best forum for this is the CMP but whether this is happening in practice needs to be investigated as there has been little research into the presence of electronic resources in collection policies (Mangrum & Pozzebon, 2012). Whether this is happening in practice needs to be investigated.

The presence of electronic resources in libraries necessitates further criteria in CMPs as previously mentioned. However, there is a broader question which needs to be researched which is: what the criteria of a modern CMP are. The literature shows that elements relating to electronic resources should be present but what other criteria are necessary? Although Osborne and Gorman (2006) and Straw (2003) mention several policies that are incomplete they do not explain why this is so. Other writers claim conflicting ideas with Vickery (2004) claiming that policies should be brief and general but Spiller (2000) states that specification and detail are important. More research into what elements are necessary in a modern CMP would be beneficial to the field of librarianship.

To summarise, although there is a large body of academic writing in support of CMPs there is also significant evidence that they are not used in practice. Research is needed to investigate if this is the case, especially in public libraries which are experiencing significant changes in recent times. Research is also needed into how electronic resources and other developments in collection management are being incorporated into policies and what elements are actually necessary in a modern policy.

1.2 Research questions

From this research problem a series of key research questions were determined.

- What are the main themes of modern collection management?
- What are the key components of a CMP?

- Do public libraries have CMPs?
- Do those policies contain the determined key components of CMPs?

These questions are the core of this thesis and the base on which the research was built.

1.3 Research Methods

A literature review was determined to be the best method to assess the main themes of modern collection management and the key components of CMPs. By examining and comparing the literature, including that prepared by academic and organisational bodies such as the Scottish Library and Information Council (SLIC), a set of the most desirable components for CMPs can be determined. These components formed the framework for the survey of the documents. Using a top down approach - as the content, rather than the language used is the core of the investigation - the CMPs of the 32 Scottish local authorities were mapped to the framework following the determined guidelines. This methodology is based on that used by Mangrum and Pozzebon (2012).

All the authorities were sent a Freedom of Information (FOI) request for information on their CMP and a copy of their policy where it is not available online. However, it is acknowledged that some authorities like Glasgow City Council have handed over the management of their libraries to Charitable Trusts which are not under the same requirements as public bodies to fulfil FOI requests. A contingency plan was decided if Trusts did not reply to FOI requests - as much information as possible was found online and further requests were sent to the relevant collection managers.

A selection of authorities was interviewed to get a more in-depth understanding of the issues addressed by the surveys. Although choosing interview candidates based on survey results would have been beneficial in explaining discrepancies or reasoning, the time constraints of the project made this unfeasible. Instead a sample was selected using quota sampling. This sample selected 2 libraries from four categories of authority: RURAL, URBAN, TOWNS and MIXED.

Scotland was chosen to be investigated for a variety of reasons. It is an affluent western country where members of the public are embracing new reading formats for personal use. The size and diversity of the country is such that it is broad enough to represent a statistical range but narrow enough that a reasonably detailed investigation can be conducted in the available time frame. Added to this there is the drive for excellence and modernity in Scottish libraries. SLIC in its strategic plan states that its members provide “Access to a wide range of information in a range of formats” (SLIC, n.d.); SLIC also advocates that all libraries have stock management policies under the Public Library Quality Improvement Matrix (PLQIM) (SLIC, 2007) along with many strategies for improvement.

1.4 Research Objectives

There were several anticipated research objectives for this thesis. They include establishing the main themes in modern collection management, of which the role of electronic resources is expected to be important. Another objective is to determine the key components of CMPs which stem from the themes in collection management. From reading the relevant literature, a deeper understanding of the theory behind collection management and CMPs was formed.

It was anticipated that the evaluation tool used for the survey will be useful to other researchers and also contribute to a set of guidelines for creating CMPs and the results of the survey would provide useful information about CMPs in public libraries.

The use of FOI requests was anticipated to provide practical knowledge of how the FOI process works. This is especially challenging in Scotland with many authorities giving control of their libraries to Charitable Trusts, which are not required to answer FOI requests.

Other research objectives are a better understanding of how to create and evaluate CMPs, and a broader knowledge of the Scottish public libraries and their adherence to their policies.

1.5 Learning Outcomes

Using the survey method created a lot of learning opportunities. Creating the questions, distributing the survey and analysing the results were anticipated to provide experience in research methods for the researcher. The linear nature of surveys was expected to improve time management as one step cannot be started until the previous is completed, for example, the survey cannot be sent out until the questions are written. The surveys and their analysis are predicted to provide experience with analysing statistics and practice with statistical tools.

The interviews present similar learning opportunities. Practice in dealing with interviewees, adapting questions to the situation and adapting the interview to time constraints were anticipated benefits of conducting interviews. Similarly, the preparation of the interview questions and the analysis of the results were predicted to gain the researcher further experience with research methods and tools.

From the literature review and further investigation a deeper understanding of collection management and CMPs was projected to be developed by the researcher.

1.6 Structure

This thesis is structured as follows:

Chapter 2: Literature Review: A review of the relevant literature on collection management, CMPs and issues affecting both.

Chapter 3: Methodology: The research instruments and methods used herein, with the reasoning behind their selection.

Chapter 4: Analysis of Findings: Description and analysis of this research's findings.

Chapter 5: Recommendations and Conclusions: The conclusions drawn from the research and some reflections on the process.

2. Literature Review

2.1 Collection Management

Collection management is a large concept that encompasses many of the duties of a librarian. Historically the term collection development was synonymous with collection management (Singh, 2004) but the broad changes in libraries over time mean that a bigger and more in depth field is required to provide modern library services. Ameen (2006b) comments on the variety of terms that appear in the literature, somewhat interchangeably: selection, acquisition, collection building, collection development and collection management. Ameen (2006b) determined that the phrases “collection management”, “collection development” and “collection development and management” are used to describe the assortment of activities involved in acquiring and maintaining a collection. Clayton and Gorman (2006), also note the difference between collection development and management. They give a deep and insightful investigation of collection management and contend that collection development is just one aspect of collection management along with many others shown in figure 2.1. To show the broad range of competencies required by collection managers a chart of the aspects of collection management that appeared across the literature was created and can be seen in Appendix 2, which is summarised in figure 2.1.

Figure 2.1

Collection Management Processes	
Processes	Summary
Access	Providing access to information, whether by electronic or physical means. Understanding the limits to access for disabled users, remote and personal access.
Acquisition	The variety of methods used to provide information or access to information as quickly and economically as possible.
Budget	Reduced budgets are a major factor of modern librarianship. The collection manager must manage the budget across a range of subjects and formats.
Collection Development	The planning, creation and growth of a collection in response to user needs. It relates to collection building and often encompasses selection and acquisition.
Collection Policy	Collection managers are responsible for understanding the theoretical and practical aspects of policy. They are responsible for its creation and revision.
Co-operation	Managing the various degrees of resource sharing, shared collection development and co-operation in libraries, with many libraries being part of consortia.
Evaluation	The tools and techniques used to assess the physical condition of the collection and the levels of resource usage. Often leads to decisions on retention/disposal.
Preservation	The broad term that encompasses a range of activities that preserves library materials which can include, repairs, disaster planning, environmental strategies.
Selection	Carefully choosing library stock and resources in light of certain criteria (specified in Appendix 5) to best serve library users often at the expense of other material.
Staff Training& Responsibilities	Collection managers are responsible for ensuring that all members of staff are aware of and use the library’s policies and procedures on collection management.
User Assessment	Making active efforts to understand the clientele that a library serves and adapting the collection to their needs.

Although decisions to retain or dispose of resources are a significant part of collection management, the term disposition was not used in the reviewed literature. Disposition is defined by ODLIS (Online Dictionary for Library and Information Science) as:

“The manner in which the noncurrent records of an agency or individual are handled once their utility has been appraised, whether stored (temporarily or permanently) in a repository in their original format, reproduced and stored on microform, sold, donated, or destroyed” (Reitz, 2012).

Disposition is usually considered an aspect of records management, but the elements of disposition are present in collection management. Resources are appraised (evaluation and weeding) and decisions on storage and retention (preservation) are made.

The purpose of this research is to determine what the key aspects of modern collection management are, and what a modern CMP should contain. Due to this, most of the literature more than twenty years old has not been investigated and the majority of literature comes from the twenty-first century. It is within this time period that the recent changes affecting collection management have occurred: namely the large scale introduction of electronic resources. It was concluded that literature outside this period would not be beneficial in answering the research questions.

2.1.1 Preservation

One aspect of collection management that has changed is preservation. It is now considered an essential part of collection management (Shaw, 2012), although appropriate handling of materials and environmental strategies are longstanding steps in the preservation process (Clayton & Gorman, 2006). The difference between conservation and preservation is noted by Clayton and Gorman (2006). They contend that preservation encompasses all elements of item maintenance and content preservation whereas conservation deals with the treatment of physical items to extend their longevity. The literature reflects very little differentiation between the terms, emphasising the elements of conservation and repair. Indeed many of the preservation tasks discussed bare a strong similarity to Baker and Dube’s (2010) standard practices in conservation: protective enclosures and book jackets, binding reinforcements and photocopying replacement pages. In fact Gregory (2011) notes, perhaps exaggeratedly, that in the past libraries concentrated their efforts on preserving the physical item and not the information content.

The need for preservation of items other than books is noted by Gracy and Kahn (2012) and Schmidt (2004). They warn that most libraries do not have a media specialist and that most library staff do not have training in preserving other formats, so these items are at risk. They also note the lack of publications for the preservation of sound recordings and moving images. The majority of literature on audiovisual preservation is concerned with individual case studies and there is no set text for consultation. This dearth of information means that

delicate materials, with a shorter obsolescence period can be more challenging than books and may need more preservation attention but are not receiving it.

The preservation of digital material is another recent issue in collection management. Dougherty (2010) notes that several factors can lead to the loss of data in digital formats; what he terms digital decay. These are: neglect; physical damage occurring to the digital medium, e.g. a scratched CD; data being lost in an abundance of files and folders; poor records management; corruption, wherein the digital content is damaged; and obsolescence, when the information is saved in a format that is no longer supported or the necessary equipment is no longer available. Schmidt (2004) explains that preservationists are just beginning to counter these problems with efforts like LOCKSS (Lots of Copies Keep Stuff Safe) and acquisition models that keep a print copy of journals for consortia use, while in the UK JISC endeavours to ensure that digital materials remain sustainable (Fieldhouse, 2012).

2.1.2 Centrality of the user

There has been a philosophical shift in collection management. Historically, especially in the nineteenth century, the driving force behind libraries, especially research libraries, was to collect everything (Ameen, 2005). In the latter half of the twentieth century when funding was reduced, this mentality began to change. The new role of the library was to serve users, to select materials based on their needs. One of the factors affecting this philosophical change was the report issued by the Atkinson Committee which recommended that libraries become self-renewing. This entailed limiting library growth by balancing new acquisitions with withdrawal of unused materials each year (Clayton & Gorman, 2006). Clayton and Gorman comment that the use of this model, with its high turnover of stock, “would require the kind of CMPs we have been advocating” (Clayton & Gorman, 2006, p.209). This centrality of the user is perhaps best enshrined in Ranganathan’s laws (1931), “Every reader his book; Every book its reader; Save the reader’s time.”

The importance of user needs is expressed repeatedly in the literature (Clayton & Gorman, 2006; McMenemy, 2009; Gregory, 2006). Stoller (2005) argues that despite new formats, a library of access rather than ownership and budget concerns, it is still necessary to communicate with users, to gain a deep understanding of their requirements and to use this to shape collections. He further argues that surveys, focus groups and personal relationships with users must be used to create collection policy. SLIC (2000) also prioritise user involvement in stock selection, recommending more use of the internet such as web suggestion pages.

2.1.3 Patron-Driven Acquisition

One area of collection management being driven by the user is acquisitions. Patron-driven acquisition (PDA) is a very current topic with *Collection Management* dedicating an entire issue to its discussion. Other authors note that patron-driven acquisition is growing as an

ebook purchasing model (Kenneway, 2011; Sharp & Thompson, 2010). Although Rick Anderson believes that requests are part of PDA in the technical sense (ALA, 2011) the literature suggests that the term currently pertains to “just in time” purchases of electronic resources (ALA, 2011; Nixon, Freeman and Ward, 2010; Sharp & Thompson, 2010).

Stemming from studies that found students were not using the majority of materials selected by librarians - in one university 80% of use came from 20% of the collection (Nixon, Freeman and Ward, 2010) - PDA gained prominence in the digital era, when online booksellers made the act of pricing and purchasing materials near instantaneous. Sometimes called purchase on demand or user-initiated collection development (Nixon, Freeman and Ward, 2010), PDA centres on putting the choice of what items to select in the users’ hands.

Originally it involved purchasing the materials requested by inter-library loan that fit within a library’s selection guidelines but new technology has improved the process further. Now when certain ebook records gain a set number of views that title will be automatically purchased. This enables the “just in time” model of purchasing, where the resource is available as the user needs it; this is opposed to the more traditional “just in case” model (Sharp & Thompson, 2010). Nixon and Saunders (2010) found that in a library where PDA had been in effect for ten years those materials selected by PDA received higher re-circulation. Unfortunately, the issue featured no research into PDA in public libraries.

The philosophy behind PDAs, taking purchasing out of the hands of librarians, is not new. McMenemy (2009) states that the use of requests is common in all British libraries and in more recent times supplier selection, where the choice of individual titles is entrusted to the supplier, has become popular (McMenemy, 2009). However, the lack of mediation makes PDA a new phenomena.

2.1.4 Access vs. Ownership

The provision of access for nonprint materials is another important concern for collection management. Whereas a book is its own delivery mechanism most nonprint materials require some other piece of technology for the user to interact with them. Concerns for stock security must be balanced with user need. Access to materials also concerns the issue of whether to invest in access or ownership. Owning certain materials is expensive and impossible for some items, e.g. online databases, but the library’s need for a balanced collection means investing in access to this information (Clayton & Gorman, 2006; Agee, 2007).

The debate of access or ownership characterises the latest shift in collection management philosophy. Libraries have moved from hoarding books to encouraging reading with the provision of access as the next step in library evolution (Ameen, 2005). The literature suggests that that step has already been taken. Schmidt (2004) argues that libraries should not concentrate on the content of their collections but rather the larger context in which they find themselves. Holden (2010) argues against the traditional linear approach to acquisitions. He contends that the plethora of formats and information available means that libraries must step

away from the idea of ownership and embrace a new rhizomatic view, i.e. no longer moving in a linear direction, publisher to vendor to library, but “moving in any and all directions to establish the sphere of access that allows library users to connect with the content that they seek” (Holden, 2010, p.115). This assumption of the role of access provider was predicted in 1997 by Budd and Harloe who believed that librarians were shifting from collection managers to content managers, acting as mediators between users and the ocean of information, what Norman (1997) called a quality filter: vetting, selecting and prioritising resources rather than purchasing single objects.

2.2 CMPs

As collection management has grown and changed over time so too has the document that exemplifies collection management: the CMP. In the majority of the literature this is referred to as the collection development policy (Gregory, 2006; Kennedy, 2005; Vickery, 2004; Shaw 2012), though the labels “collection development policy statement” (Spohrer, 2003), “selection”, “acquisition” and “stock” policy (Shaw, 2012) are also used. For this thesis it was determined that “collection development policy” implied a too narrow focus and was not illuminative of all the aspects that collection management encompasses, much like the debate between collection management and collection development in 2.1. Indeed though “collection development policy” is used in some of the more recent literature (Shaw, 2012; Kennedy, 2005) the ideas that they discuss cover more than collection development with Shaw describing the importance of evaluation and intellectual freedom and Kennedy noting the importance of preservation and licensing. Ameen (2006a) notes the discrepancy in terminology but predicts that collection management policy would be the preferred term in the future. Thus the document being researched herein is referred to as the Collection Management Policy (CMP) which is a broader and more encompassing document. This seems to be the definition used in Scotland with the Scottish Library and Information Council (SLIC) advocating that all libraries have a “stock management policy”.

There are essentially two basic types of CMP: conspectus and narrative (Anderson, 1996). Conspectus is a tool created by the Research Libraries Group to describe collecting levels. It uses a scale of 0-5 to describe the levels of coverage of a subject within a collection; 0 - Out of scope; 1 – minimal, 2 – basic; 3 – intermediate; 4 – research; 5 – comprehensive; with levels 1, 2, and 3 having sub-classifications (Clayton & Gorman, 2006). Vickery (2004) claims that the conspectus approach is a failed experiment for many senior librarians, while Clayton & Gorman (2006) deem it useful for collection assessment but warn of its collection-centred nature in the current environment of remote access. Although it received a lot of attention at its inception it has not proved effective in real work places. Spiller (2000) comments that conspectus was never popular in the United Kingdom and the newer literature seems to imply, if not advocate, a more narrative approach to writing CMPs. A narrative approach entails describing the collection in words and not assigned values like conspectus.

Straw (2003), Corrigan (2005) and Shaw (2012) advocate placing CMPs on the web. Corrigan (2005) argues that uploading policies for public access encourages follow through.

By putting a policy on the web, even only a draft, it encourages the library to use and update the policy and not let it rot in a drawer unused. Shaw (2012) contends that it can help the library communicate with the community and library suppliers and encourages the inclusion of contact details or an electronic response form. A detailed CMP can also support an audit.

2.2.1 The case for and against

Against

The value of a CMP has been advocated copiously throughout the literature. Johnson (2009, p 72) says “libraries without collection ... policies are like businesses without business plans” However, there are a few dissenters. Snow (1996) presents one of the strongest arguments against collection policies, whilst being the most referenced (Corrigan, 2005; Kennedy, 2005; Vickery, 2004; Pickett et al, 2011). He notes the lack of a clear definition of what a collection policy is. The sources he quotes do lack definitiveness, especially Atkinson who is unnecessarily verbose. However, he ignored Cogswell who wrote in 1987, “the systematic management of the planning, composition, funding, evaluation and use of library collections over extended periods of time, in order to meet specific institutional objectives” (Cogswell, 1987 as quoted in Clayton & Gorman, 2006, p.17). This definition is both clear and widely accepted being quoted by Johnson (2009) and Clayton & Gorman (2006) which weakens Snow’s argument.

The necessity of a thorough collection evaluation to the creation of a collection policy is noted by Snow (1996), though he goes on to describe this as a near herculean task too expensive and difficult to be done for the mere creation of a collection policy. Contrastingly he notes the importance of evaluation stating that it benefits the collection and is a worthwhile task for librarians. Snow’s argument is unclear as if this task is so arduous would it not be better to use the results of the labour as efficiently as possible and create a CMP?

Despite coming down against traditional collection policies Vickery (2004) examines both sides of the argument. In his case against, he echoes Snow’s (1996) argument that policies are not used in practice and agrees with his assessment on the difficulty of detailed evaluation. He mentions the lack of flexibility in many policies and how dogmatically following an out of date policy can do more harm than good. He also comments on the dual audiences of a policy, users and library staff, saying that one policy cannot serve both, “a document providing selectors with detailed guidelines cannot at the same time easily communicate a clear message to users” (Vickery, 2004, p. 339). Though he does not find in favour of the traditional CMP Vickery does agree that libraries need a new model that is broad, flexible, continually revised and offers “a map of world resources” (Vickery, 2004, p341) rather than materials owned by the library.

Hazen (1995) takes the view that collection policies are an enshrinement of obsolescence. He acknowledges decreasing budgets and the introduction of new formats, such as electronic files, but says that librarians are cleaving to old policies and trying to maintain the status quo.

He suggests the use of “Hypertext information maps” which seems to be the fore runner of Vickery’s map of world resources. These maps do not seem to take into account the staggering amounts of information potentially available nor the legal or financial issues inherent in providing “maps to information of all types and at all locations” (Hazen, 1995, p.31).

Many of the arguments against the collection policy are intrinsic to academic libraries (Snow, 1996; Cargill, 1984). It is argued that in academic libraries the library staff may not have control over all spending. Snow (1996) explains that in some academic libraries primary responsibility for selection and budget is held by lecturers and not librarians, meaning they control spending. Although demographic and funding changes can affect a public library, the librarians will have the final decision on purchasing and use of funds. The problems experienced by academic libraries mean that a CMP needs to be flexible and adaptable to change. The inflexibility of policies is argued by Snow (1996), Hazen (1995) and Cargill (1984) and is definitely a problem with a bad policy. However, flexibility and regular revision are themes of a good policy (Clayton & Gorman, 2006; Osborne & Gorman, 2006) which balances this argument. It is notable that the arguments against collection policies refer specifically to collection development policies and not CMPs. No substantial argument against CMPs was found in the literature.

The strongest argument against CMPs is that in practice a large selection of libraries do not have CMPs, or have only an outdated semblance of a policy which offers no practical benefit (Snow, 1996; Vickery, 2004). This was not a localised issue but appeared in reference to libraries in New Zealand (Osborne & Gorman, 2006), Australia (Kennedy, 2005) and Pakistan (Ameen, 2006a). In the UK however, Spiller (2000) notes that collection policies have experienced more popularity, when he refers to the 1998 survey of *Information used in public library book selection*. The survey found that of the 109 respondents 39% had a stock policy and 48% were preparing one. He doesn’t give specific statistics for Scotland. This appears to be a higher number than the 1992 findings quoted by Cole and Usherwood (1996). The research showed that at least 56 library authorities in England, Wales and Northern Ireland used stock management policies. Whether Scottish libraries recognise the importance of a CMP or have allowed the negatives to sway them against its use needs to be researched.

For

There is a case against CMPs even if it is argued by the few. Nevertheless, the lack of literature on collection policies might add weight to their argument. However, after a decade of only brief discussion, noted by Pickett et al (2011) and Corrigan (2004), the CMP is back en vogue. Pickett et al. (2011), Mangrum and Pozzebon (2012), Shaw (2012) and Palmer (2012) are all strong advocates of CMPs. They argue that in this digital age, where the future is so uncertain and great changes have occurred in the philosophy of collection management, a strong policy can help plan for the future and provide staff guidance while protecting the library from licensing issues and external pressures.

Ameen (2006a) notes that there are some down sides to CMPs but argues in favour of having a policy, “[CMP] is not a miraculous document that carries solutions to all kinds of collection related problems. But, it is far better to have one than not to have.” (Ameen, 2006a, p82). Through a somewhat dated literature review, where he ignores Vickery (2004), Johnson (whose first edition was 2004) and Mack (2003), he summates the advantages of a CMP many of which are echoed in the modern literature. His first advantage of a CMP is that it serves as a planning document, a thought shared across the literature (Ameen, 2006a; Singh, 2004; Vickery, 2004; Straw 2003).

A further benefit of CMPs is their use as a form of communication (Ameen, 2006a; Spohrer, 2003). The policy can communicate to the public the reasoning and philosophy behind a library’s selection and deselection criteria. By articulating its reasoning behind selection of materials, choice of format and laying out the goals of the collection the library can protect itself from pressure exerted by outside groups (Gregory, 2006; Ameen, 2006a). Anderson (1996) notes that having a collection policy can help internal communication within the library. This is contested somewhat by Spiller (2000), who suggests that communication is required for the successful use of a policy but does not imply that the policy itself can create this communication.

More than just communicating with the public, a CMP can state a library’s accountability to the public, an issue of particular importance to public libraries (Cole & Usherwood, 1996, Shaw, 2012). In the current climate of tight fiscal policy and closely monitored government spending, libraries need to be able to defend their choices whether that is the selection of salacious titles like *Fifty Shades of Grey* or the removal of old cassette tape audiobooks. Clayton and Gorman (2006 p.19) opine that, “[a] written policy is a contract between a library and its users”. Cole & Usherwood (1996) argue that libraries should use statements from official and professional bodies to stay relevant and add authority.

While providing accountability is one positive aspect of a policy, providing instruction is another. A CMP can be a framework for selection that can keep away personal biases (Spohrer, 2006; Shaw, 2012) and act as an instructional tool to new or replacement library staff. The aspect of a policy as a staff training tool was a large part of the reasoning behind creating a policy in Tennessee according to Pickett et al (2011). With all staff using the same policy a high level of consistency can be fostered (Shaw, 2012; Cole & Usherwood, 1996).

A policy can be used as a collection evaluation tool (Ameen, 2006a). It can lay out the goals and objectives of a collection and be the standard by which the collection is measured (Clayton & Gorman, 2006). The policy can also state the frequency and methodology of evaluation to be used (Clayton & Gorman, 2006). From this evaluation or from the depth of collection description in the policy the strengths and weaknesses of a collection can be identified (Gregory, 2006; Ameen, 2006a), drawing attention to subjects that may need more investment or promoting the library through its extensive collection.

In the modern environment with many publishers providing journals in bundles, known as the Big Deal, it has become common for libraries to band together to purchase materials in

consortia. However, these acts of shared purchasing require strict legal requirements and clear delineation of spending. The CMP can facilitate co-operation and co-ordination (Shaw, 2012; Clayton & Gorman, 2006; Gregory, 2006), and also be the location where a library states its claim as chief collector of a resource (Kennedy, 2005). The levels of co-operation can be simply combining their buying power to use against vendors but it can extend to sharing collection goals and resources as consortium, “a group of organizations that work together as a single entity” (Holden, 2010).

All of these reasons make the CMP a valuable asset to any library. However, in the existing electronic environment it is more important than ever for libraries to have a collection policy (Ameen, 2006a, Mangrum & Pozzebon, 2012). Kennedy (2005) says a policy is more important for digital material than print. Due to the needs of digital materials which include compatible software and hardware, appropriate licensing and rapid obsolescence, Kennedy says that a collection policy is needed to keep track of it all. Shaw (2012) echoes this sentiment by noting a selection of the issues that accompany electronic resources namely access through changing technology, the choice between access and ownership and the complex problems with preservation and archiving. A policy could make provisions for these issues by following an information architecture framework: identifying the technology that is used (computer): explaining the systems involved (library catalogue) in connecting the user to their desired content (an ebook); and articulating what processes are used to do this (borrowing the item). Information architecture emphasises the way to get content to users by understanding the systems and processes involved on all levels (Simon, 2008).

Although electronic resources have entered the collections in public libraries their presence is not always known by the public, though this could be applied to many library materials. Shaw (2012) notes that the CMP can be a vehicle for promotion and set out the ways a library can promote and market its materials. Lonsdale & Armstrong (2010) note the importance of promoting materials especially electronic resources. They say it can alert users to the presence of such materials and so increase usage.

2.2.2 Methodology

An examination of the literature shows very few investigations of CMPs. Straw (2003) investigated 124 research libraries to see if they posted collection management statements online. His findings were that while 57% of libraries surveyed had statements online only 30% had statements determined to be comprehensive. Straw does not explain why these were comprehensive, giving no empirical measure of difference, merely stating that the comprehensive statements were more detailed. Without direct comparison it is difficult to judge how complete a policy is. He groups policies into three broad categories: comprehensive collection statements, which he implies is contingent on using the conspectus approach; non-comprehensive collection statements, which he notes tend to be informal and have a narrative style; and standalone mission statements, a very basic general view of the collection.

Mangrum and Pozzebon (2012) take a more scientific approach. The authors performed a content analysis of the collection policies of a group of Tennessee Universities, which they determined had similar criteria. Of the 41 schools included in the sample only 23 of the policies were retrieved, as the others were not available online. They performed site searches using “policy, policies and collection development”, whilst consulting all documentation supporting collection development, even that which was on a separate webpage. Mangrum and Pozzebon (2012) created an evaluation tool that identifies nine key areas of collection development and management, which was based on collection development literature, the authors’ personal experience of collection development and electronic resources and the Digital Library Federation’s Electronic Resource Management report. The nine major categories were: Cost, Consortia, Responsible Parties, Content, Access, Usability, Assessment, Licensing (User Perspective) and Licensing (Library Management). These categories each had four sections so that in total the evaluation tool had thirty-six elements. The policies were evaluated under a binary system, one point if an element was present and zero if it was not. The authors mention investigating traditional elements of collection management but these are not well represented in their categories. The categories seem suited predominantly to the collection management of electronic resources and more general criteria may be needed to assess a more comprehensive CMP, as they themselves comment, “The levels of criteria give some indication of the thoroughness of policies, but the evaluation tool was not designed for that purpose” (Mangrum and Pozzebon, 2012, p. 6).

The few other investigations into CMPs, found in this literature review, do not articulate the criteria for policy assessment. Osborne and Gorman (2006) noted that policies in public libraries were “dated and outmoded” (p.81) yet, their paper concentrates on the uses and benefits of community consultation and does not detail the method by which the policies were assessed for completeness. Pickett et al (2011) give a step by step breakdown of their policy creation process but are vague on how they retrieved the criteria they used and do not list what these criteria are.

2.2.3 Common Themes

From the literature it has become clear that whilst there are several elements that a policy usually contains, or should contain, the specifics of these are different in every library. Vickery (2004) quotes Futas, 1995 p. 5, “the whole idea of developing policy is to start a process of self-discovery and self-awareness, not to copy words that seem appropriate from someone else’s policy”. Clayton and Gorman (2006) note that CMPs contain general policy statements and the benefit of the policy providing a guiding framework has been discussed in 2.2.1. It is noted that a CMP is not a service level agreement (SLA). Where SLA are legally binding and contain strict and detailed agreements to provide an agreed level of service and act as a performance measure (Burnett, 1998) CMPs are more of a framework. A public library might benefit from the use of both. Hereunder are discussed the common components for a CMP, many of which are broad headings, and the specifics of how they are enacted will vary from library to library.

The majority of the literature suggested that a collection policy should begin with an introduction. The outline for this introduction seems to be based on that in *Guide for Written Collection Policy Statements* (Anderson, 1996) with SLIC (2000), Clayton and Gorman (2006), Johnson (2009) and Shaw (2012) following the same model with a little variation. The introduction should include the library's Mission Statement, an explanation of the purpose of the policy and identification of the clientele and/or institution served, which might also include specifying any special needs or areas of importance to the clientele. It is advised to express the legal and ethical viewpoints of the library by stating the library's stance on intellectual freedom, censorship and copyright to protect itself from complaints. An overview of the collection describing its scope and current and planned levels of collection should be included - as well as a breakdown of the organisation of the collection management programme, articulating which members of staff carry which responsibilities.

Other areas that a CMP should cover are the budget (Clayton & Gorman, 2006; Gregory 2006; Hoffman & Wood, 2005 in Johnson, 2009), special collections (Anderson, 1996; Clayton & Gorman, 2006; Johnson, 2009) and limitations: what materials the library opts not to purchase or provide access to (Clayton & Gorman, 2006; Johnson, 2009). Selection guidelines are an important aspect of policy and the area that closely resembles traditional collection development. In this section the library can articulate its selection guidelines on language, format, and acceptance of gifts (Clayton and Gorman, 2006) and ensure that potential materials meet the existing levels of hardware, software, network capability and ease of use (Norman, 1997).

The idea of co-operation between libraries was mentioned in 2.2.1. The literature reflects that when co-operation, co-operative collection development or consortia are a factor, the details should be explained in the collection policy along with a breakdown of spending and particulars of the other parties (Hoffman & Wood, 2005; Clayton & Gorman, 2006; Mangrum & Pozzebon, 2012; Anderson, 1996). It was important in almost all the literature to articulate in the policy the details, circumstances and timeline under which the policy is reviewed.

The importance of evaluation to collection management is almost universal in the literature (Snow, 1996; Clayton & Gorman, 2006; Fieldhouse; 2012). Agee (2005) attests that evaluation is a foundation for collection management and highlights the three main methodologies: user-centred evaluation, physical assessment and assessment of specific subject support. User-centred evaluation is a good method for testing how well a collection serves its users and usually depends on a variety of tools including circulation statistics (Agee, 2007), document delivery tests (Clayton & Gorman, 2006) and measuring in-house use with questionnaires and observation (Spiller, 2000). As the name indicates physical assessment is the process of evaluating the physical condition of materials. This can involve assessing individual objects (whether a book's binding is loose), as well as assessing the lay out of the library (whether a particular section is sparse or over populated). Subject support is usually more important in academic libraries but public libraries may pledge to provide extra

support to certain sectors of the community, e.g. the elderly or immigrants. Testing subject support relies on evaluating the depth and currency of a collection on a particular subject.

The process of evaluation will often lead to another important aspect of CMP which is weeding. The practice of weeding is advocated by Clayton and Gorman (2006) and Hoffman and Wood (quoted in Johnson, 2009). Weeding involves removing resources from the collection and can include destroying damaged materials, de-accessioning databases or moving little used materials to offsite storage. Steele (2011) argues for replacing damaged print works with free ebooks, which is a new aspect to weeding, replacing an item with a different format.

Evaluation can also lead to another common collection policy component: preservation. Preservation is an important aspect of collection management as already mentioned in 2.1.1. The inclusion of preservation in the collection policy is encouraged by Shaw (2012) and Clayton & Gorman (2006). It is suggested that preservation need not be included in the CMP but when this is not the case there should be a separate preservation policy.

That electronic resources are an important issue in collection management has become apparent through the literature. Many of the issues surrounding collection management stem from electronic resources so it is inevitable that to plan for and maintain them they must feature in the CMP. However, there is some debate as to whether there should be a separate policy for electronic resources or whether they should be integrated into the overall collection policy. McGuigan and White (2003) argue for a separate policy, but they are also in favour of separate subject specific collection policies. Gregory (2006) acknowledges that separate policies can exist but is in favour of an integrated policy in the long term. If electronic resources are to be a part of the library collection then it is reasonable to be treated like other collection materials and integrated in the overall CMP.

2.3 Electronic Resources

One of the “hot topics” in collection management at the moment is electronic resources. Its prominence as a topic can be seen in the renaming of the collection management journal *Acquisitions Librarian* to *The Journal of Electronic Resources Librarianship* in 2008, with a subsequent realignment of subject matter dealt with in the journal.

Not all the literature is focussing on the impact of electronic resources. The need for more analysis can be seen in works like *Acquisitions Go Global* (Agee, 2007). Although formats other than books are briefly mentioned they are given no serious examination. In the five stages of collection management he states “consider alternative formats” (p. 18) and mentions that electronic formats may be more cost effective. The exact nature of an electronic format is not expounded upon. In the chapter on collection management they do suggest that a balanced collection will have a balance of formats. However, the suggested formats, VHS/DVD, microform and electronic journals, seem somewhat outdated and incomplete for a book published in 2007.

The moniker of electronic resources covers many areas including: indexing and abstracting services, electronic books and serials, electronic databases, document delivery systems and websites (Gregory, 2006). These resources offer many benefits especially in terms of accessibility, searchability, currency and immediacy (Clayton & Gorman, 2006). Conversely, there are problems mentioned in 2.1.1 and 2.2.1 such as prohibitive cost, no standards for preservation and rapid obsolescence. Other issues inherent in electronic resources are Digital Rights Management (DRM) which puts restrictions on using and sharing electronic resources (Gregory, 2006), which is itself part of the broader consideration of copyright. Below is an assessment of the collection management problems linked with a popular electronic resource: ebooks.

The printed book is the staple of the public library and will remain so in the future (McMenemy, 2009) nevertheless other formats like ebooks and audiobooks are becoming more popular. In early 2011, Amazon announced that its ebook sales were greater than its paperback sales (BBC, 2011). Ebooks have several advances over traditional books; they have greater availability, full text search, speed of delivery and require no shelf space (Holden, 2010).

It was inevitable that public libraries would start to stock ebooks; however, this particular format causes several problems for collection managers. Despite the fact that ebooks have been available since the 1980's (Lynch, 2012) they are quite a new format in libraries. The novelty of this format means that business models have yet to be established by publishers. At the moment some publishers are charging the public less for ebooks than for print (Lynch, 2012) but this will reduce long term profits and is likely to change. There are a number of models available to libraries for purchasing ebooks but many have corresponding downsides. A common model is one-book-one-borrower (Taylor, 2008) or the print-model (Rice, 2006). In this model the ebook mirrors a physical book so that when an ebook is borrowed it cannot be borrowed by another user. The subscription model allows for multiple users (Taylor, 2008) but comes with a considerable price tag. The "Non-Linear Lending" model (Rice, 2006, p.29) allows for a predetermined number of loans over a set period usually a year. Once this number is reached all access is blocked until more loans are purchased. There are also a range of open source ebooks available online through organisations like Project Gutenberg (Rice, 2006) which carry no price tag. There are also models which are based on title-by-title purchasing, package/collection purchasing and the model of PDA (Sharp & Thompson, 2010) previously discussed in 2.1.1.

It is not only the cost of ebooks which is unstable but also the suppliers. As Palmer (2012) describes in 1998 Netlibrary was an established provider of ebooks, and he believed it would continue to be an important contributor in the future. However, in 2002 the company had to file for bankruptcy and was finally taken over by OCLC in 2002. Palmer (2012) decided to implement *Overdrive* and *Ebrary*, two ebook suppliers that are still popular now. He comments that ebooks pose a problem for collection development, and so collection management, as libraries are reliant on a platform for delivery of the material. This means that if the platform, *Overdrive* for example, does not have a title there is no way for the

library to access it, at least electronically. This is especially problematic in the modern climate of print on demand and instantaneous delivery. For an ebook service to be successful in a public library Palmer (2012) believes that ebooks will be dependent on a clear collection policy.

3. Methodology

As most of the information being obtained is quantitative in nature efforts have been made to ensure that the methodology meets standards of rigour: internal validity, external validity, reliability and objectivity; as described by Pickard (2007). Secondary data were retrieved through the literature review and primary data through the survey in the form of FOI requests and document analysis. The survey provided a substantial amount of quantitative data. Further primary data were retrieved in the interviews which provided qualitative and quantitative data and so were handled and analysed using mixed methods.

3.1 Literature Review

The first step in assessing the problems of CMPs was the broad literature review detailed in the previous chapter. By going through journals and books on collection management, collection development and acquisitions, the major themes affecting modern collection management were determined. Also retrieved were the key aspects necessary in a CMP. One of the first issues that was revealed in the research was a lack of consistent terminology. A variety of terms were used when searching library catalogues including “collection management”, “collection development”, “stock management”, “collection policy”, “collection management policy”, “collection development policy” and “stock management policy”. These terms were used in a variety of Boolean combinations: stock AND policy; collection AND management; collection AND (development OR management); collection AND management AND policy, and complete phrases to retrieve a range of relevant documents.

As the purpose of this research is to determine modern issues in collection management and CMPs, limitations were put on the search to within the last twenty years. LISA (the Library and Information Science Abstracts database) was searched along with journals that concentrate on collection management, as noted by Clayton & Gorman, (2006): *Against the Grain; Acquisitions Librarian/ Journal of Electronic Resources Librarianship; The Bottom Line; Collection Building; Collection Management; Library Collections, Acquisitions and Technical Services; Library Resources and Technical Services; Serials*. Journals that relate to public libraries: *Public Libraries* and *Public Libraries Journal* were also reviewed. The past five years of these publications was browsed for recent developments in the field of collection management, although access to the full five year time period was not possible for *Against the Grain* and *Public Library Journal*. The factors affecting collection management were determined from the dominant topics in the literature along with the important components for CMPs (see Appendix 3 and 4). Now the components for a good collection policy were known a methodology to test whether they were present in public library policies was required. It was determined that the presence of these components could be tested by using an evaluation tool the details of which are explained in 3.2.2.

3.2 Survey

The literature review gathered the key aspects of collection management and CMPs. However, what needed to be tested was whether these key aspects were represented in the CMPs of public libraries. The aim of the investigation was to determine the level of use of CMPs across an entire country, Scotland, not just one library.

Scotland was selected for several reasons. The bulk of research conducted into collection management and CMPs is conducted in American academic libraries. This is understandable as America has a strong library culture with a very active professional body in the form of the American Library Association (ALA). It is also a large country with more indigenous researchers. Nevertheless, the broader library and information community would benefit from investigation into CMPs somewhere outside of America.

Scotland also has a strong representation of professional bodies; the Chartered Institute of Library and Information Professionals (CILIP) and the Scottish Library and Information Council (SLIC). There are researchers and practising professionals, and a strong history of investment in libraries in Scotland. There is a drive for excellence and modernity in Scottish libraries. SLIC (2007) also advocates that all libraries have stock management policies under the Public Library Quality Improvement Matrix (PLQIM) along with many strategies for improvement. It is interesting that in New Zealand, a small English speaking country with an investment in libraries, similar to Scotland, very few public libraries actually have CMPs (Osborne & Gorman, 2006).

Scotland is an affluent western country where members of the public are embracing new formats and electronic resources for personal use. The size and diversity of the country is such that it is broad enough to represent a statistical range but narrow enough that a reasonably detailed investigation could be conducted in the available time frame. This research is intended to compliment the other country-wide studies of library management that have been conducted. For these reasons Scotland was chosen as the location for this research.

A case study appeared too narrow to examine a whole country and the results retrieved would be unsuitable for extrapolating trends. Pickard (2007, p.95) quotes Bell, 1999, “The aim of a survey is to obtain information which can be analysed and patterns extracted and comparisons made.” As the aim of this research is to examine patterns in the use of CMPs a survey was concluded to be the most suitable method. Sapsford and Jupp (2006) recommend using the survey method for research in which the result can be anticipated, though not predetermined, which was the case here. A survey is also suitable according to their (Sapsford & Jupp, 2006) other criteria; it is ethically viable in this situation, it is a feasible method of research and it is the best method to get the required answers. This survey method is also suitable for this research as quantitative results are being sought e.g. the number of local authorities that have a CMP and how many of the key aspects of CMPs are represented in their policy.

The sample size for the survey is intended to be the total possible size i.e. all 32 local authorities in Scotland were to be surveyed. Due to the relatively small number of authorities, a smaller sample would not be representative of the whole group so it was determined to survey all authorities.

The survey method comprised two main stages: FOI requests and document analysis. The FOIs were developed to gain access to the CMPs and establish some background information to the policies. The document analysis required the creation of an evaluation tool which is explained in 3.2.2.

3.2.1 Freedom of Information Requests

Before the FOIs were distributed an online search for the authorities' CMPs was performed. As a result of the Scottish Freedom of Information Act, 2002, many local authorities publish information relevant to the public. The same methodology was used in each case. The authority's website was browsed for the section or link to the authority's library website, if browsing did not work then the site map was used. Then the library website was browsed for the stock management policy, especially in any publication sections. If it could not be found in this manner, as was the case for the majority of authorities, then the site search engine was used. A series of terms were used including "collection policy", "stock management policy", "CMP" and "stock policy". If this was not successful then the local authority's main website was browsed for the CMP, checking official publications. After this the site search engine was used again with the same terms previously mentioned. If the CMP was not found a web search engine was used with the local authority's name and the aforementioned terms. Although this web search engine was quite successful in retrieving policies, some of those retrieved were out of date

Reasonable efforts to retrieve the CMPs were made before contacting the local authorities. Of the 32 Scottish local authorities, only 15 had a policy found online. Many of these were not clearly labelled or easy to retrieve by searching the authorities' library website. Several were found online by using a web search engine, rather than on the authority's own page. It is noted that more policies are possibly available online but were not discovered by the researcher. While searching the websites data was also gathered on which libraries were run by Charitable Trusts and which supplied ebooks for comparative purposes.

The survey was created and distributed by e-mail to the local authorities in the form of an FOI request. Although contacting the libraries themselves rather than the local authority might have given more detailed answers it was determined that using FOIs was the best method for this research. Chapman & Hunt (2010) contend that FOIs encourage participation by the public and openness from the government by enriching democracy and accountability. The FOI (UK) Act 2000 and FOI (Scotland) Act 2002 provide the public with a general right of access to information held by public authorities within 20 working days, which is pertinent due to the narrow time constraints of this research project. FOIs rely on documentation and/or records, both physical and electronic, and can only give information that has been

documented somewhere. That information is more suitable than an individual librarian's choices and opinions as it is a reflection of the whole authority and not just one individual. Another contributing factor is that this thesis seeks to research CMPs, which are policy documents, and is more concerned with what information is documented than retrieving all information that is possibly available. Attached to the survey was an invitation for a library professional who worked in collection management to participate in an interview.

3.2.2 Designing a policy evaluation tool

The second stage of the survey was to assess the CMPs themselves. This research intends to determine if CMPs are used in public libraries and if so what components they consist of. Accordingly, it was decided that a top-down approach would be the most suitable research method. An analysis of the language used would not answer the research questions so it was necessary to form a set of components that were necessary to a CMP, similar to the method used by Mangrum and Pozzebon (2012). The methodology used tested for the presence of components determined through the literature review - by discovering the different components highlighted by various authors and finding the similarities. Although the researcher did not contribute any new components, the mapping onto broader components or sections was unique work. This final mapping can be seen in figure 3.1. This included analysing the intention behind each component and grouping them together with components of similar intention. For example, Clayton & Gorman (2006) place "intellectual freedom" as a component of selection. It was concluded that "intellectual freedom" was a component better suited to the "protections" section, as a library's statement on intellectual freedom can help protect it from complaints and is generally an overarching philosophy for the whole library rather than an individual selection guideline. Similarly, "user involvement" was suggested as a selection guideline by SLIC (2000). However, it is really the feedback from user involvement that is used and this in essence matches the "anticipated use" or "reputation" selection guidelines. The activities used by libraries to involve users such as reader groups and surveys can create interest in the library resources and as such were determined to be better suited to "promotions".

Where Mangrum & Pozzebon (2012) used only one source and the researchers' own knowledge, it was concluded that this research would benefit from wider analysis. Although a variety of sources were consulted for the literature review six were chosen for more detailed analysis and for building the components: Clayton and Gorman (2006), Shaw (2012), Anderson (1996), Hoffman and Wood (2005, as quoted by Johnson, 2009) Johnson (2009) and SLIC (2000). These sources were chosen as they represented the most cited references. They were determined to be pertinent for other reasons including currency, applicability to public libraries and applicability to Scotland. The elements of CMP recommended by these authors are listed in Appendix 3. These elements were then compared for similarities and patterns and mapped onto a model which can be seen in Appendix 4. To show the prevalence of some themes, certain elements were expanded from those presented in Appendix 3, but all material came from the quoted sources.

After extensive comparison, key themes became apparent across the literature. Although there was some variation in terminology, e.g. Clayton and Gorman (2006) refer to “Budget”, Anderson (1996) refers to “Budget structure and allocation policy” and SLIC (2000) refers to “Funding”, analysis of the literature showed that these elements shared the same intention. In total 48 components necessary to a CMP were established. These were grouped together into 10 broader components, called sections as can be seen in figure 3.1.

The analysis also showed that various components, referred to herein as selection guidelines, were so diverse as to need separate mapping, which can be seen in Appendix 5. For the selection guidelines Norman (1997) and Mangrum and Pozzebon (2012) were also consulted in detail and mapped onto trends as these authors make specific reference to selection guidelines for electronic resources. Although certain components were determined to be unsuitable for public libraries or dealt with elsewhere in the CMP the majority were mapped onto fifteen overarching components determined by the researcher.

As was noted in the literature review, not all libraries have or need the same policy. Each library serves a different community and its CMP must reflect those user needs. However, it was concluded that certain components were essential to an efficient modern policy and are described hereunder. Unlike Mangrum and Pozzebon (2012) the components are not listed in a particular order of importance with all components being ranked equally. The use of a binary system, like this, can only show the presence or absence of a component and cannot express how thoroughly that component is dealt with. For example, one policy might mention the clientele that a library serves as a general group but another might explain the demographic breakdowns. This methodology would give an equal score to each policy even though one provides more information.

The selection of components was based not only on their presence in the literature but their suitability for purpose. The majority of the literature deals with academic libraries and presented some components that were not suitable or needed to be adapted for public libraries. The researcher determined that the criteria for researching CMPs of public libraries were the presence or absence of those components that could be applied to all public libraries, whether small or large, branch or central. The components determined to be essential are listed and explained below.

Introduction

The introduction is an important aspect of the CMP. It is where a library sets out its goals and intentions for the collection and the CMP. The introduction also connects the library to the wider community by identifying who it serves and can be a platform for communication.

Figure 3.1

Components of CMPs	
Sections	Components
Introduction	Mission Statement and goals
	Purpose of policy
	Clientele/community
	Other policies
Protections	Intellectual freedom
	Censorship
	Copyright
	Limitations
Collection Analysis	Collection background
	Subject Areas
	Special Collections
	Levels of collection
	Responsibilities for collection
Access	Payment
	Limitations on access
	Licensing
Before Selection	Budget
	Co-operation
	Selection tools
Selection Guidelines	Accessibility
	Anticipated use
	Compatibility
	Cost
	Currency, quality, authority
	Expensive purchases
	Format
	Gifts
	Language
	License
	Multiple copies
	Relevance
	Reputation
	Scottish/local content
	Stability and reliability
Evaluation	User-centred
	Collection centred
	Evaluation tools
	Evaluation timeline
	Weeding
Maintenance / Preservation	Disaster Plan
	Repairs
	Preservation Guidelines
	Disposal
Promotion	Circulation
	Displays
	Promotion strategy
	User Involvement
Policy Review	Policy review

Protections

The usefulness of a CMP in terms of communication was highlighted in the literature review. Through its protections components a library can explain what it does and does not collect. It can and should also establish its legal rights and responsibilities in respect to copyright, censorship and intellectual freedom. This section and the term “protections” were established by the researcher and did not appear in this form in the literature. The literature did emphasise the need for a policy to articulate the ways it is protecting itself from complaints and accusations of bias (Gregory, 2006; Gregory, 2011; Johnson, 2009) and statements on censorship and intellectual freedom were strongly encouraged to be used in this manner. The researcher determined that these components along with “copyright” and “limitations” required their own section separate from the introduction as they fulfilled different purposes.

Collection Analysis

The components for collection analysis came from a variety of others mentioned in the literature many of which were not originally associated together. However, these components all reflect an analysis of the information pertaining to the collection. As part of this information the responsibilities for the collection can be clearly explained. Which member of staff or which department is responsible for each aspect of the collection should be identified. General background information on the collection, its subject areas and the levels of collection can be provided here along with an analysis of any Special Collections.

Access

The purpose of a library is to provide access to information. In the CMP it is necessary to note circumstances that might affect that access. These include having to pay for certain resources, limitations on access imposed by the library or a resource supplier and any restrictions placed by licensing agreements.

Before Selection

The components for this section provide essential background information for the selection process. These components deal with the practical aspects of collection management such as the budget. Knowing the limitations on spending and any areas of prioritisation is essential before making selections. Also any co-operation activities should be highlighted here such as the library’s presence in a consortium or co-operation with another local government department such as Education. This component also encompasses selection tools and strategies such as reviews, catalogues and purchasing models like standing orders and PDA.

Selection Guidelines

As stated earlier the selection guidelines established in the literature review required further analysis and a more extensive assessment. Although the majority of texts list separate guidelines for electronic resources and traditional material, the components herein integrate the two. The reasoning for this is that several of the components overlap. “Cost” is an issue that needs to be considered for traditional and electronic material. Equally many of the

guidelines listed were of unnecessary detail and could be mapped to a broader component e.g. hardware compatibility and software compatibility were mapped to compatibility. Other guidelines, such as the uniqueness of an item, were determined to be unsuitable to most public library CMPs. The components being tested are those applicable to all libraries in all local authorities. The uniqueness of an item may be an important factor for a larger central library, or for a special collection, but it is not necessary in most branch libraries and so not included. The fifteen components finally selected were determined to be the most prevalent and suitable. They are: accessibility; anticipated use; compatibility; cost; currency, authority, completeness; expensive purchases; format; gifts; language; license; multiple copies; relevance; reputation; Scottish/local content; stability and reliability.

Evaluation

Evaluation appeared in almost all the literature. Although there are several types of evaluation the two most prominent and necessary are user-centred and collection centred. Along with these methods of evaluation it also became apparent that the tools and timelines used for evaluation needed to be represented in a CMP. The importance of weeding was also highlighted in the literature and its inclusion as part of the “evaluation” section was decided upon because of the similarities of these activities. Weeding is in essence an aspect of evaluation.

Maintenance/Preservation

The literature review showed that preservation is a current and pressing issue in collection management. However, the literature on collection policies reflected more components in relation to maintenance than long term preservation. The essential components of this section encompass general preservation guidelines as they apply to all stock including electronic resources and procedures for repair and disposal. As can be seen in Appendix 4 disaster planning was not mentioned directly as a component in the literature review, nor were similar forward planning initiatives, like business continuity. Nevertheless, it is believed that disaster planning is an important aspect of preservation and its importance is commented on by Fieldhouse (2012), Clayton and Gorman (2006) and Gregory (2012). Due to this it was included as an essential component.

Promotion

Although promotion appeared less frequently in the literature review than some of the other components, it was mentioned as important by Shaw (2012) and featured strongly in SLIC (2000). Promotion encompasses the strategies a library employs to create or enhance interest in its resources especially important with electronic resources, as previously noted. Promotion also includes stock circulation, whether within an individual library or across multiple branches, and displays.

Policy Review

As the literature review showed currency and flexibility are very important factors of a good CMP. To achieve this, the policy must be reviewed and potentially changed quite regularly. The literature reflects that this timeline should be specific and it is recommended to review every year or two years.

Testing the evaluation tool

Like Mangrum and Pozzebun (2012) this research tested for the presence of the components. Each CMP was read and analysed in detail, twice, to determine if the desired components were present. Just as terminology varied across the literature it was anticipated that it would vary across the policies. To ensure that all components present in a policy were recorded the elements of the policy were not only checked word by word but the meaning behind each element was analysed. If it matched the intention of the components, even if not the exact wording, then it was marked as present. To avoid subjectivity in this element of investigation all the components were given a brief descriptor which the policies could be compared to, as can be seen in Appendix 6.

It is noted at this time that for a greater level of objectivity and to ensure internal validity a second researcher should have tested the evaluation tool. This was the methodology recommended by Mangrum and Pozzebun (2012), where both researchers examined a policy for the components they believed necessary and sought to achieve an agreement rate of over 80%. The practical constraints of this research meant that it was not possible to use this methodology. Despite this all reasonable efforts were made to ensure that the research met standards of rigour.

3.3 Interviews

To gain more detailed information and obtain specific examples it was determined that interviews should be conducted to support the survey research. Due to the time constraints of the project it was determined that taking a small quota sample would be representative as well as feasible, as the interviews were being used to discover supplementary data to the survey and literature review. Quota sampling was chosen over random sampling as the makeup of the 32 Scottish local authorities encompasses the entire spectrum. Purposive sampling is recommended when there is a range of characteristics within the research group that the researcher wishes to be represented (Gorman et al, 2005). Some authorities like Glasgow and Edinburgh are almost completely urban whilst others service large rural communities like Scottish Borders. Although Pickard (2007) states that a quota should be a reflective percentage of the total population this would have been an unbalanced sample as there are significantly more towns than completely urban areas.

The quota determined was two interviews per category. The categories of authority were decided to be URBAN, RURAL, TOWNS and MIXED. These categories were reached by consulting the *Scottish Government Urban/Rural Classification 2009-2010* (Scottish

Government, 2010, p14). This publication contains tables that show the percentage of an authority's total population and how it is distributed across six categories; Large Urban Areas; Other Urban Areas; Accessible Small Towns; Remote Small Towns; Accessible Rural and Remote Rural.

The researcher used only four categories (URBAN, TOWNS, RURAL and MIXED) as opposed to the six in the government classification. This was because the distribution was too broad across six categories making it very difficult to identify commonalities and patterns. It was determined that the researcher's categories represented the archetypes of local authorities with sufficient criteria for determining patterns and trends. The researcher's categories were mapped from those of the Scottish Government as can be seen in Figure 3.2. Those authorities which were not predominantly URBAN, TOWNS or RURAL were deemed to be MIXED.

Figure 3.2

Authority Types						
Scottish Government	Large Urban Areas	Other Urban Areas	Accessible Small Towns	Remote Small Towns	Accessible Rural	Remote Rural
Researcher	URBAN	TOWNS		RURAL		

The URBAN category was mapped directly onto the Large Urban Areas as this category represented a population over 125,000 (Scottish Government, 2010, p.4) which was most of Scotland's cities. Other Urban Areas, (populations between 10,000 and 125,000, Scottish Government, 2010, p.4) generally represent large towns and Accessible Small Towns are those small towns (population 3,000 to 10,000, Scottish Government, 2010, p.4) that are close to other larger settlements. As there are many authorities that consist of large and small towns but do not have significant urban or rural characteristics it was determined that TOWNS would be a suitable Category. The category of RURAL was mapped from Remote Small Towns, Accessible Rural and Remote Rural. As indicated a small town has a population between 3,000 and 10,000 and rural areas have populations under 3,000. It was decided that Remote Small Towns should be included with the other rural categories as these towns are more than thirty minutes' drive from another large settlement and the population of these towns is quite small.

For determining an authority's category the population density was measured. If 70% or more of the population inhabited a category then that authority was deemed to represent that category. For example 99.6% of Dundee City's population reside in a Large Urban Area (Scottish Government, 2010, p14) therefore Dundee City was an URBAN authority and 21.1% of Eileann Siar reside in remote Small Towns and a further 78.9% live in Remote Rural areas so that was categorised as a RURAL authority. The authorities as categorised can be seen in Figure 3.3 along with those authorities which were not predominantly one category, listed under MIXED. It should be noted that in the URBAN category East Renfrewshire and

Renfrewshire are not themselves cities but are comprised of the boroughs of Glasgow city. They consist of several large settlement areas rather than one population centre.

Figure 3.3

Scottish Local authorities organised by authority type			
URBAN	TOWNS	RURAL	MIXED
Aberdeen City	Clackmannanshire	Argyll & Bute	Aberdeenshire
Dundee City	Falkirk	Eilean Siar	Angus
East Renfrewshire	Fife	Highland	Dumfries & Galloway
Edinburgh, City of	Inverclyde	Orkney Islands	East Ayrshire
Glasgow City	Midlothian	Shetland Islands	East Dunbartonshire
Renfrewshire	North Ayrshire		East Lothian
	South Ayrshire		Moray
	West Lothian		North Lanarkshire
			Perth & Kinross
			Scottish Borders
			South Lanarkshire
			Stirling
			West Dunbartonshire

The interviews were requested as part of the survey distributed as FOI requests. This meant that the request went through an FOI officer who would determine his or her answer by consulting documents and records. Due to these circumstances the authorities were not required to answer if there was a suitable candidate for interviewing nor did they have to provide contact details. Consequently, the returns from the FOI requests were low and did not provide sufficient numbers to complete the intended quotas. Once it became apparent that quota sampling would be impossible it was decided to find a random sample from those authorities that were willing to participate. The results could be used in conjunction with the survey results to make conclusions based on category.

For the creation, conducting and analysis of the interview the methodology laid out by Pickard (2007) was used. She identifies seven stages to the interview process: thematizing, designing, interviewing, transcribing, analysing, verifying and reporting. By consulting the literature review and the research questions themes relating to collection management were determined. It was decided to design questions around librarian's perceptions of collection management the usefulness of collection policies, the importance of the user and recent changes to collection management. Although it may have been beneficial to create some interview questions based on the results of the survey that would be more suitable for a long term research project. It was also decided that gaining practitioners opinions on the issues found in the literature review was more important than their opinions on elements of policy as at the time of designing the interview the survey had a high level of return.

Because of the time constraints and the intended goals of this research it was established that a semi-structured interview style would be most appropriate. It was determined that a “standardized, open-ended interview” (Pickard, 2007, p.175) would best meet the standards of rigour desired in quantitative research, by asking all interviewees the same questions but allowing and encouraging them to answer with their own words and thoughts, rather than using predetermined answers. Occasionally, some interviewees were encouraged to expand on their answers. The questions were tested by Library Studies students for clarity and appropriateness, and changes were made to improve phrasing and reduce repetitiveness based on their suggestions. The questions used can be seen in Appendix 13.

It was determined that due to time and budgetary constraints the majority of interviews would be conducted by phone. Those within a close distance to the researcher were conducted in person. After receiving an indication of interest in being interviewed the candidates were contacted again to organise a specific time for interviews, to inform them of their rights and protections e.g. all data would be handled under data protection principles, and were offered an opportunity to view the questions beforehand. During the interviews the wording of the questions was slightly adapted to appear more natural and to reflect what was said by the interviewees. Some of the questions were asked out of order to create better flow and to follow the answers given. Where time allowed (within the allotted 45 minutes) one or two follow up questions were asked, to expand on topics brought up during the interview.

Interviewees were given the option of having the interview recorded and all agreed. Those interviews conducted in person were recorded on a digital recorder and those conducted by phone were made and recorded using Skype. All the equipment used was tested before the actual interviews. Notes were also taken by hand during the interviews, to support the recordings. Each interview was transcribed in full shortly after it was conducted. This was done in an effort to keep note of all significant details the importance of which may be forgotten if a large period of time occurs between recording and transcription. Interviews were also transcribed speedily in case an unknown technical fault occurred. This method allowed the interviews to be transcribed with high accuracy even if the recording failed.

Analysing, verifying and reporting the interviews occurred contemporaneously and will be discussed further in 3.4.

3.4 Reviewing the data

3.4.1 Literature Review

The majority of the analysis of the literature review was explained within Chapter 2. The relevant literature was searched for modern themes in collection management as described in 3.1 (i.e. the dominant topics in the relevant literature) and mapped onto the emergent themes as can be seen in Appendix 2. Information on CMPs was searched for terminology and for the components believed to be necessary to a good modern collection policy. These were all

mapped onto the emergent themes as can be seen in Appendix 4. As the appendices show many synonyms were found. These were compared and the term that best epitomized an element, as determined by the researcher, was used to identify an element.

3.4.2 Survey

As previously mentioned the survey research element consisted of two stages the FOI requests and the document analysis of the CMPs.

The return of each FOI request was noted and the data recorded. The information was analysed for trends and patterns and the answers to each question were collated and compared. The frequency of policy revision was coded in terms of years and this information was compared to the statements on policy revision within the policies. Other relevant information, like the use of PDA and supplier selection, was compared to the findings established by the literature review. All information was rechecked and entered into tables. *Microsoft Excel* and *SPSS Statistics data editor* were used on all quantitative data to determine frequencies such as mode, mean and standard deviation and to create charts.

When the policies were analysed a record was kept of whether the components of the evaluation tool were present. Information also recorded included the number of pages in each policy; references made to official bodies e.g. CILIP; whether the policy was posted online; and what the policy was titled. Where possible data retrieved by this research was compared to data previously retrieved in the literature review. The authority types described in Figure 3.2 were also used to try to determine patterns. Statistics were retrieved on each authority, on each authority type (URBAN, TOWNS, RURAL and MIXED) and from these totals and averages were found.

3.4.3 Interviews

The interviews were analysed by examining the notes taken during the interview and printing the transcripts of each interview. The interviews were compared against each other and against the literature review and survey results in an attempt to find common themes and develop answers to the research questions.

It was determined that developing categories for the potential interview answers before the interviews were conducted might bias the analysis. There was also not sufficient information to predict the answers. Instead the answers were noted and compared for themes.

An iterative process was used to find these themes. First the interviews were searched for themes found in the literature review such as user centric collection, PDA, what collection management entails and comments on electronic resources. Then the interviews were sifted through searching for emergent themes. All these data were coded to several themes based on the meaning of the response. Pickard (2007) refers to this as open coding. The themes that were found were re-examined and compared to determine more specific categories and sub-

categories and to see how the data were connected, a process known as axial coding (Pickard, 2007). It is during this coding process that Pickard's elements of analysis and verification occurred. Finally the data were reported by entering them into the chapter on analysis, Chapter 4.

4. Analysis of Findings

4.1 Response rate

In general the response rate for this research was very high. Out of the 32 Scottish local authorities, 30 responded to the FOI requests. After further communication, both authorities claimed that clerical error was the reason for the lack of feedback. This is a response rate of 93.8%. Of those 30 responses one authority did not have a CMP but was working on a draft version. One other authority responded with only stock evaluation guidelines. It was determined by the researcher that this did not represent a valid collection policy as it bore practically none of the qualities of a CMP as described in Chapter 2 such as providing selection guidelines, elements of planning or enabling communication and only had guidelines for evaluating materials for withdrawal or retention.

The response rate for the interviews was much lower. Authorities were invited to participate in an interview through the FOI request as this was deemed a convenient way to contact them. However, as the request was made through FOI, which deals with documents and records, the authorities were not obligated to provide information on interview candidates though some very helpfully gave contact details for suitable candidates. In total 8 authorities were willing to be interviewed, 2 from each authority type.

4.2 What's in a name?

The evolution of collection management was discussed in Chapter 2 as were the resultant discrepancies in terminology. This inconsistency stretched to CMPs too with a variety of authors, writing in different countries and at different times using a range of terminology. In figure 4.1 is a list of 20 of the documents reviewed in Chapter 2, detailing the label that they attached to policies.

It is clear that “Collection Development Policy” is the preferred term with 60% making use of the term, including Johnson (2009) who uses “Collection Development Policy Statements”. In contrast only 10 % of authors used “Collection Management Policy” and these were not the most recent publications. Even taking into account all the labels which use the word “management” that total is 25%

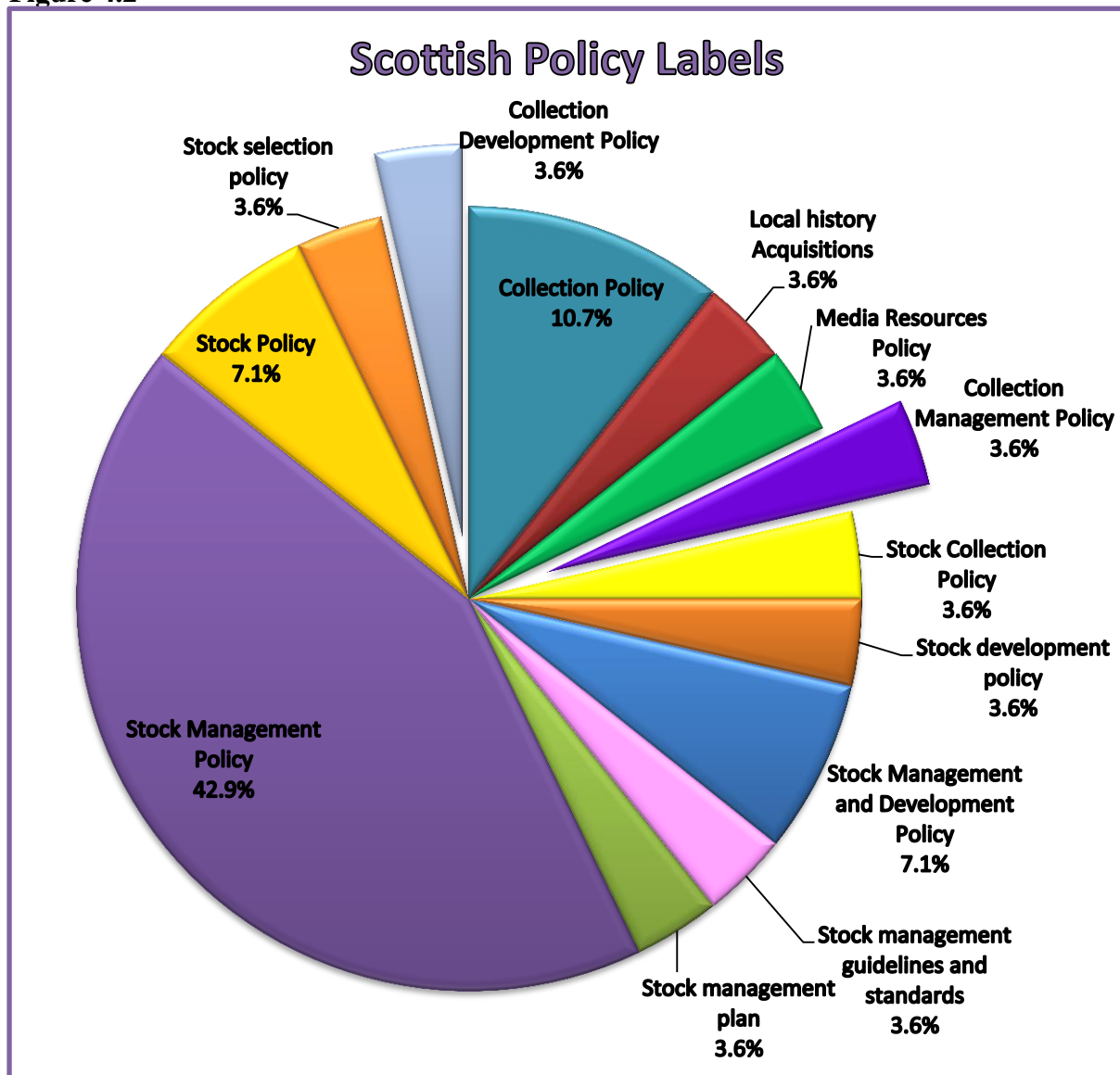
Figure 4.1

Different authors' labels for CMPs

Author	Policy Label
Shaw, 2012	Collection Development Policy
Kennedy, 2005	Collection Development Policy
Snow, 1996	Collection Development Policy
Cargill, 1984	Collection Development Policy
Vickery, 2004	Collection Development Policy
Gregory, 2006	Collection Development Policy
Mangrum & Pozzebon, 2012	Collection Development Policy
Norman, 1997	Collection Development Policy
Hazen, 1995	Collection Development Policy
Osborne & Gorman, 2006	Collection Development Policy
Pickett et al., 2011	Collection Development Policy
Johnson, 2009	Collection Development Policy Statements
Ameen, 2006a	Collection Management Policy
Clayton & Gorman, 2006	Collection Management Policy
Straw, 2003	Collection Management Statement
Corrigan, 2005	Collection Policy
Anderson, 1996	Collection Policy Statement
Spiller, 2000	Policy Statements
SLIC, 2000	Stock Management Policy
Cole & Usherwood, 1996	Stock Management Policy

which is significantly less than those which use “Collection Development Policy”. In contrast the selection of labels across the Scottish Authorities is broader as can be seen in figure 4.2.

Figure 4.2



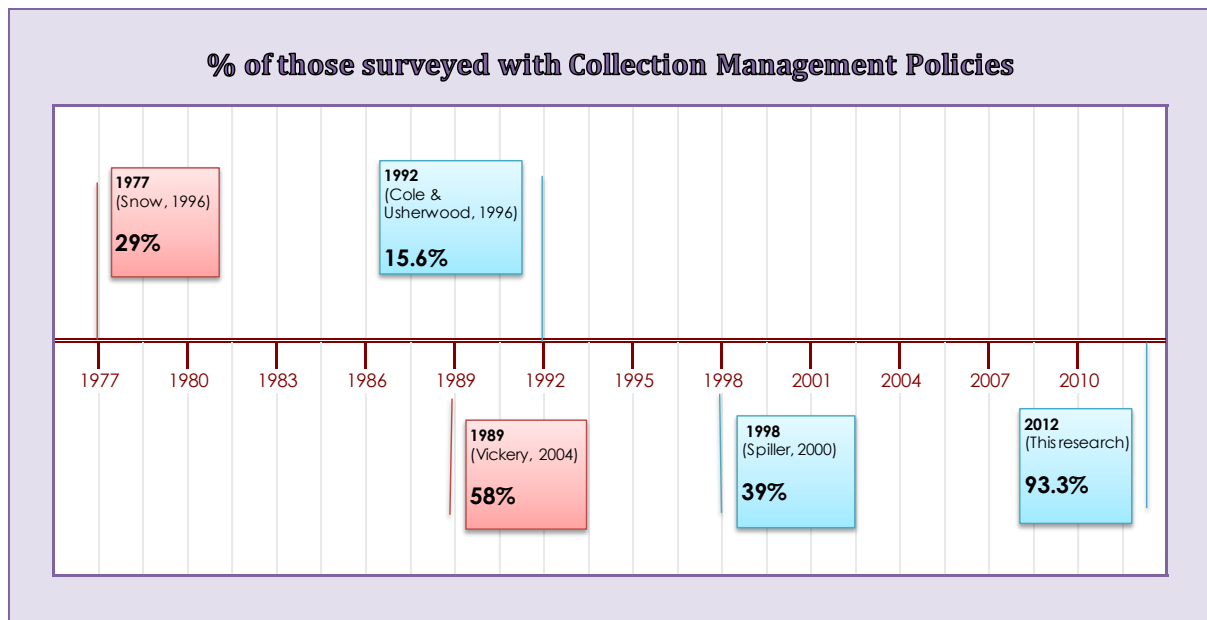
As figure 4.2 indicates 13 different labels are used across the Scottish local authorities. Of those “Stock Management Policy” is by far the most used, with 43% of policies using the term which is 12 out of 28 (percentages have been rounded to one decimal place for clarity and presentation). This shows a difference between the information observed in the primary data, the survey, and the secondary data, the literature review. The labels “Collection Development Policy” and “Collection Management Policy” were each used only once. This is in contrast to the literature review and figure 4.1, where “Collection Development Policy” was the most used term. The segments for “Collection Development Policy” and “Collection Management Policy” have been slightly separated in the chart to increase visibility, as they were the most popular term in the literature review and the chosen term for this research, respectively. “Stock Management Policy” is not used by most of the literature but it is the term used by SLIC (2000) in their *Resource Management Guidance and Development*

Framework which outlines suggested collection policy components. The scale of use of “Stock Management Policy” seems to indicate that SLIC’s *Framework* (2000) has not only been consulted by many of the authorities but used as the basis of their policies.

4.3 Presence of Policy

At the time of writing, 30 of the 32 local authorities had returned their answers to the researcher’s FOI request. As stated in 4.1, 28 of these authorities provided a valid policy which meant that 93.3% of those surveyed have a CMP. Although there are very little directly comparable data, these results indicate that Scotland is different to many other countries such as America, New Zealand and Australia whose lack of collection policies was revealed in the literature. COSLA (1995) library standards and PLQIM (SLIC, 2007) require libraries to have CMPs which may be the reason for the high level of use.

Figure 4.3



Cole and Usherwood (1996) quote statistics for England, Wales and Northern Ireland stating that in 1992 there were at least 56 library authorities across these countries that had collection policies. As this was pre-devolution the research estimates that there were approximately 359 library authorities across these countries. This means that in 1992 approximately 15.6% of library authorities had CMPs. Figures for Scotland were not given but these data can be used as a point of comparison. Spiller (2000) quotes a 1998 survey of UK public library authorities where it was found that 39% of the respondents had a CMP. Snow (1996) quotes a 1977 survey of American academic libraries of which 29% had policies. Vickery (2004) quotes a 1989 survey of small academic libraries where collection policies were used by 58% of those surveyed. Both authors note that the policies were of varying degrees of length and completeness. Two factors influenced the decision to compare data from academic libraries to the public library data gathered in this research: (i) the severe lack of suitable public library data for comparison and (ii) though academic and public libraries have their differences both

are types of libraries and would have the same benefits of using a CMP. Thus data on the use of CMPs in academic libraries and public libraries have been presented. The timeline in figure 4.3 shows the statistics quoted here. Those data related to academic libraries are in red and those related to public libraries are in blue.

The sample size for the presence of CMPs online is larger than that for the survey as it is not reliant on feedback from participants but on observation. The websites of all 32 Scottish Local Authorities were searched. In total 15 policies were found online which accounts for 46.9% of all authorities. The distribution of those policies found online across authority types can be seen in figure 4.4. Figure 4.5 shows the dispersion of online policies across the authority types and the percentage of the total authority type this represents i.e. 66.7% of URBAN authorities have a policy online.

Figure 4.4

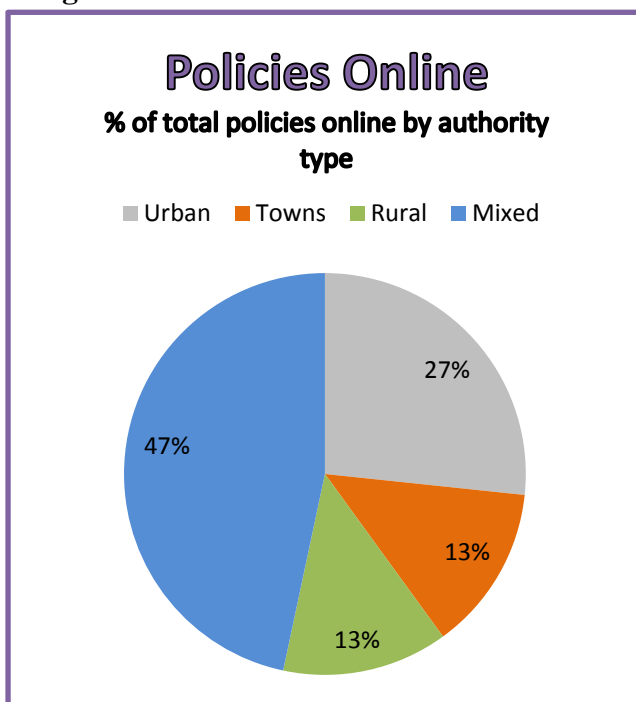


Figure 4.5

Policies online by authority type

	Urban	Towns	Rural	Mixed	Total
Policies Online	4	2	2	7	15
%	66.7%	25%	40%	53.9%	46.9%

As with the use of collection management policies no directly comparable data on public libraries were found. However, Straw's (2003) survey of Association of Research Libraries' websites determined that 57% of those 124 library websites surveyed "had some type of collection management statement" (Straw, 2003, p.83). Because 7% of those surveyed had only a mission statement (no guidelines) the relevant percentage is 50%. There is clearly room for improvement in this area, but the data show that Scotland's public libraries are roughly on par with American academic libraries in terms of CMP web presence.

Although the data show that 93.3% of Scottish Local Authorities have a CMP the data do not and cannot show if it is used. Much like the findings of the literature review the interviews showed that collection policies are viewed as very important. All those interviewed agreed that a CMP was an important tool as these quotes show.

Well it's pretty critical because it is the foundation from [which] everything flows and it provides the essential information, knowledge and background for both customers and staff

I do find it really useful to have a document that I can refer customers to that gives them a clear outline of what we can achieve, what we set out to achieve and any limitations

However, the interviews also discovered that actual use of the policies varied greatly. One URBAN authority stated that they consulted the policy, “Every day for everything” but another authority explained that the policy is “instinctive” and implied that the actual policy was rarely consulted in the day to day completion of library tasks, “because most people have been working under it [the policy] for some time and everybody is aware of what it contains.” Other’s explained that their CMPs were consulted for staff instruction and chiefly to help with customer queries and disputes, which corroborates these points in the literature review.

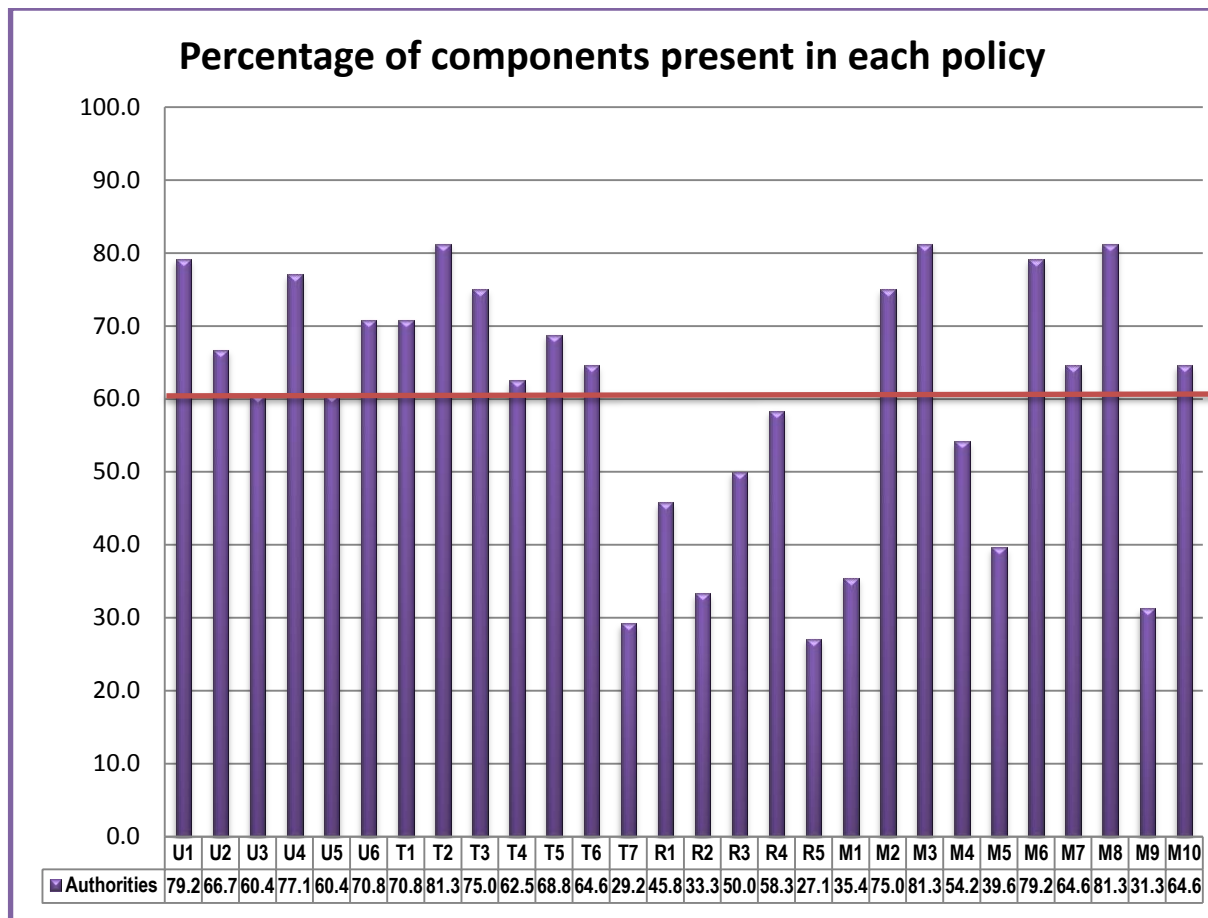
4.4 Presence of components

As mentioned, 28 policies were discovered through use of the internet and FOIs. This means that the total sample size for this part of the survey was 28 of a possible 32 or 87.5%. These high levels of returns mean that it is reasonable to make generalisations about the entirety of Scotland. With the criteria for the second part of the survey being composed of the absence or presence of 48 separate elements, not all data will receive equal coverage herein. All the relevant data are included in this chapter or the appendices but it was decided that only those components that were unusual or outstanding would receive in-depth coverage here. The 48 components are part of 10 broader categories which will be commented on as well as other observations made during the analysis.

The data from the document analysis were tested for statistical reliability. A data set of the total number of components present in each policy was compiled and can be seen in Appendices 7-11.

The arithmetic mean for this data set was 28.9, which is equal to 60.3%. The mean usually indicates the average in a set. So the average of present components was 28.9 or 60.3%. The mode and median can also be used to calculate averages. The mode is the incidence that occurs the most but this data set has multiple modes. The mode of the lowest value was 31, which indicates that the equally most occurring number of present components was 31. The median is the middle value which in this set was 31. The fact that the arithmetic mean, mode and median are different shows that the data are skewed; because the mode and median are larger than the mean it confirms that the data are negatively skewed (Brown, 2008), with a skewness value of -0.6. None the less the arithmetic mean was used to calculate averages throughout this data set as it is only moderately skewed (as it is less than -1). All future reference to averages will relate to the arithmetic mean.

Figure 4.6

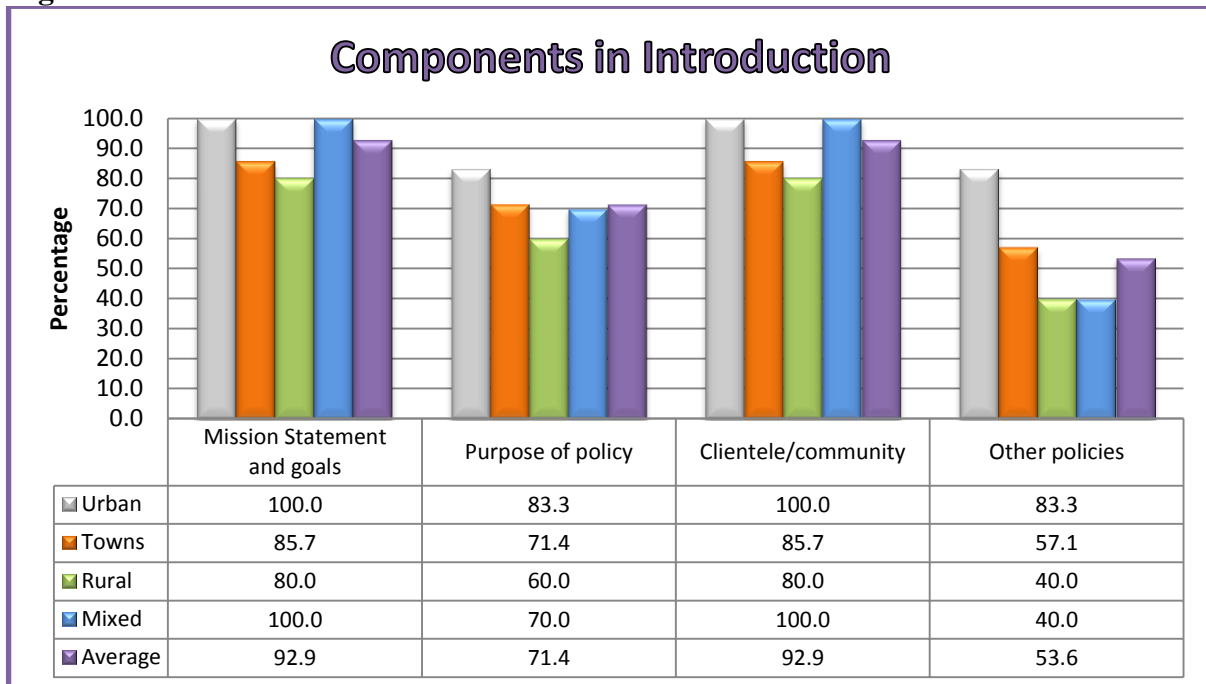


The information used to calculate these statistics can be seen in figure 4.6. The policies have been given titles that relate to their authority type. For example U1 is the policy of an URBAN authority, T means TOWNS, R is RURAL and M is MIXED. The numbers given are the percentage of components present in each policy. Whilst no policy had all components present, the highest percentage of components was 81.3% (39 components) which was achieved by 3 different authorities (T2, M3 and M8) and the lowest was held by only 1 policy at 27.1% (13 components in policy R5). 75% of the policies had more than 24 (50%) components present. The red line in figure 4.6 indicates the average and it is clear that all of the policies from RURAL authorities are below that average.

A full chart of all components and policies is available in the appendices. The 48 CMP components were grouped into 10 sections: INTRODUCTION; PROTECTIONS; COLLECTION ANALYSIS; ACCESS; BEFORE SELECTION; SELECTION GUIDELINES; EVALUATION; PRESERVATION/MAINTENANCE; PROMOTION; and POLICY REVIEW. A comparison was made of the average percentage of components present in each section.

4.4.1 Introduction

Figure 4.7

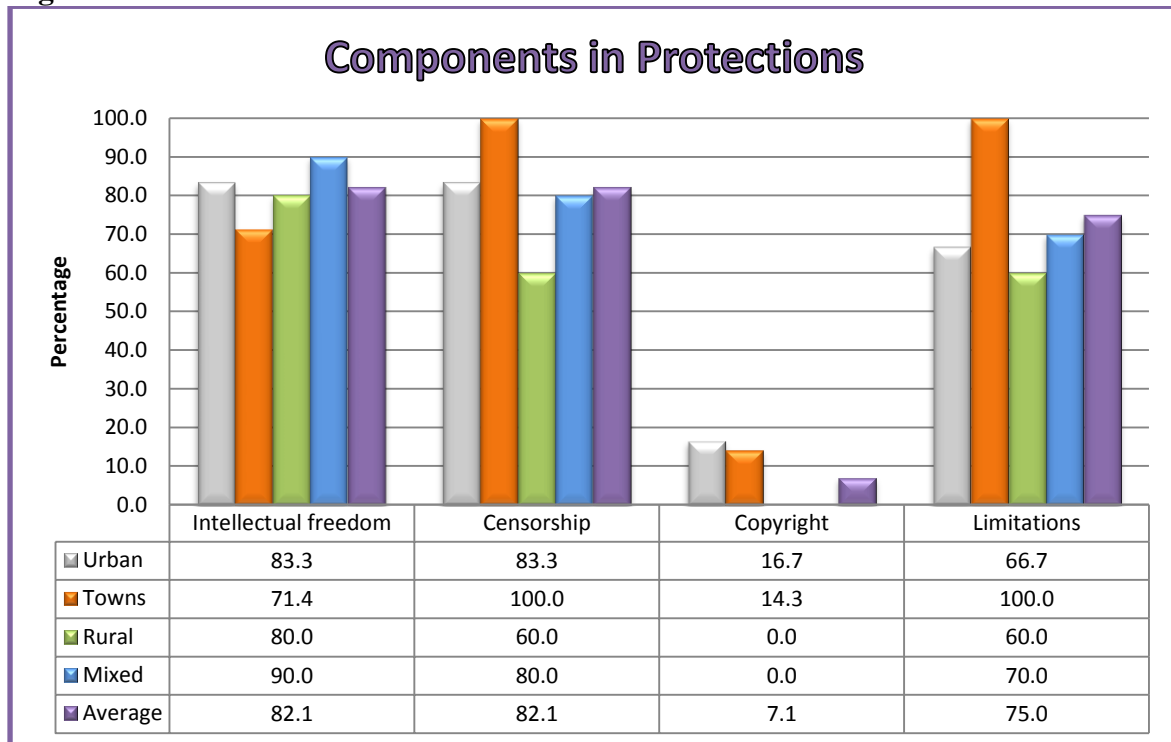


Some form of mission statement or library goals were declared in almost every policy. The URBAN authorities were more likely to mention other policies than the other authority types. It is felt that many authorities have other policies that are relevant to the CMP such as the “Acceptable Use Policy” or the authority’s “Strategic plan”.

As figure 4.7 shows, the policies from the URBAN authorities tended to have the most INTRODUCTION components. Generally the INTRODUCTION components were well represented across the policies. The methodology chosen only shows the presence or absence of policy components and as such cannot be used to measure the effectiveness of each component. Although certain components had a high presence the component was not expanded to its full potential. An example of this is the CLIENTELE component. Although 26 policies (92.9%) mentioned the community they served it was usually very briefly; libraries served “[the] interests of the local community” or “the people who live, work and study in [authority].” Very few gave a breakdown of community population, demographics represented or physical dispersion as was suggested in the literature.

4.4.2 Protections

Figure 4.8



The PROTECTIONS section was for the most part well represented. CENSORSHIP and INTELLECTUAL FREEDOM were addressed by many policies, 82.1% in total. Some policies contained the authority's individual statement on INTELLECTUAL FREEDOM and CENSORSHIP but 57.1% of policies mentioned, quoted or referenced CILIP's statement on "intellectual freedom, access to information and censorship" and often CILIP's ethical principles. So 61.5% of those policies which mentioned INTELLECTUAL FREEDOM or CENSORSHIP referenced CILIP. Whilst some authorities quoted the relevant passage, others included the full document in their appendix and some made reference to CILIP but provided no quote. This was unexpected: communication was one of the benefits of a CMP as advocated in the Literature Review 2.2, and the average user is unlikely to be acquainted with CILIP, let alone its various policies.

Only 2 policies made any mention of COPYRIGHT and both related to audiovisual material. This is a significant absence as all libraries are bound by copyright law. Although with some resources, such as ebooks, the copyright protections are in-built such as DRM (Digital Rights Management), the copyright of others, like books, must be enforced by the library. An example is the 3 month delay on lending new music CDs. As COPYRIGHT is very likely to affect the user, it is believed that some mention of it should be made, if not in the CMP, then in the acceptable use policy which should be referenced.

LIMITATIONS varied greatly from policy to policy. Some authorities simply stated that they would not purchase poor quality material and others specified material like vanity publishing.

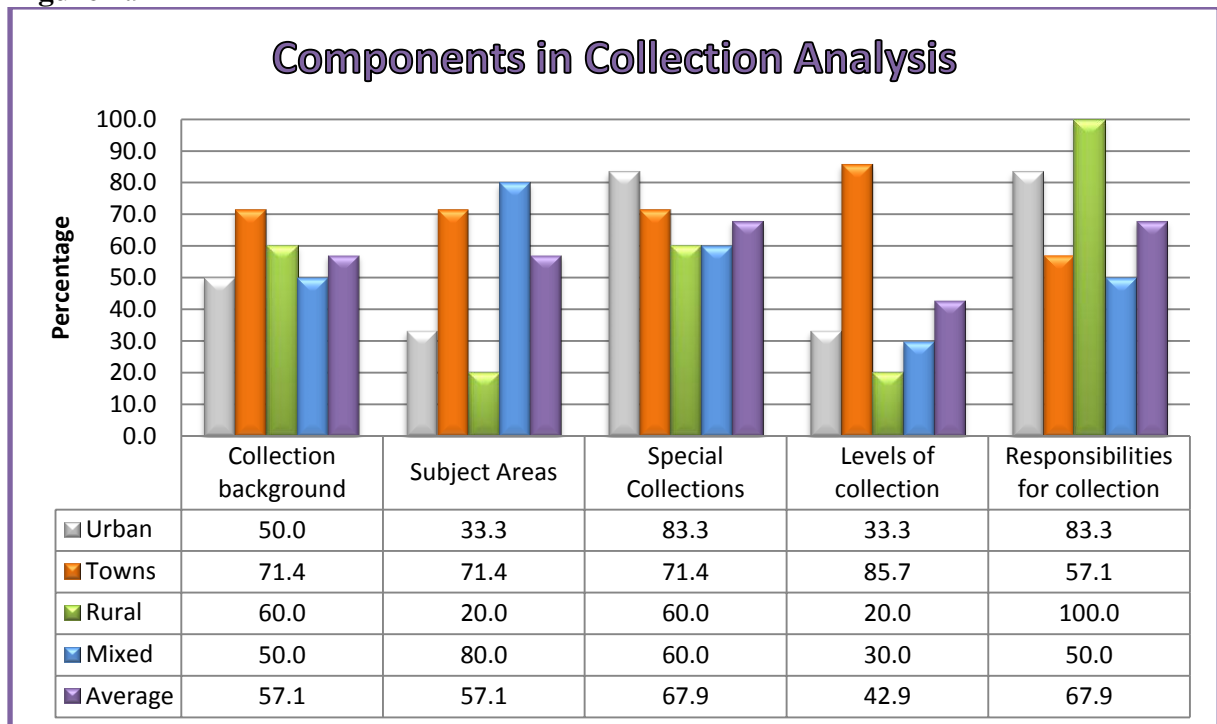
Most of the LIMITATIONS identified were in relation to format with a few policies explaining why one format would be purchased less frequently and eventually not at all - for some this was cassette tapes and others CDs.

The benefit of articulating these elements in the CMP was echoed in the interviews. The interviews determined that the CMP was primarily consulted to deal with customer complaints and queries.



4.4.3 Collection Analysis

Figure 4.9



COLLECTION ANALYSIS is the section that provides the background information for the library. As the Literature Review discussed this could be a brief explanation of each component yet only 57.1% of policies contained the COLLECTION BACKGROUND component. There was also a lot of variety in the scores for SUBJECT AREAS with several policies making no distinction

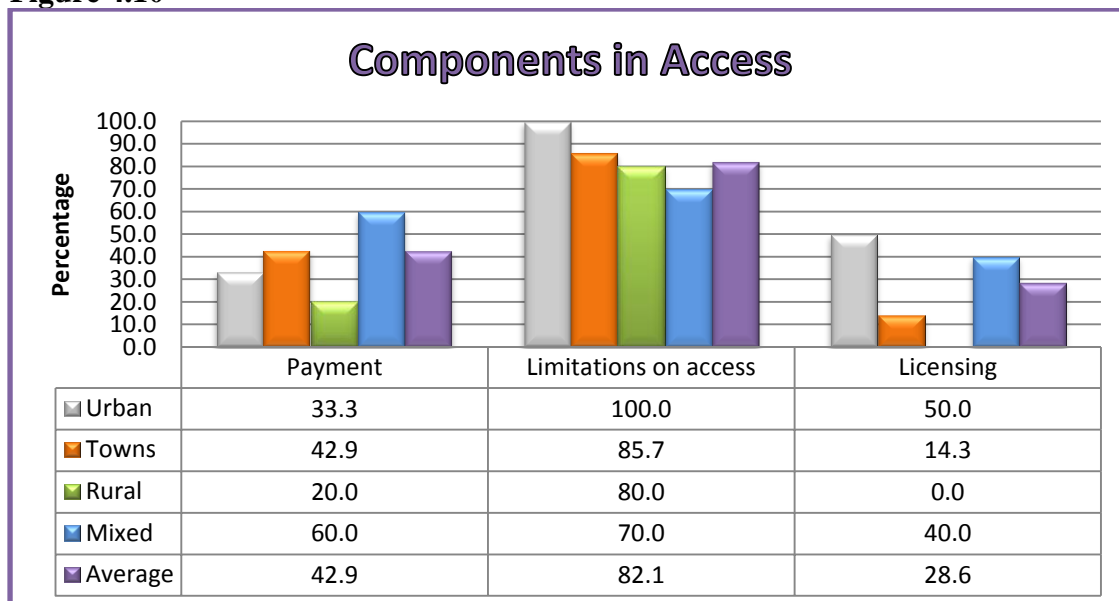
between adult and children's materials or between fiction and non-fiction, with URBAN and RURAL libraries being particularly poor at articulating this component with compliance levels of 33.3% and 20% respectively.

For the most part the SPECIAL COLLECTIONS mentioned in 19 of the policies (67.9%) was the local collection. The weakest component in COLLECTION ANALYSIS was LEVELS OF COLLECTION. Almost all of the 42.9% of policies that identified this component used the COSLA (1995) guidelines for additions to stock: 280 items per 1000 population for adult stock and 100 items per 1000 population for children's stock. These guidelines are quite broad and make no mention of formats, genres or even fiction or non-fiction. None of the policies used the conspectus approach explained in 2.2.

The RESPONSIBILITIES FOR COLLECTION component is the first of the few components where RURAL libraries exceeded their peers with all policies for RURAL authorities detailing who was responsible for managing, selecting and working with the collection.

4.4.4 Access

Figure 4.10



The ACCESS section was only well represented in one component: LIMITATIONS ON ACCESS. The LIMITATIONS ON ACCESS component came in many forms. Some dealt with disability suggesting that certain materials for the disabled were only available in certain branches. Other LIMITATIONS ON ACCESS included lack of remote access on some electronic resources. A very few made mention of the age limits on materials such as DVDs - as these would apply to all libraries, more than 82.1% of policies should have had this component.

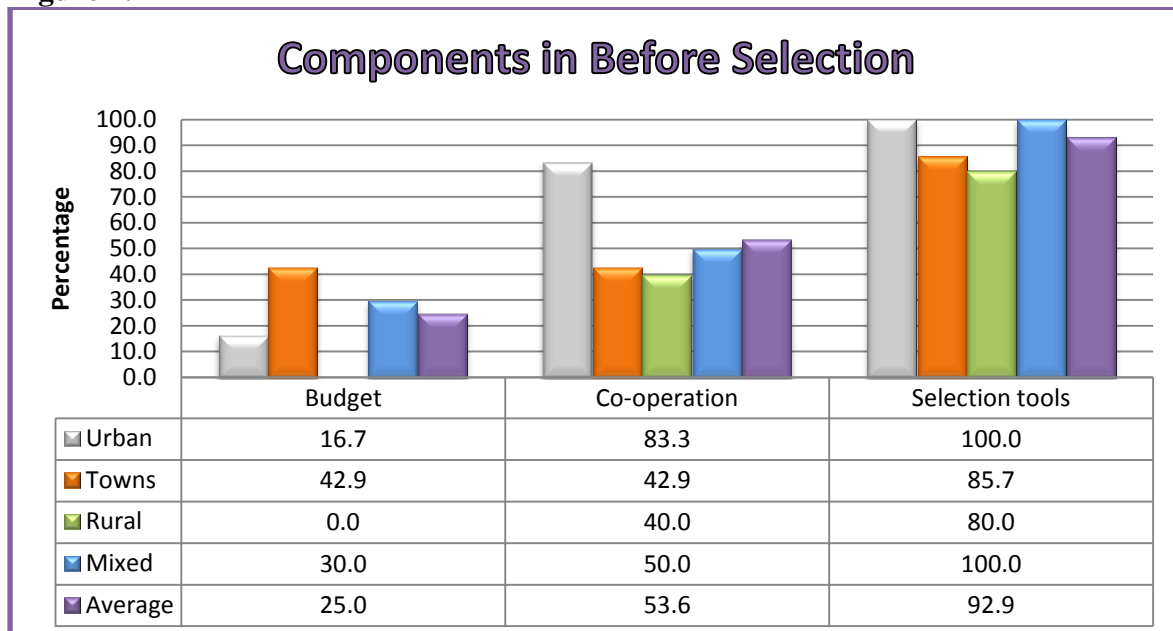
The effects different licensing agreements had on the collection and its use were rarely expounded. No RURAL authorities addressed this issue in their policies and only one of the TOWNS authorities made a note of LICENSING affecting access. There was perhaps an

assumption on the part of these libraries that LICENSING was only related to electronic resources, as it most often used in that context in the literature, and so they felt no need to address it. This would have been erroneous on their part as only under such licensing agreements, libraries are allowed to lend new CDs and DVDs. Despite this only 28.6% of policies used the LICENSING component.

PAYMENT was also rarely declared with 60% of the policies of MIXED authorities mentioning it and all other authority types less. The average of authorities that explained the payment involved in a service was 42.9%, which seems incongruous with the history of libraries requiring payment for audiovisual materials (McMenemy, 2009). Of those, many detailed the payment involved in using request services.

4.4.5 Before Selection

Figure 4.11



Only 2 of the policies failed to mention the SELECTION TOOLS they used to some degree; one RURAL and one TOWNS, which is reflected in the average of 92.9%. SELECTION TOOLS was one of the most used of all 48 components and came in many forms. Some authorities listed suppliers and explained their standing orders in great detail. Others explained that reviews, user requests, supplier information and usage statistics (to name a few) were used to aid the selection process. There was a small overlap with SELECTION TOOLS and CO-OPERATION for those libraries involved in consortium purchasing. Two policies referred to the *Scotland Excel* consortium purchasing scheme, which is both a selection tool and an act of co-operation. However, one of the interviewees suggested that nearly all Scottish Authorities are involved in the *Scotland Excel* scheme. *Scotland Excel* states that all 32 Scottish local authorities are members and list several community trusts in charge of libraries in their

“Associate Members” section (Scotland-excel.org.uk, n.d.). Under these circumstances it is unusual that more policies do not mention the consortium.

BUDGET was a component identified by only 7 policies (25%). It is acknowledged by the researcher that budgets and spending can be a sensitive subject and it is perhaps for this reason that they were so rarely addressed in the policies. However, the literature reflects that budgets, budget management and understanding of funding are essential parts of collection management. Indeed one interviewee commented that, “budget planning is one of the key things [in collection management] and from that everything else flows”. The implication from the interviews and the literature is that BUDGETS are an essential part of collection management though Scottish authorities seem to have decided that they do not belong in CMPs.

4.4.6 Selection Guidelines

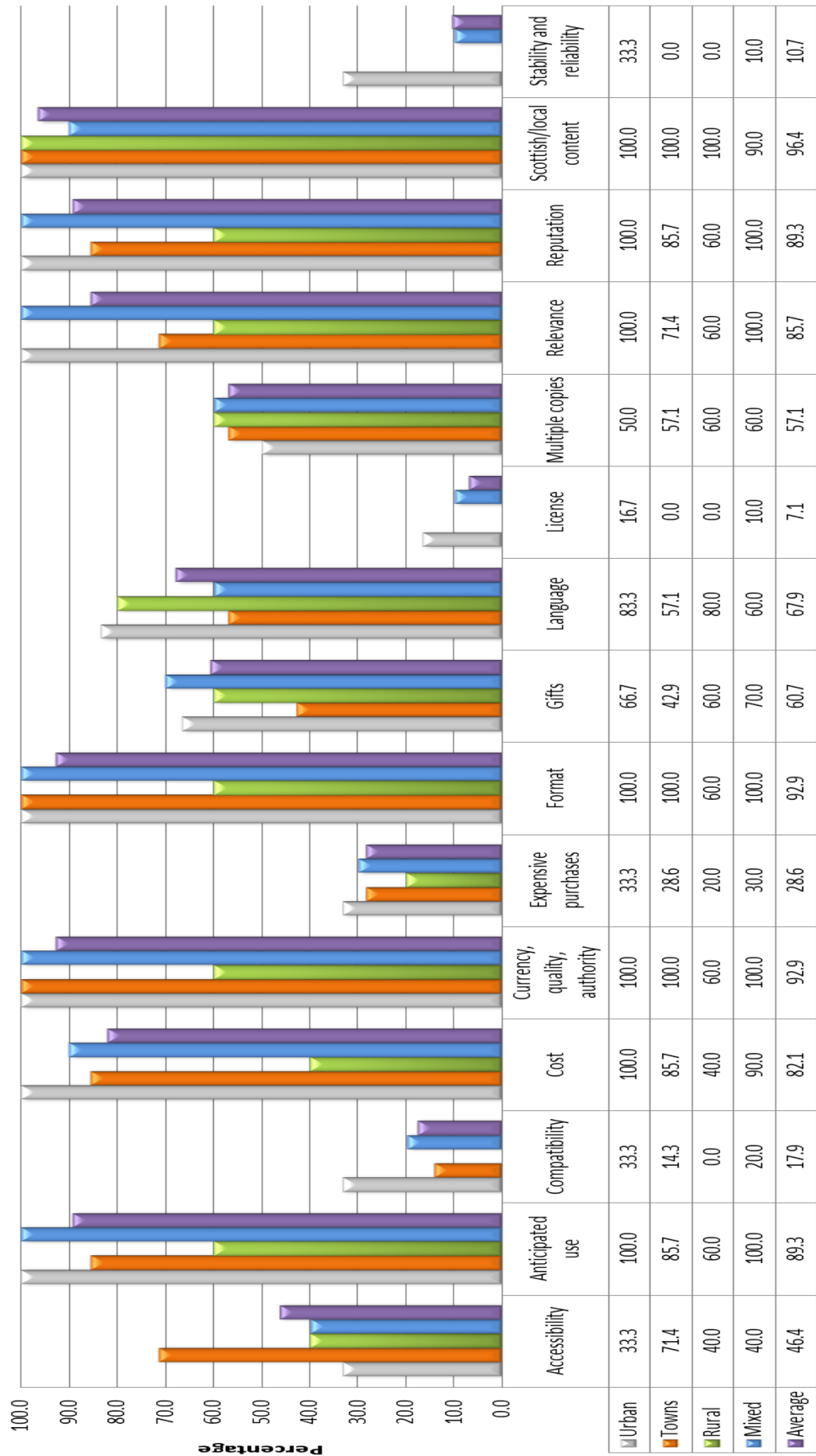
As figure 4.12 shows there was a great deal of diversity across the policies in their use of SELECTION GUIDELINES. This section has both some of the least and most used components of the CMPs.

Accessibility was most prevalent in the policies of the TOWNS authorities with 71.4% of those policies mentioning ACCESSIBILITY some 30% more than the other authority types.

ACCESSIBILITY can apply to almost all formats as it can relate to the suitability of the material in terms of reading level, or the ease of use of the material - especially electronic resources. Throughout the policies it was almost exclusively used in terms of reading level. The aspects of ACCESSIBILITY that apply to electronic resources were rarely present, as was generally the case with the components that related to electronic resources.

A component far more used in policies was ANTICIPATED USE. The average use across the policies was 89.3% with all the policies from the URBAN and MIXED authorities mentioning this component. The basis for gauging the level of anticipated use in most policies was the libraries’ usage statistics. Levels of previous use along with requests and recommendations were used to influence most policies. The vocabulary for this component was diverse with some policies referring to “demand”, “potential popularity” and “usage” to indicate that they would utilise ANTICIPATED USE to guide their selection of resources. The interviews reflected this. When asked what criteria they used for selection, all interviewees replied with some variation of ANTICIPATED USE.

Components in Selection Guidelines



The COMPATIBILITY component, which appeared in 17.9% of policies, usually did so in the context of audiovisual resources. None of the policies of RURAL authorities had this component and only one (14.3%) policy from TOWNS. Several authorities revealed they would no longer acquire cassette tapes, records or VHS as their users no longer had suitable equipment to use these resources. Very few expressed COMPATIBILITY issues around their electronic resources though one policy did mention that ebook downloads were not possible on the *Kindle* reader.

As noted in relation to the ACCESSIBILITY component, very few policies articulated selection guidelines specifically for electronic resources. COMPATIBILITY, LICENSE and STABILITY AND RELIABILITY can all be applied to electronic resources and the literature indicates that electronic resources should be selected under these criteria. Despite this these components were some of the least used as demonstrated in Figure 4.2. LICENSE was present in by 16.7% of URBAN policies and 10% of MIXED policies and by no RURAL or TOWNS policies. RURAL and TOWNS policies also failed to mention STABILITY AND RELIABILITY and only 33.3% of TOWNS and 10% of MIXED policies used the component in any form. Overall the SELECTION GUIDELINES that are advocated for electronic resources are rarely dealt with which is noteworthy when 67.9% of authorities have ebooks (according to their websites) and most have some form of electronic resource. Most interviewees stated that they would use the same criteria for electronic resources as for physical materials and did not consider any special guidelines.

COST appeared in most policies, though the terminology included “cost”, “price” and “value for money”, except for RURAL authorities of which only 40% had this component. This component generally applied to all formats though one of the interviewees explained that it was not necessarily a deciding factor or was balanced against other factors. COST was also compared to aid decision making on which format to purchase.



Several components were present in over 80% of policies which include: CURRENCY, QUALITY, AUTHORITY; REPUTATION; RELEVANCE; AND SCOTTISH/LOCAL CONTENT though generally RURAL policies had the lowest representation.

As the literature review showed the variety of formats available can be a challenge to libraries. All policies but 2 from RURAL authorities made some mention of the FORMAT component. Some policies articulated the traditional format decision between hard back and

paperback, with different policies giving preference to different formats. The formats of audiovisual materials were also included, as was alluded to in 4.4.2, with libraries having different stands on CDs, MP3s and cassette tapes. Unlike the other components related to electronic resources several policies debated the possibility of acquiring an electronic resource over a physical one, especially for electronic reference material. The choice to acquire ebooks was generally made to support existing materials and not supplant them.

On average 60.7% of policies mentioned the GIFTS component. Often not included with the other selection guidelines, the individual libraries stance on gifts or donations was articulated by all different authority types. One interviewee commented that having GIFTS in the policy was useful as, “we get inundated with a lot of donations and it tends that these people put unreasonable demands on a donation”.

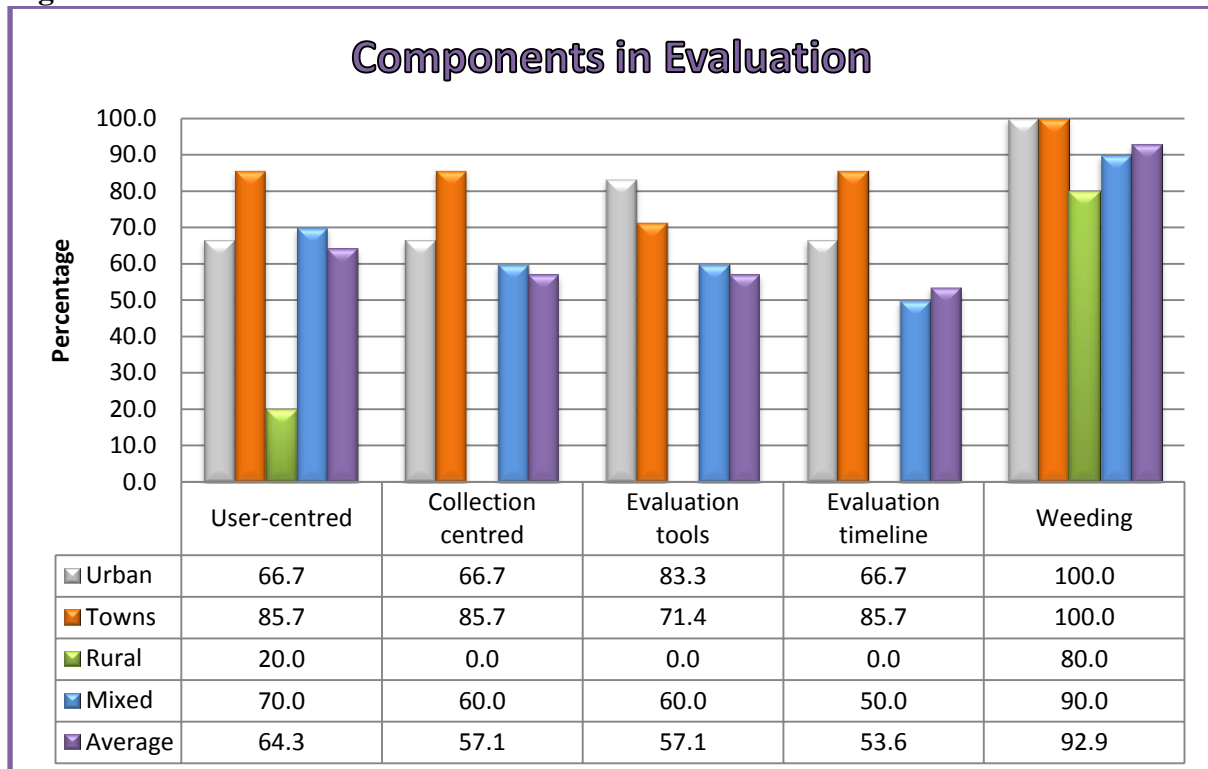
Only 67.9% of policies had a LANGUAGE component in their selection guidelines. 80% of policies from RURAL authorities and 83.3% of those from URBAN authorities addressed LANGUAGE though in different ways. Many of the RURAL authorities’ policies articulated efforts to select materials that were Gaelic whereas many of the URBAN authorities’ policies specified the language needs of minorities such as Urdu, Hindi and Polish. No policy explicitly stated that their chief collection language was English.

MULTIPLE COPIES was a component with fairly equal use across authority types with a variance of only 10%. Several authorities mention MULTIPLE COPIES in connection with their local history collections, as a method of preservation. Other authorities explained that extra copies of materials that were popular, or predicted to be so, would be purchased.

EXPENSIVE PURCHASES was a component of 28.6% of all policies. It was usually illustrated in the context of requests, with many libraries putting a price limit on request material.

4.4.7 Evaluation

Figure 4.13

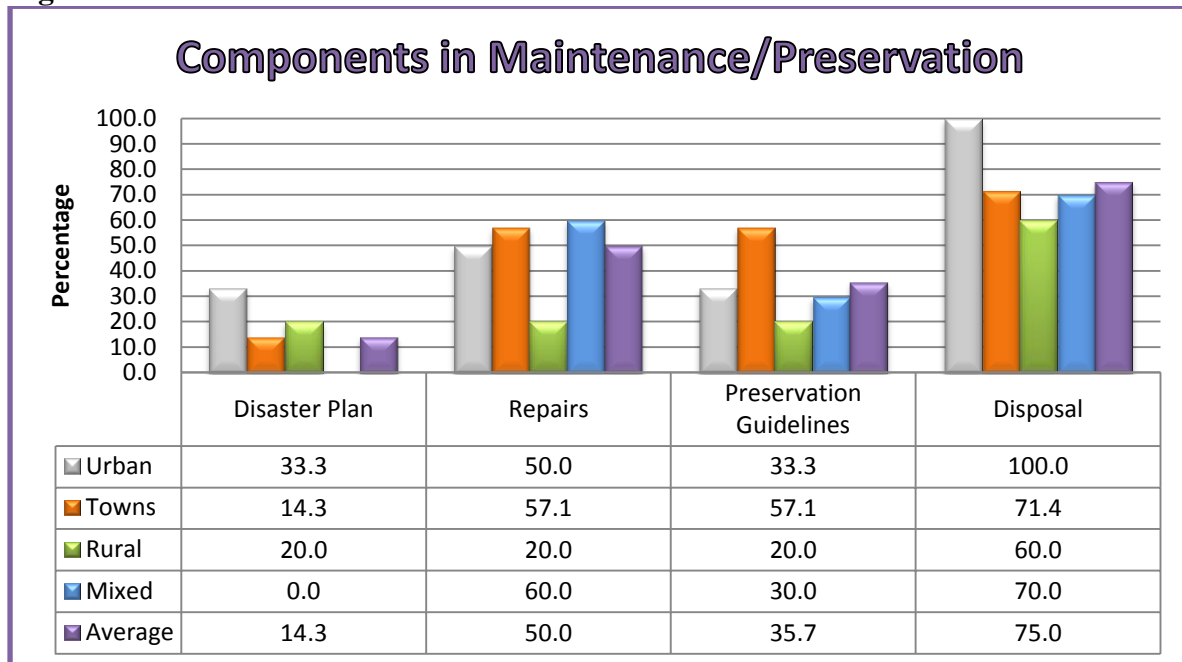


As figure 4.13 demonstrates the policies of RURAL authorities were very lax about detailing their EVALUATION activities with no policies from RURAL authorities mentioning the COLLECTION CENTRED, EVALUATION TOOLS or EVALUATION TIMELINE components and only one RURAL policy included USER-CENTRED evaluation. For most authorities USER-CENTRED EVALUATION was based around their Library Management System (LMS) or Evidenced Based Stock Management System (EBSM). These systems would generate statistics based on usage. They could also help identify “grubby” and old stock. The popularity of these evaluation tools was also present in the interviews with 75% of those interviewed mentioning LMS or EBSM system in a very positive way. One EBSM system that was particularly popular was Smart SM. This system was mentioned in both interviews and policies. USER-CENTRED and COLLECTION CENTRED evaluation was mentioned most by the policies of TOWNS authorities, with 85.7% addressing both components. Very few policies addressed evaluating the currency and usefulness of their electronic resources.

On average policies included the WEEDING component approximately 25% more often than the other evaluation components. WEEDING was often addressed as withdrawal and criteria such as dirtiness, lack of currency and lack of use were given as reasons to withdraw materials. With 100% of all URBAN and TOWNS policies and 90% of MIXED policies mentioning the component, WEEDING is an essential activity in Scottish Public Libraries.

4.4.8 Maintenance / Preservation

Figure 4.14



The PRESERVATION GUIDELINES present in 35.7% of policies were generally maintenance activities such as replacing book jackets and keeping materials clean. Long term preservation efforts were rarely given. Though mentioned in 14.3% of policies, only one policy gave details of its disaster plan and efforts to prevent water and fire damage. The details of how materials were disposed of were present in all URBAN policies but only 60% of RURAL policies. Although DISPOSAL was incorporated in 75% of policies the issue of disposition, previously discussed in Chapter 2 was not addressed i.e. policies would explain how resources was disposed of: selling, recycling, circulating, but, for the most part, not how the decision to dispose of an item was reached other than lack of use. The policies surveyed implied that preservation was not a priority for public libraries.

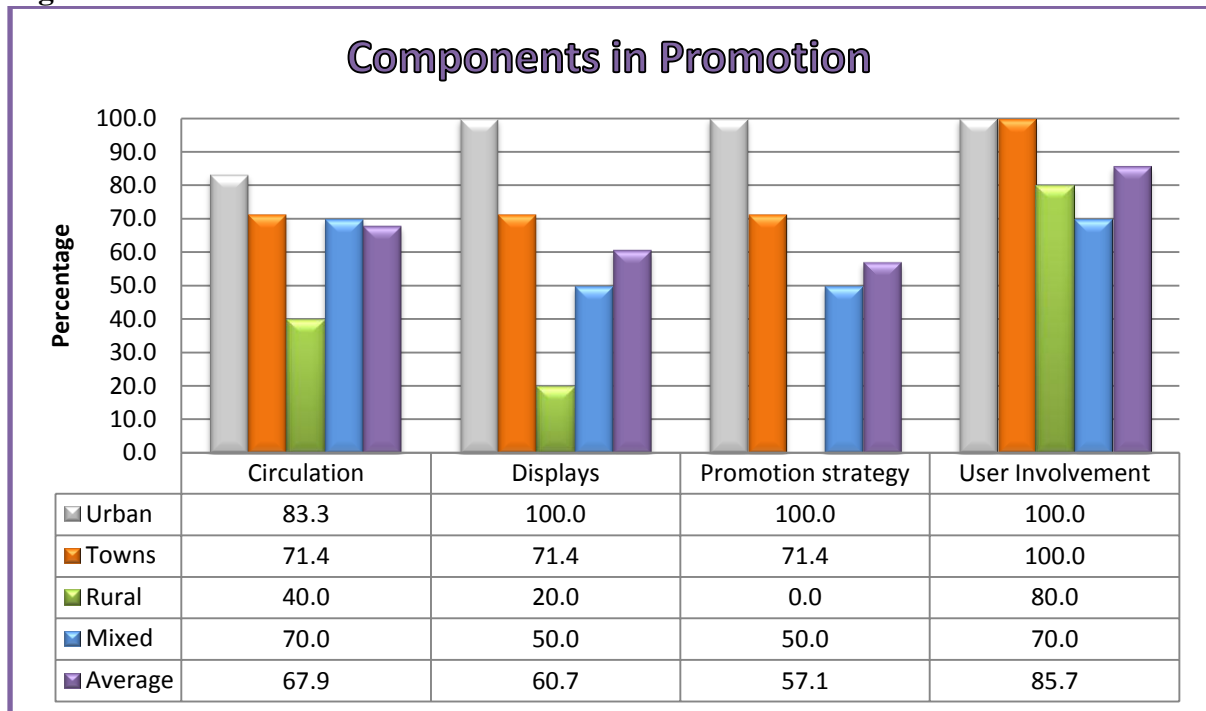
A similar theme emerged in the interviews that preservation efforts were generally not made for normal resources. Local history or special collections materials might be bound or sent to archives but typical reading stock was disposed of or replaced when it was in poor condition and little effort was made to prevent this happening. Although stock maintenance was cited it tended to be in only a superficial way; making sure stock looked “clean”, “presentable” or “in fit condition”. Preservation was not listed when the interviewees were asked about the activities undertaken when managing the collection, even after prompting. The following quotes reflect this.

We don't tend to preserve too much, if you know what I mean. That would probably be something more for the reference collection

In days of yore, we would do that [binding] with lending stock...in terms of binding and physical conservation work, it's [only] local history

4.4.9 Promotion

Figure 4.15

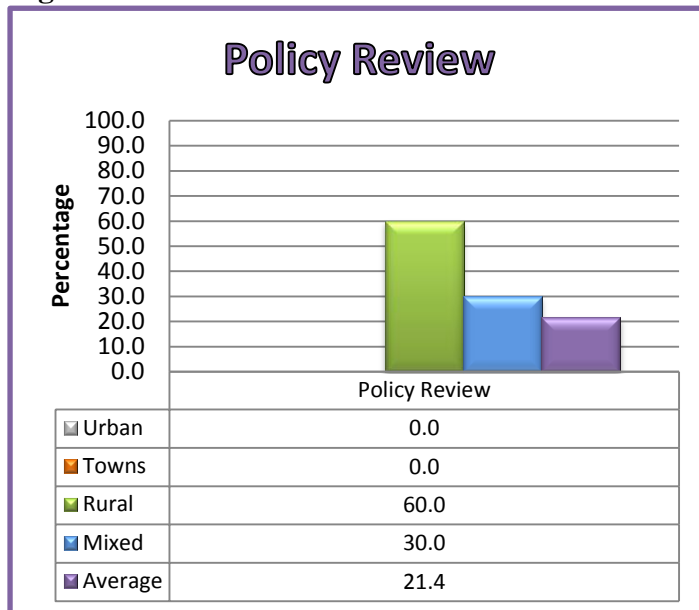


The promotion components were mostly used by the policies from URBAN authorities with all URBAN authorities having, DISPLAYS, and PROMOTION STRATEGY and USER INVOLVEMENT. As with most sections, policies from RURAL authorities had the least number of components as no RURAL policies had PROMOTION STRATEGY and only 20% had DISPLAYS. These three components were often noted very briefly, with a policy asserting that circulation of stock would happen but not giving a timeline; or stating that displays would be used to promote stock but providing no examples.

USER INVOLVEMENT was quite a common component across the authority types. All URBAN and TOWNS authorities possessed this component in their policies and it was present in 80% and 70% of RURAL and MIXED authorities respectively. USER INVOLVEMENT for most authorities included a range of activities such as requests, reading groups, surveys and events. There was often a focus on involving users in the selection process or using user feedback as a selection guideline.

4.4.10 Policy Review

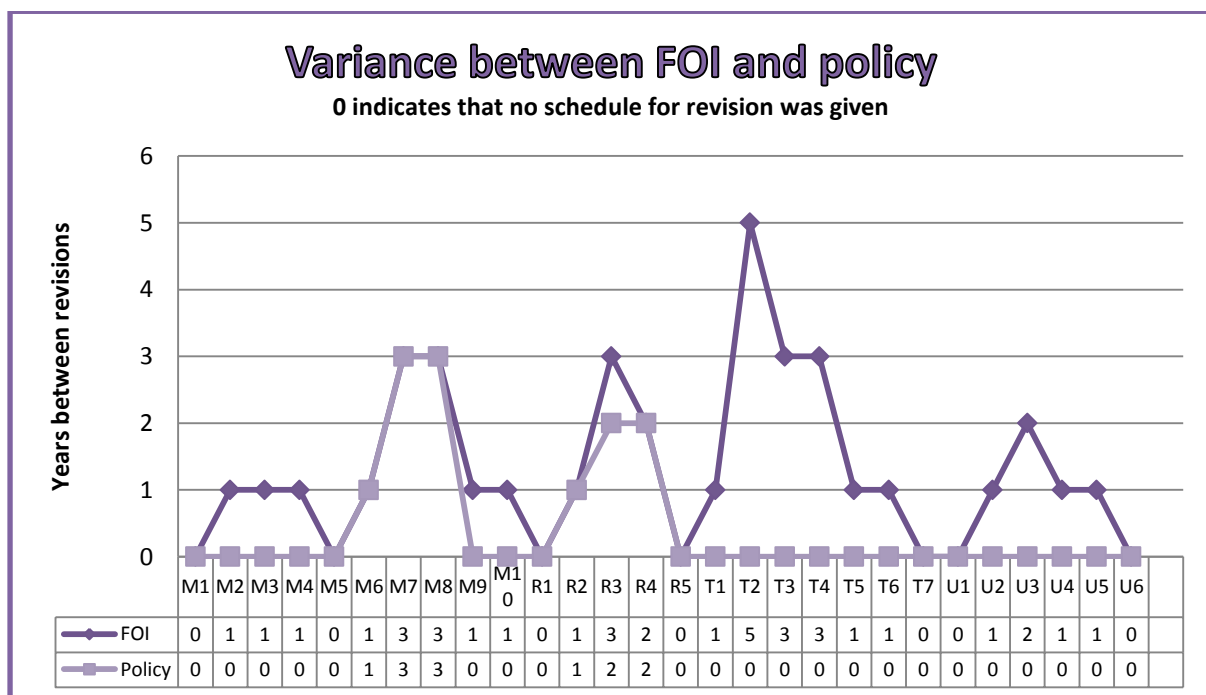
Figure 4.16



The 21.4% of policies that explained their schedule for review represents 6 policies evenly split between RURAL and MIXED authorities. This figure is at variance with the guidance of various authors in the literature review. The importance of keeping a policy relevant, current and flexible was strongly advocated with regular review being the key to achieving these qualities. Despite this none of the policies from URBAN or TOWNS authorities contained provisions for review as figure 4.16 clearly shows.

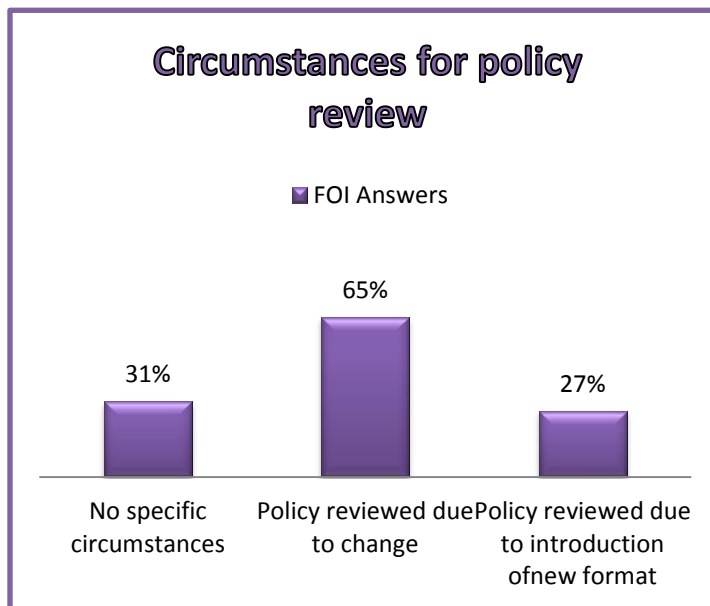
It is interesting to note that the average percentage of online policies that have a schedule for review is 86.6% higher than the offline average of 61.5%. This may indicate some correlation with Corrigan's (2005, p.68) conclusion that placing policies online prevents them from going unused and "disappearing into files cabinets". Regular reviews imply that the policies are being used and updated.

Figure 4.17



The data gathered by the FOI requests proved to have some variance from those gathered by examining the policies. In their answers, 21 authorities gave specific time periods for policy revision as can be seen in figure 4.17. The policies use the same titles as in figure 4.6. The information included in the FOI answers must have been in some document or record to be retrieved by this method. Nonetheless, it was not included in the policies, which perhaps indicates a need for the policies to be revised.

Figure 4.18



The FOIs were also used to enquire into what circumstances would instigate a policy review. Overall the answers given were vague and unspecific. Where answers were given (all but 2 authorities answered the question, giving a response size of 26), they were classified into three types: no specific circumstances, policy reviewed due to change or policy reviewed due to introduction of new format. As figure 4.18 shows 31% of those who answered gave no specific circumstances. Answers

in this category included: “when required”, “as part of procedure” and “as a matter of course”. The other categories of answers saw some overlap: some authorities answered that change and new formats would instigate a policy review. Some changes that were potential reasons to review the CMP were: “service review, changes to partnerships or funding, introduction of new service or format, or change in policy affecting stock provision”, “in response to legislation change or change in social attitudes” and “new library management system”. Several of those interviewed commented that their own policies needed revision primarily due to the introduction of ebooks.

4.4.11 Summary

Figure 4.19 lists all 48 components according to their use in CMPs. It shows that the most used component was SCOTTISH /LOCAL CONTENT with 96.4% of policies having this component. LICENSE and COPYRIGHT were the least used components, only being included in 7.1% of policies. The research also shows that 72.9% of components were present in more than 50% of the policies. The components at the top and bottom ends of the scale of use come from different sections. Figure 4.20 shows the average number of components present in each section.

Figure 4.19

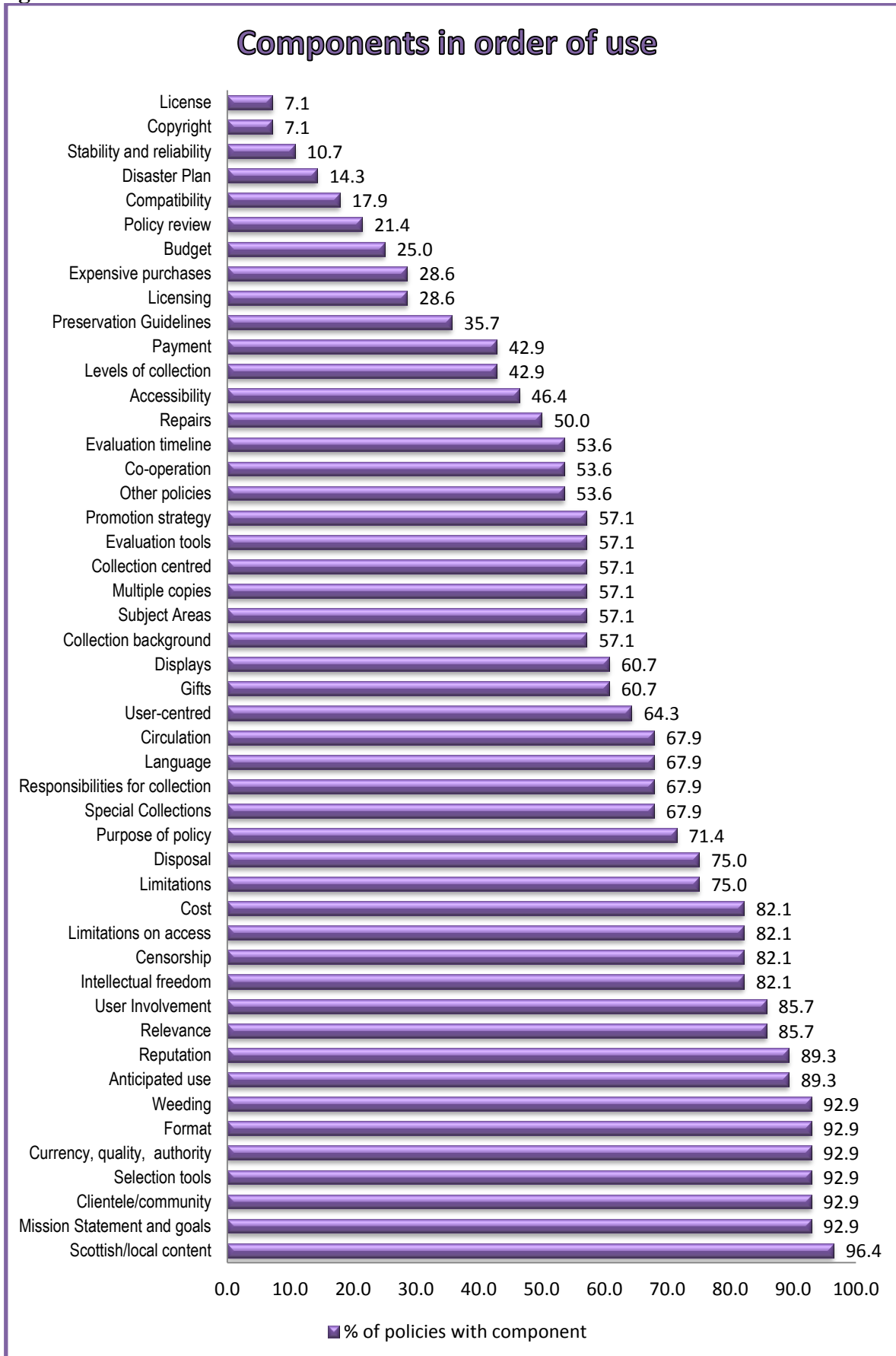
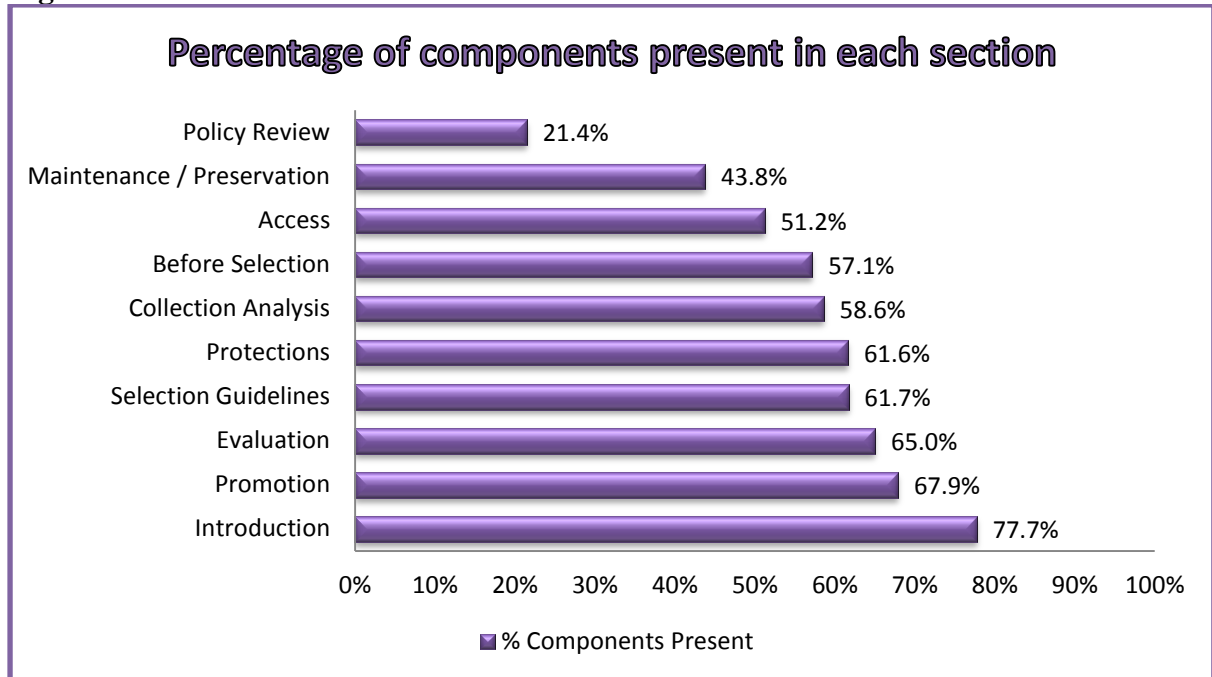


Figure 4.20

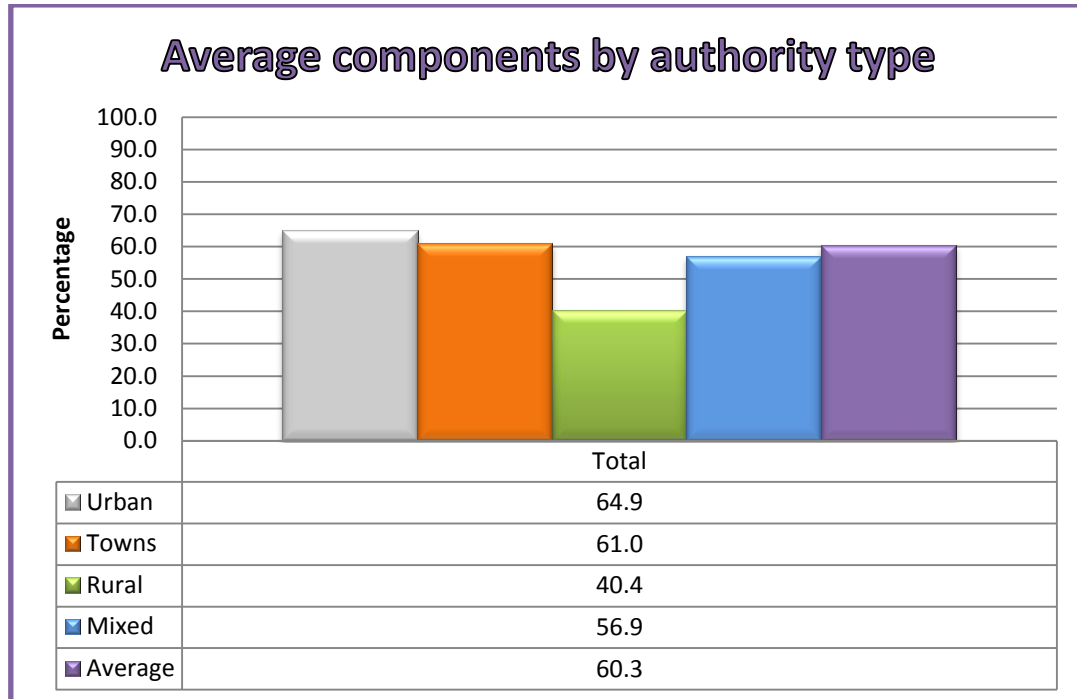


As noted in 4.4.10 very few policies contained POLICY REVIEW. It was the weakest of the sections with 21.4% of policies having it at all. The next weakest section was MAINTENANCE/PRESERVATION. This corresponds with the interviews where preservation was not an emergent theme. Indeed although maintenance was mentioned as an activity of collection management many interviewees put more stress on the supply areas of collection management, such as: selection, acquisitions and circulation, than on up keep activities.

INTRODUCTION was the most well represented section with 46.4% of all policies having all INTRODUCTION components. Interestingly, PROMOTION is the next most used section. This might be seen as unusual as the majority of the literature reviewed did not address PROMOTION. It is possible that PROMOTION is viewed as less important in academic circles than public ones and due to the fact that the majority of the literature is based on academic libraries, PROMOTION was not considered a key element of CMPs. These data imply that for public libraries, promotion is a fundamental activity in managing a library collection, which was corroborated by the interviews. Several interviewees mentioned PROMOTION, and promotion activities, as part of their collection management.

The charts throughout 4.4 suggest a pattern in the authority types. This pattern can be seen in figure 4.21 which shows the average number of components present in each authority type.

Figure 4.21



As the chart shows, the policies of libraries in RURAL authorities had fewer components on average than those of the other authority types. RURAL policies had more than 15% fewer components than MIXED authorities and more than 20% fewer than URBAN and TOWNS. On average urban authorities had the most components.

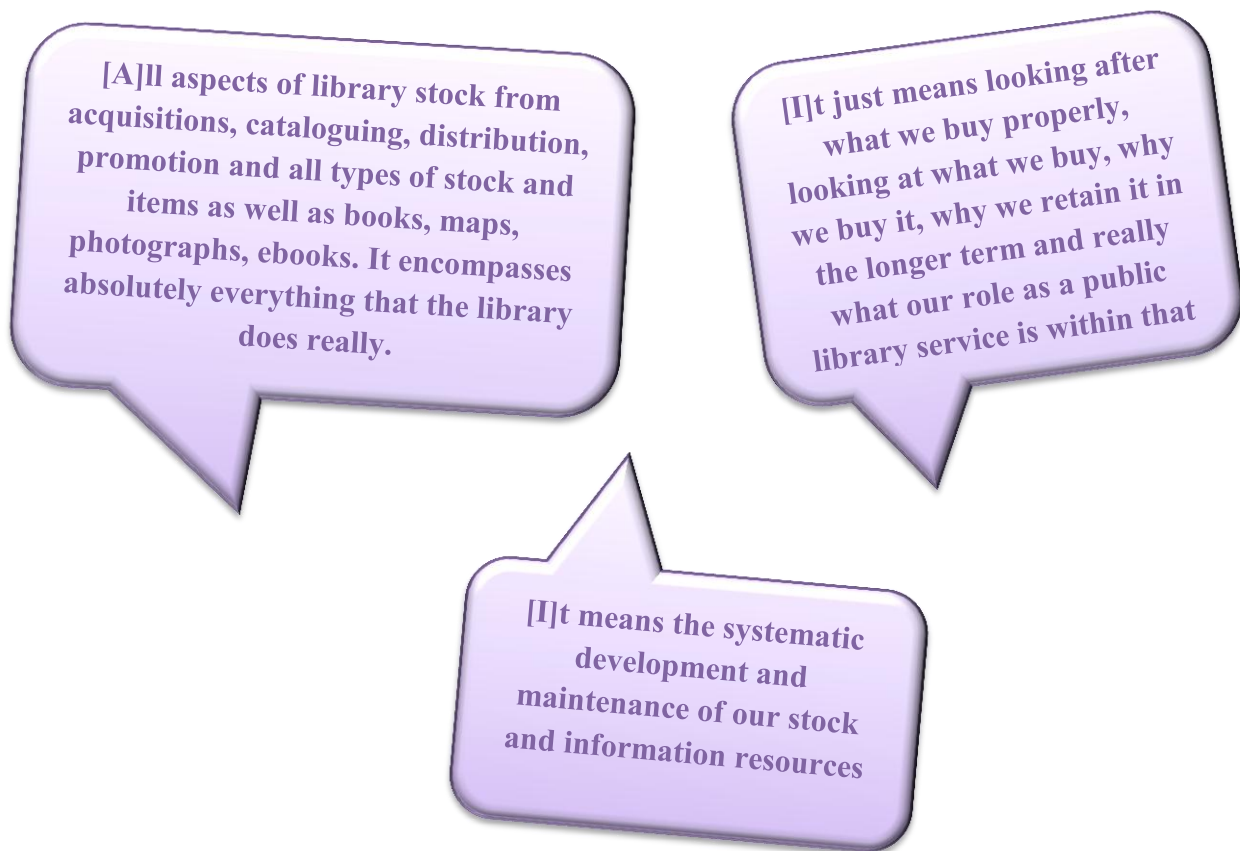
At the time of this research 5 of the 28 libraries whose policies were in the sample were run by Charitable Trusts. The average of components present in the policies of Charitable Trusts was 64.6% which was higher than the average of components in non-trusts which was 59.3%. This was determined by conducting a t-test, though the test showed that the number of components present did not depend on whether the policy belonged to a trust or non-trust authority (see Appendix 14). It is difficult to establish significance as the sample size of Trusts is so small and disproportionate to Non-Trusts.

Of the 28 valid policies 53.5% were posted online. The average components in policies posted online was 64.6% which was higher than the 55.3% average of those offline. Though the test concluded that the number of components present did not depend on whether the policy was online or not (see Appendix 15). Although the online policies and the policies of Trusts had slightly higher averages the statistical tests showed that this was not significant.

4.5 Themes in collection management

In Chapter 2, the literature review determined that collection management had evolved from collection development and was a broader term encompassing many more activities. During the interviews librarians were asked what the term collection management meant for them and the findings were very similar to those of the literature review. The interviewees

described “collection management” as relating “to the whole collection” and as all the activities that were performed in relation to the library stock and resources. The following quotes are a sample of the answers given about collection management.



4.5.1. Collection Management Processes

Those interviewed went on to explain some of the activities they and their colleagues performed to manage the collection such as regular meetings with suppliers, stock editing and stock rotation. These activities have been mapped to broader processes, as part of the iterative analysis, and compared to the processes determined by the literature review. These are all in figure 4.22.

As the table shows many of the processes are similar. Where the literature put emphasis on providing access the interviewees stressed circulation of stock. Although there are similarities, circulation has a narrower focus than actively attempting to provide as much access as possible regardless of format. A similar issue is present in the comparison of preservation and maintenance. Interviewees mentioned maintenance: keeping stock “clean” and “fresh” but none seemed to consider preservation a part of their remit. One interviewee when asked about her library’s preservation activities replied, “We do have an archive centre”. This implies that preservation is separate to the library’s activities.

Figure 4.22

The Processes of Collection Management	
Literature Review	Interviews
Access	Circulation
Acquisition	Acquisition
Budget	Budget
Collection Development	Collection Development
Collection Policy	
Co-operation	
Evaluation	Evaluation (Including weeding)
Preservation	Maintenance
	Promotion
Selection	Selection
Staff Training & Responsibilities	Staff communication
User Assessment	User Assessment

Promotion as discussed in 4.4.11 was a process not prominent in the literature review. However, the survey showed that public libraries perform many promotional activities and this was also true in the interviews. Although only 25% directly mentioned “promotion” several interviewees described promotional activities such as author events and using social media, thus it became apparent that promotion was an important theme in collection management in public libraries.

4.5.2 Centrality of the User

A dominant theme in all interviews was the centrality of the user. This also emerged as a theme in the literature review. All libraries conducted “user assessments” whether through indirect methods, like evidence based stock management, or more direct means, such as surveys. Users could prompt selection or circulation and almost all library activities were conducted with users in mind. Indeed providing for users’ needs was one of the reasons a RURAL library chose to provide ebooks despite the expense. Interviewees explained that users helped them complete their collection management goals and were the reason for having libraries at all.

That’s why you have your collections: to serve their needs and demands. You have to take in their opinions and be realistic about who your readers and users are for the different materials and that’s purely the focus of everything, serving the needs of your customers.

For us anyway they really help us identify any gaps in our provision and that can be an individual request or it can be community groups

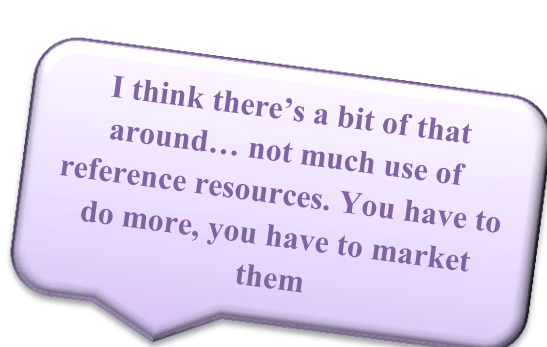
4.5.3 Patron- Driven Acquisition

One trend that was apparent in the literature review but not in the policies or interviews was the new stock selection model: patron-driven acquisition (PDA). The FOI requests revealed that only 7 authorities of the sample 28 (25%) used PDA, or believed they did, acting only in response to requests. Furthermore, they were not using the automated purchasing model described in Chapter 2. Another 2 authorities requested explanation of the term, though this may have been from FOI staff and not library staff. Of those 7 authorities only 6 gave figures on their spending. PDA spending ranged from 2.5% of total spending to 7%.

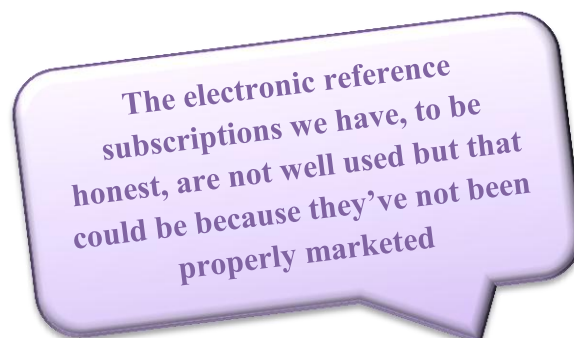
4.5.4 Electronic Resources

When asked to comment on the issues that affected collection management the librarians interviewed gave varying responses, the majority of which revolved around one theme: electronic resources. The interviewees listed a range of e-resources available in their libraries including ebooks, e-audiobooks, electronic references like *Encyclopaedia Britannica* and *ancestry.com* and e-magazines. The e-magazine service provided by *Zinio* was mentioned by 2 different interviewees: though this resource is quite a new addition to their catalogues it is anticipated to have a lot of use.

Electronic reference resources have been available in libraries longer than many of the other electronic resources mentioned and issues surrounding them arose in the interviews. Several interviewees expressed their belief that electronic reference material was not being used by the public. The belief was that people were using freely available internet resources like *Google* rather than the specialist reference material. One authority explained that after consulting with their users they chose to discontinue most of their electronic reference services. If other libraries follow this initiative it is possible that in the future a typical library will contain no reference resources other than an internet connection. Other authorities explained that they were watching these resources and believed better marketing and promotion could encourage use, with one authority consulting marketing professionals.

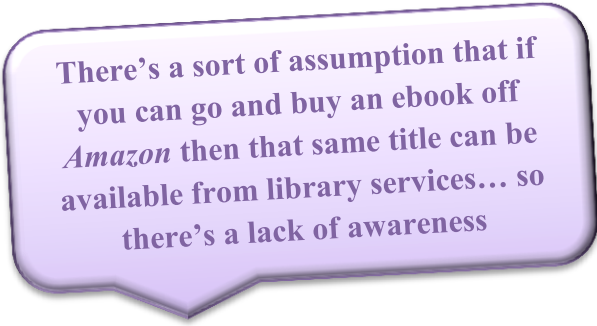


I think there's a bit of that around... not much use of reference resources. You have to do more, you have to market them

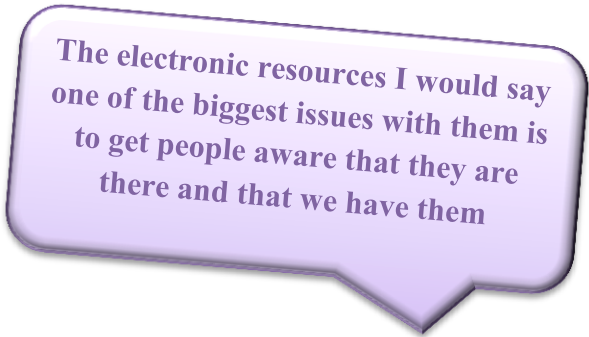


The electronic reference subscriptions we have, to be honest, are not well used but that could be because they've not been properly marketed

The lack of public knowledge about electronic resources was present in several interviews. One URBAN authority explained that users do not understand that access to ebooks in libraries is different to access elsewhere (e.g. Amazon) for individual members of the public.



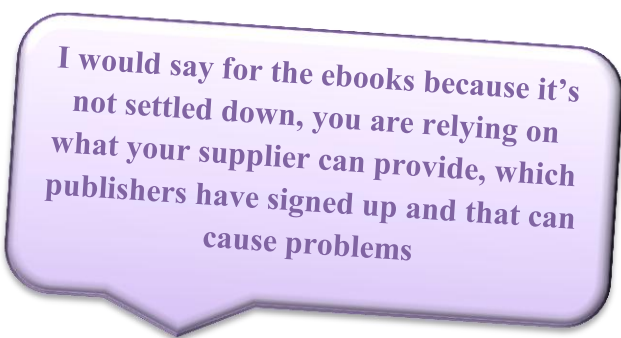
There's a sort of assumption that if you can go and buy an ebook off *Amazon* then that same title can be available from library services... so there's a lack of awareness



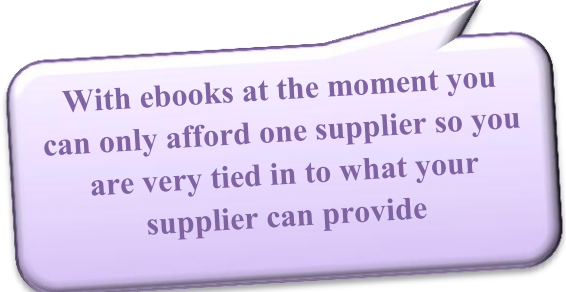
The electronic resources I would say one of the biggest issues with them is to get people aware that they are there and that we have them

4.5.5 Ebooks

The difference between library lending platforms and commercial platforms is just one of several issues connected with ebooks. The literature review showed that electronic resources are a topical issue for collection management and the interviewees shared many of the opinions and difficulties expressed in the literature especially those connected with ebooks. The lack of a set pricing model was mentioned in one interview, with the librarian questioning what the future would hold. The licensing issue was a problem for some libraries. Interviewees from 2 RURAL authorities explained that although they provided an ebook download service it would not function with the *Kindle* e-reader, which they felt strongly limited their distribution. The prohibitive cost involved in providing ebooks was mentioned by a RURAL authority who explained that they could not afford *Overdrive*, a popular library ebook lending platform. The issue of cost was present in several interviews. However, the dominant issue in relation to ebooks was the paucity of titles. The majority of interviewees spoke on the lack of choice of titles, of how the high cost meant they were limited to only one supplier which in turn limited their potential choice in titles, and how there needed to be greater communication between libraries and publishers and suppliers.



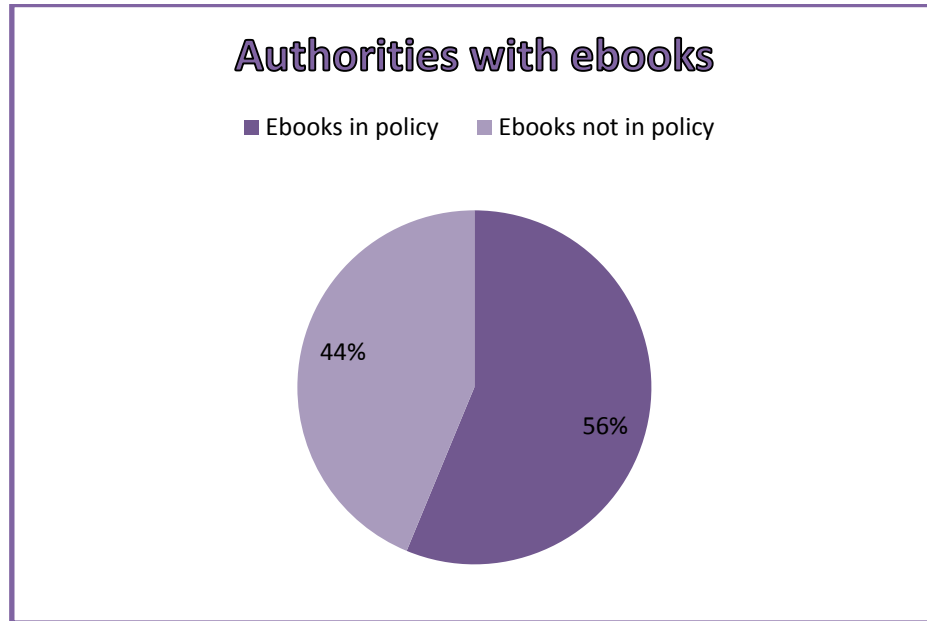
I would say for the ebooks because it's not settled down, you are relying on what your supplier can provide, which publishers have signed up and that can cause problems



With ebooks at the moment you can only afford one supplier so you are very tied in to what your supplier can provide

Despite the importance of ebooks to the interviewees and the plethora of issues surrounding this format only 32.1% of policies mentioned this format specifically. However, this figure does not represent the number of authorities who are lending ebooks. Perusal of the library websites of all authorities revealed that 67.9% of all authorities were providing ebooks. As figure 4.23 shows 44% of authorities which lend ebooks have no mention of ebooks in their policies.

Figure 4.23



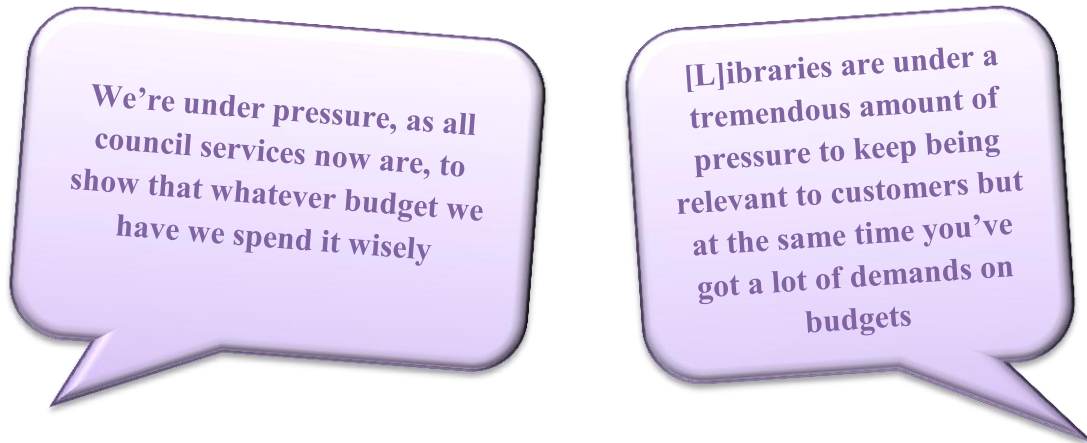
4.5.6 Publishing changes affect Libraries

The strong dependence that libraries have on the actions of publishers can also have effects on non-electronic resources. Approximately 50% of those interviewed explained that recent developments in publishing have affected their acquisitions process. One authority explained that short print runs meant that they were unable to get the materials they had ordered as there was a shorter supply than needed. This problem was present in a few other interviews and was present in different authority types including URBAN. The other 50% of interviewees claimed that shortened print runs hadn't affected them at all and one wondered if the other authorities were not ordering in advance. The issue of short print runs was not discovered in the literature review and it is believed that it is a symptom of the changes brought on by ebooks, as less spending is put towards print material.

4.5.7 Budget Pressures

Cost has been noted as an issue for electronic resources but increasingly tight budgets have become a major issue for public libraries. Getting "value for money" was given as one of the main problems of collection management by several authorities. The reduced budgets that have been affecting all libraries have meant that spending is being scrutinised even more

thoroughly and libraries have to be able to defend their purchasing decisions. This lead one authority to invest in an evidence based stock management system to help it demonstrate its usage statistics. One librarian explained that a recent change to Charitable Trust status may have reduced their expected budget cuts. Overall the issue of balancing investment in the future against restrictive budgets was a major collection management issue as these interview quotes show.



5. Conclusions and Recommendations

5.1 Implications of data

5.1.1 Names

This research has concentrated on the name given to CMPs. The literature review established that “Collection Development Policy” is the most utilised term in the academic literature. The survey showed that “Stock Management Policy” is the most widespread term. Both these terms convey different implications. “Collection Development Policy” implies that it is limited to collection development and not the wider management of the whole collection. “Stock Management Policy” creates the impression that the library contains products for consumers and only those that “sell” will be invested in. This implication is supported by the emphasis placed on use and popularity in the interviews. As one interviewee explained, they cancelled their electronic resource subscriptions as they were not well used. However, neither term encapsulates the breadth of activities required in collection management without emphasising one aspect.

Whilst libraries like all other public services have to be conscious of value for money, value does not necessarily equate to maximum usage. The philosophical shift in collection management was discussed in 2.1.1, i.e. the move from collecting everything to providing access. To view library materials as stock (or a similarly short reaching term) rather than a collection is perhaps the next step in this philosophical change - but it could be seen as putting the emphasis on librarians’ provision of stock rather than information. It seems more difficult for libraries to support balanced collections if demand is the key motivator for selection. Nonetheless, the research shows that “collection management” is a wider and more diverse field than “collection development” and as such libraries need policies that reflect all their collection management activities. For consistency and ease of understanding it is recommended that one term that embodies collection management be used, i.e. Collection Management Policy.

5.1.2 CMP as communication tool

The interviews and literature showed that users were the centre of collection management. The interviews also demonstrated that many libraries use their CMP as a method of communicating with their users. This type of communication was shown as a benefit in the literature review but many authorities are not taking advantage of this benefit. Only 53.6% of CMPs were posted online, many of which were not posted on library websites and were difficult to find. As users are the centre of collection management it follows that they be informed of the framework used to guide collection management which is embodied in the CMP. Libraries would benefit not only from posting their CMPs online but explaining more of their LIMITATIONS and BUDGET in these policies.

5.1.3 Electronic Resources

The data from the various research methods found that electronic resources have become a major issue in collection management. Although many libraries are embracing these new resources, particularly ebooks, they have not updated their policies to manage them. The survey showed that the components that relate predominantly to electronic resources - COPYRIGHT, LICENSE, STABILITY AND RELIABILITY and COMPATIBILITY - were very poorly represented in the policies. Several policies noted that they used the same criteria for selecting electronic resources as for traditional ones. The literature strongly suggests that separate criteria are needed for electronic resources, looking especially at their longevity and the relevant licensing agreements.

Despite “value for money” being important to collection management in public libraries it seems from the policies that libraries are investing in electronic resources without looking to the long term effects this investment might have. The literature and interviews showed that the purchasing models, lending models and technology for ebooks are still in flux. However, authorities are investing in lending services now that may not best serve their customers. This investment may stop authorities from taking advantage of future opportunities by being bound by contracts.

Whilst individual ebook titles may be best selected using traditional SELECTION GUIDELINES, perhaps libraries would be better served if they evaluated ebook providers, e.g. *Overdrive*, according to guidelines designed for electronic resources. The research shows that electronic resources are definitely present in libraries but implies that they are not being managed appropriately in CMPs. Best practice would be to include more components that relate predominantly to electronic resources in CMPs and ensure that existing sections like PROMOTION and EVALUATION also deal with these resources.

5.1.4 Protections

The literature review established that among the benefits of CMPs was their ability to aid in communication. One particular aspect of this communication was articulating the library’s PROTECTIONS – those components that the library could use to defend itself from accusations and external pressure. The interviews showed that the primary reason for consulting the CMP was to deal with a customer query or complaint. Although PROTECTIONS were represented in the literature in various guises, the relevant components were brought together into a policy section by the researcher. It is apparent from the interviews that this section is important to a CMP. In these fiscally conservative times libraries are often forced to defend their purchasing and selection choices. SELECTION GUIDELINES can be used to defend what is purchased but articulating a policy on censorship and detailing the limitations on selection that the library employs can also aid in this defence. Libraries often have LIMITATIONS that the staff may be aware of but it can be beneficial to communicate these to the public whether in relation to vanity publishing, format choice or other limitations. It is

suggested that the GIFTS component be moved to this section as its use in the policies reflects more protective than selective qualities.

5.1.5 Reactive nature of policies

The overall tone of the CMPs was one of reactivity. Many libraries would gauge customer interest through usage figures as would many of the interviewees but few would use tools like focus groups to predict areas of interest. This was also true with the components in PRESERVATION/MAINTENANCE. Whilst DISPOSAL was mentioned it was in the context of what procedure should be followed when an item was to be disposed of. It rarely articulated how a decision to dispose of an item would be reached. Similarly with PRESERVATION GUIDELINES, several policies outlined how to react to damage but almost none outlined ways to prevent it. The policy was used to articulate how the library would perform certain collection management processes but it rarely dealt with how to pre-empt an activity. If libraries are only operating reactively, it follows that this is articulated in the CMP. However, if they are being pro-active in certain areas of collection management this should be articulated in their CMPs.

5.1.6 Guidelines

The results of the research and the implications of the data have been brought together to create a set of guidelines that public libraries can use to create their CMPs. A policy template derived from these can be seen in Appendix 1.

The components and sections used to conduct this research are those which should apply to all public libraries. However, it is accepted that different libraries may articulate these differently. Many of the policies identified the staff responsible for different services in the relevant policy section rather than giving a listing of all staff duties near the beginning of the policy. This is acceptable, as the design of the sections herein was for the purpose of research and making it more feasible to identify components. It is acknowledged that in an actual CMP certain components may be separated or repeated to suit the particular services and management of individual authorities as can be seen in the policy template.

The researcher proposes the following guidelines:

- Libraries should have CMPs
- These policies should be reviewed and updated often and should include a review schedule
- To better serve the community and for greater transparency these policies should be posted online, in an easily accessible area of the library website
- Policies should have the 48 components determined to be key
- Selection guidelines related to electronic resources should be updated
- Libraries should state their PROTECTIONS clearly in the CMP, including LIMITATIONS

5.2 Summary of key findings

The findings will be summarised as answers to the research questions.

5.2.1 What are the main themes of modern collection management?

A combination of literature review and interviews determined that the main themes in modern collection management were:

- i. The centrality of the user is the corner stone of collection management. This is accomplished by serving user needs through user driven selection and providing access to as wide a variety of materials as possible. However, newer selection models like PDA are still rare.
- ii. Balancing electronic resources - whether reference or ebooks - with the rest of the collection is problematic. There are several difficulties with using these resources including format compatibility, cost and lack of choice. The changeability of these resources necessitates constant monitoring and flexibility in all areas of collection management.
- iii. Achieving value for money is a major concern in collection management. High expenditure is required to keep up to date with new technologies and to provide a high level of service. This is made particularly difficult due to the changes in the publishing world.

5.2.2 What are the key components of a CMP?

The literature review determined that there were 48 key components to a CMP. As all components were present to a greater or lesser extent in the 28 policies reviewed, it was concluded that all 48 components were key.

5.2.3 Do public libraries have CMPs?

The research demonstrated that 93.3% of those surveyed have CMPs. This is a much higher usage level than implied in the literature. Of these 53.6% were posted online.

5.2.4 Do these policies contain the determined key components of CMPs?

No policy contained all the key components. The level of components present ranged from 27.1% to 81.3%. The average percentage of components present across all authorities was 60.3%. Overall RURAL authorities had the fewest components and URBAN had the most. This may reflect the greater ease of communication between libraries and the community in URBAN areas or perhaps URBAN authorities benefit from higher funding due to their larger populations, though this was not investigated. It was also established that those components

that related to electronic resources were some of the least represented. POLICY REVIEW was the weakest section with INTRODUCTION being the strongest.

5.3 Reflections

5.3.1 Further Research

This research tested for the presence of CMPs in public libraries and what components were present therein. What it could not test was whether the policies were actually used. As the interviews showed, the level of use of the policies varied dramatically with one authority using the policy every day and others rarely consulting it. Observational research on how a policy is used in libraries would greatly enhance this research.

Further research into the target audience of collection policies is warranted. Although the literature suggests that policies can be used to communicate with the public, several of the policies were targeted at staff. The fact that only 15 policies were available online, and so to the public, lends credence to this. Research into whether the target audience of a policy is library staff, users or both could benefit the general understanding of CMPs. Further investigation into the different components of staff-centric as opposed to user-centric policies would be useful.

This research was exclusive to Scotland. For the purposes of comparison it could be very beneficial to investigate the use of CMPs in other countries, especially in the UK. Further research into differences in library management across authority types would also be very informative.

5.3.2 Research Questions

The research questions proved to be suitable to the task of investigating CMPs in Scotland.

5.3.3 Research Methods

Literature Review

The literature review proved successful in establishing the themes in collection management and CMPs. The information provided by the literature was helpful in creating the interview and FOI request questions. The key components for CMPs were derived from a range of sources though it may have been beneficial if more sources specific to public libraries had been found.

Survey

As the survey methods used allowed the research questions to be answered with detailed information it is concluded that they were an appropriate research instrument. Further research may need to isolate particular components or sections in the CMPs to gain more in-depth data.

The survey produced a lot of worthwhile data. The Freedom of Information requests yielded a very high response rate in general.

Interviews

The majority of the interviews were conducted via Skype, as this enabled recording and allowed more interviews to be conducted. However, it is acknowledged that this made it more difficult to form a rapport with the interviewees. The iterative analysis used with the interview data proved successful in establishing themes within the interviewees' answers.

Although the interview sample met the desired parameters of this research, this sample was dependant on serendipity. The method used to invite interview candidates, the FOI, was not the best tool for this. As FOI requests only entitle the requester to information that is documented or recorded, the authorities were within their rights to give no information on whether there was a suitable candidate for interviewing. That some authorities did acknowledge the request was fortunate and some went on to provide contact information for suitable candidates. For future research, establishing direct connections with different librarians would be beneficial. If a researcher were working in the public library field, they would presumably have developed contacts in the industry that could be exploited.

It would be beneficial if future research conducted into collection management was done with two or more interviews per authority. Preliminary interviews to gain practitioner viewpoints would have been beneficial before creating the survey. A second interview after the survey and first interview were analysed would enhance the research greatly.

5.3.4 Research Objectives and Learning Outcomes

At the conclusion of this research the majority of the research outcomes were achieved. The evaluation tool created by the researcher proved effective and may be useful in future research. A deeper understanding of collection management and CMPs was established as they pertain to public libraries. The key components in CMPs were also determined and as predicted many stemmed from themes in collection management.

The anticipated problems with Charitable Trusts did not occur so it could not be established if Charitable Trusts affect the usefulness of FOIs. Although the interviews were beneficial, they showed a great diversity on the use of collection policies, consequently more research into this area may be beneficial.

The survey method provided several learning outcomes. A deeper understanding of FOIs was gained as was beneficial experience with analysing survey data, statistics and using statistics software. The researcher's time management skills were improved as was the overall understanding of the research process - specifically the interconnectivity and interdependency of all stages.

Conducting the interviews provided experience with creating, administering and analysing interviews. The interviews also provided a deeper understanding of how to conduct qualitative research.

One unexpected learning outcome was an improvement in record management skills. The intake of information from all thirty two authorities needed to be sorted and organised, leading to the researcher developing skills in file management. By setting up separate e-mail folders for survey, FOI and interview information, the researcher learned to redirect the large amounts of information into manageable quantities. The research also benefitted from keeping detailed records of when communications were sent and received.

In summary this research developed a deeper understanding of CMPs and their use in public libraries which lead to the creation of a policy evaluation tool, a set of policy creation guidelines, a policy template and suggestions for future research.

Appendices

Appendix 1 - Collection Management Policy Template

1. Introduction

1.1 Purpose

The purpose of this policy is to outline the guidelines for how resources are selected, managed and maintained in [*insert name*] to library staff and the community.

This is done in line with the COSLA Standards for the Public Library Service in Scotland.

“Every authority should prepare and approve a collection policy... The provision of a comprehensive and well balanced stock, which is relevant to the needs of the community is essential for all library services” COSLA,1995.

1.2 Mission Statement and Goals

[*Insert library mission and goals*]

[*Some examples:*]

- To provide access to a broad, balanced range of resources
- To promote literacy and reading across the community
- To effectively manage library stock, staff and services

1.3 The Community

Our libraries serve all members of the community who live, work or study in [*insert name*]. We endeavour to support information, cultural and recreational needs of individuals, organisations and community groups.

[*Insert community profiles*]

1.4 Useful Information

[*Insert references/links to other policies e.g. Acceptable Use Policy or Local History Collection*]

For more information on how to access our resources and how copyright or age limits might affect public access please consult our *Acceptable Use Policy* available on the library website [insert address].

2 Library Policies

2.1 Censorship

[Insert policies on censorship and intellectual freedom]

The library service endeavours to provide a balanced and broad collection, as much as funds allow. We follow the Chartered Institute of Library and Information Professionals (CILIP) policy on Intellectual Freedom and Censorship, available at: [insert link]. In accordance with this we pledge that no publication on any moral, political, religious or racial grounds will be excluded. All legally available publications are considered if they meet the library services selection guidelines.

2.3 Limits on Access

[Insert any limitations on access, e.g disability, age, format]

All reasonable efforts are made to make resources available to all members of the community including those with disabilities. Large print and audiobooks are available free of charge to those who are partially sighted and blind.

The library service abides by Scottish law and as such DVDs will only be lent to those above the age of certification. Audiovisual materials are available for loan at a discounted rate to children and pensioners.

2.4 Donations

[Insert policy on donations. See example]

The library service greatly appreciates donations by individuals or organisations but reserves the right to refuse any donation. Donated materials will be evaluated in line with all other stock according to library services selection and maintenance guidelines.

3 Collection Background

[Insert information on the collection here. Include the range of resources, number and variety of branches, subject areas, categories e.g children's fiction and special collections. See examples below.]

3.1 Formats available

Library services collect and make available materials in a range of formats including: hardback and paperback books, electronic references, ebooks, downloadable audiobooks, CD audiobooks, CDs, DVDs, newspapers and online resources.

3.2 Stock Categories

Resources are developed for the following categories.

Adult Fiction	Popular fiction, Science Fiction, Crime, Romance, Westerns, Thrillers, Classics.
Adult Non-Fiction	A broad range of subjects are collected including health information, instructional texts, reference material etc.
Children's Fiction	A variety of materials appropriate for different ages and reading levels including popular fiction and picture books.
Children's Non-Fiction	A selection of educational and reference material suitable for use by children.
Local History Collection	Materials that relate to the authority's history, are set in the authority or have a strong connection to the authority.
Audiovisual Material	Music CDs, audiobooks, DVDs

3.3 Collection Levels

[Insert intended levels of collection. See example below]

As fiction comprises the majority of library, fiction materials will be the focus of collection development. All categories will be developed as much as funding permits. All branches will receive equal development with no branch having priority.

4 Selection

[Insert staff responsible for selection]

Selection is conducted to achieve the overarching goals of the library service.

4.1 Selection Tools

[Insert selection tools]

[Some examples]

Suppliers' websites, reviews, publishers' lists, bestseller lists, recommendations from staff, national initiative booklists, requests and suggestions, will all be used to inform selection.

The libraries' EBSM (Evidenced Based Stock Management) system will be used to generate usage statistics which will also influence selection.

Library services have joined into the Scotland Excel purchasing consortium to gain the best value for our community. This means most materials are purchased from a select list of suppliers. These suppliers will make selection for certain materials: large print and audiobooks.

Requests are encouraged and library services will consider purchasing all requested items below [insert value]. Requested materials will be evaluated by the general selection guidelines (4.3) and whether there will be a broader interest in the material.

4.2 Budget

[Insert brief budget breakdown]

[Example]

The libraries budget is subject to change and will be allocated on a yearly basis. 5% of the total budget will be assigned for customer requests and 10% for supplier selection.

4.3 Selection Guidelines

[Insert selection guidelines. Example contains most common guidelines]

The following selection guidelines are used for all materials regardless of format.

- Authority/reliability
- Cost
- Currency
- Physical Quality
- Potential Popularity
- Relevance
- Reputation of author/publisher/distributor
- Scottish/ Local Content

Materials will be purchased in English in the majority. However, a selection of materials reflecting Gaelic and the languages of local minorities will also be purchased.

Multiple copies will be purchased for materials that have or an anticipated to have a high level of use.

[Insert guidelines relevant to particular categories or formats]

[Example]

Electronic Resources

Electronic resources will be purchased in line with the general selection guidelines. However, the following guidelines will also be considered:

- Is it easy to use
- Does it have a stable future
- Is it reliable
- Is it compatible with the technology of the libraries and the community
- Does the supplier provide assistance/guidance
- Are the licensing terms very restrictive

5 Collection Evaluation

[Insert staff responsible for evaluation]

[Insert evaluation guidelines and schedule. The following example is based on the authority having an EBSM system]

5.1 Stock Evaluation

The EBSM system will be used to determine when stock is “grubby” and in need of evaluation.

5.2 Usage

The EBSM system will be used to regularly generate statistics on stock usage. There will be an annual assessment of all evaluation statistics.

5.3 Weeding

The EBSM system will be used to determine which stock is not being used. Those items that meet the withdrawal criteria will be withdrawn and considered for circulation, storage or disposal.

Withdrawal criteria

- Dirty or damaged item
- Fiction item that has not been used in over 1 year
- Non-Fiction item that has not been used in over 3 years

6 Maintenance

[Insert staff responsible for maintenance]

[Insert maintenance/preservation guidelines. See examples below.]

6.1 Maintenance Standards

All materials are handled with care and given suitable covers where applicable. All libraries are kept clean and neat to reduce the possibility of damage. The library's disaster plan should be consulted in case of an emergency or major damage.

6.2 Repairs

Library staff will perform minor repairs on all materials when it is deemed necessary. These will include replacing jacket/CD/DVD covers, using scotch tape to affix a page and replacing shelf mark labels.

More serious repairs like binding will be made available for materials when:

- The funds are available
- Repair is more efficient than replacement
- The item is unique, or has particular value
- There are not multiple copies of the item

6.3 Disposal

When materials are deemed unfit for use, whether by poor physical quality, lack of currency or lack of use, they will be sent for disposal. Efforts are made to re-use or re-distribute materials whenever possible and the following efforts are made to dispose of stock.

- Materials are first offered to the National Library of Scotland Scottish Book Exchange Scheme
- Materials will be donated to local charities, hospitals etc.
- Materials will be sold within the library.
- If no other option is viable materials will then be disposed of.

7 Promotion

[Insert staff responsible for promotion]

[Insert promotion guidelines, noting online and offline efforts. See examples below.]

7.1 Circulation

Circulation of resources allows the community the most access to the most materials. Library services will circulate materials through the various branches and mobile libraries in accordance with [*insert circulation criteria e.g. EBSM system or schedule*].

7.2 Promotion activities

The library service endeavours to promote our resources and services. New initiatives will be advertised in the library, on the library website and through social media.

All materials will be attractively displayed, with special attention paid to Children's materials. These materials will be displayed in a colourful easily accessible environment. All libraries will include appropriate reading areas.

8 Review

[*Insert review circumstances/schedule*]

The policy will be reviewed annually and any necessary updates made. Other circumstance may require an update such as adoption of new services, systems or formats or any other major changes to the library services.

Appendix 2 – Themes in Collection Management

	Clayton & Gorman, 2006	Fieldhouse, 2012	Johnson, 2009	Branin, Groen & Thorin, 2000	Cassery & Ciliberti, 1997	Gorman, 1997
Access	provision of access				access	
Acquisition	acquisitions	acquisition				
Budget		budgets	budget management	materials budget allocation	budget management	budgeting and resource allocation
Collection Development	collection development	serials management			collection planning collection building	collection administration systems development and new technology
Collection Policy			determination and co-ordination of selection policy	theory and practice of collection policy development		
Co-operation		co-operative collection development and consortia	planning for resource sharing	cooperative collection development		resource sharing and networking
Evaluation	evaluation	stock evaluation: retention and disposal	collection analysis collection use studies identification of collection needs	collection analysis collection use and user studies	evaluation collection analysis collection use	monitoring of collections performance measurement
Preservation/Maintenance	preservation maintenance	preservation disaster planning	preservation storage	preservation	collection maintenance	preservation, conservation and binding
Selection	selection	selection	selection	selection		selection choice of media and format
Staff Training and Responsibilities			organization and assignment of responsibilities community and user outreach and liaison	training and organisation of staff	communication skills	organization and staffing
User Assessment			assessment of the needs of users and potential users			
Weeding	weeding		weeding			relegation and withdrawal of stock

Appendix 3 – Unmapped components of CMP

Shaw, 2012	Clayton & Gorman, 2006	Anderson, 1996	Hoffman & Wood, 2005	Johnson, 2009	SUC, 2000
Introduction Purpose of Policy	Relationship to mission Purpose of policy	Introduction Purpose of policy Clientele and institution served	Purpose of statement Background statement Responsibility for collection development	Introduction mission statement policy's purpose	Acquisition Community profiles
Mission Statement	Clientele served	Mission Statement	Mission, goals and objectives	profile of user community	Stock Audit Underpinning selection principles
Clientele	Access	Library stance on Intellectual freedom, censorship and copyright	Target audiences	library priorities	Definitions of areas and or Genres
Content	background to collection	Collection overview	Budgeting and funding	limitations	Censorship
Special Collections	Budget	Organisation of collection management program	Evaluation criteria	description of library and collection scope	Methods of selection
Collection Depth	Selection Principles & practices	Budget	Format	history of collection	Funding
Evaluation	Special Collections	Co-operative collection development	Government publications	broad subject areas	Involvement of users in selection process
Co-operation	Limitations	Policy for equipment purchase for electronic equipment	Treatment of specific resource groups	collection locations	Suppliers
Intellectual Freedom	Co-operative relationships	General collection management and Detailed analysis of subject	Special collections	evaluation of current	Management of Collections
Review	Collection evaluation	Detailed analysis of special collections	Resources sharing	criteria guiding management co-operation and resource	Circulation of stock
	Weeding	Collection levels	Selection aids	describes CD organisation who is responsible for collection building	Stock exploitation/ display/promotions
	Review of Policy	Language Codes	Copyright	Overview of system-wide usually what types of special collections archives, reference and govt.	Care and Maintenance/Conservation lending services [procedures for damaged stock]
			Intellectual freedom	languages and translations popular and trade materials handling of superseded gifts	Reference/ Local history conservation policy
			Acquisitions	duplicate copies expensive purchases	Disposal
			Gifts and exchange	Library protections	Monitoring - continuous improvement [Evaluation]
			Collection maintenance	intellectual freedom access to materials reconsideration of library	[review lending stats]
			Weeding		
			Collection evaluation		
			Policy revision		
			Definition of terms and glossary		
			Bibliography		
			Appendixes		

Appendix 4 – Mapped components of CMP

Components of a Collection Management Policy						
Headings	Shaw, 2012	Clayton & Gorman, 2006	Anderson, 1996	Hoffman & Wood, 2005	Johnson 2009 [adjusted for mapping purposes]	SUC, 2000 [adjusted for mapping purposes]
Introduction	Introduction	Relationship to mission goals and objectives	Introduction relationship to policies and programs Mission Statement and goals Purpose of policy Description of clientele and institution served	Mission, goals and objectives Purpose of statement Target audiences	Introduction mission statement policy's purpose profile of user community library priorities evaluation of current collecting practices	Community profile [Acquisition]
Protections	Intellectual Freedom, censorship and complaints	Intellectual freedom [Selection Principles and practices]	Library stance on Intellectual freedom, censorship and copyright	Intellectual freedom Copyright	Library protections intellectual freedom limitations [introduction] reconsideration of library materials	Censorship [Acquisition]
Special Collections	Special Collections	Special Collections background special collections criteria storage access arrangements	Detailed analysis of special collections	Special collections	Special collections [Overview of system-wide policies /guidelines]	
Organisation of collection	acquisition storage management responsibilities for staff		Organisation of collection staffing and assigned responsibilities liaison with user groups	Services Responsibility for collection development	Describe Collection Development who is responsible for collection building lays out other roles	
Collection Analysis	Collection Depth	Background to collection	Brief overview of collection history of collection subject areas emphasized/de-emphasized collection locations Detailed analysis of subject collections Collection levels	Background statement	Description of library and history of collection broad subject areas collection locations evaluation of current collection [introduction] criteria guiding management [introduction]	Definitions of areas and or Genres [Acquisition]

Library
Background

Components of a Collection Management Policy						
Headings	Shaw, 2012	Clayton & Gorman, 2006	Anderson, 1996	Hoffman & Wood, 2005	Johnson 2009 [adjusted for SLIC, 2000	[adjusted for mapping Funding [Acquisition]
Budget		Budget	Budget structure and allocation	Budgeting and funding		
Co-operation	Co-operation	Co-operative relationships	Co-operative collection development agreements	Resources sharing	co-operation and resource sharing [Introduction]	
Selection Guidelines	Content	Selection Principles and practices	General collection management and development policies		Overview of system-wide policies/guidelines	Underpinning selection principles [Acquisition]
Stock selection and Acquisition	General criteria	traditional criteria: currency, price, level, authority, accuracy, uniqueness, relevance			criteria guiding selection [Introduction]	Content, relevance, accessibility, cost, Scottish content, local material, cultural diversity
	languages	language	languages and translations	Format	languages and translations	
	particular formats	types of media	type of publication			
	electronic resources	electronic resource criteria	gifts and exchanges multiple copies	Gifts and exchange	Gifts	
	gifts and donations	gift material	expensive purchases	Government publications	Duplicate copies	
Selection tools	multiple copies		local history, rare books, govt. publications		expensive purchases	
	expensive purchases		Fiction, children's materials, local authors, reserve/reference material	Treatment of specific resource groups	Archives, reference and govt. docs	
			popular v scholarly works interdisciplinary collections		popular and trade materials	
Access			Policies related to equipment/technical support	Acquisitions	what types of materials are/aren't selected handling of superseded materials	
			standing orders/approval plans	Selection aids		Methods of selection Suppliers Involvement of users in selection process
		Access	access and ownership policies		Access to materials [Library protections]	Access through catalogues [Management of Collection]
		inter-library loans electronic access payment remote access licensing agreements				

Components of a Collection Management Policy						
	Headings	Shaw, 2012	Clayton & Gorman, 2006	Anderson, 1996	Hoffman & Wood, 2005	Johnson 2009 [adjusted for mapping purposes]
Collection Management activities	Evaluation	Evaluation user - centred collection centred de-selecting/ disposal	Collection evaluation evaluation methods how often		Collection evaluation Evaluation criteria	SLIC, 2000 [adjusted for mapping purposes] Monitoring - continuous [Collection Evaluation] Stock Audit [Acquisition] [review lending stats] Disposal
	Weeding	weeding	Weeding who weeds criteria how regularly actions taken with removed material		Weeding	
	Preservation	preservation	Preservation Activity physical condition electronic data		Collection maintenance	Care and Maintenance/ lending services [procedures for damaged stock] Reference/ Local history Conservation policy
	Promotion					Management of Collections Stock exploitation/ display/promotions Circulation of stock
Other				Language codes	Definition of terms and glossary	
				Indexes	Bibliography	
					Appendices	
	Review	Review timeline	Review of Policy		Policy revision	

Appendix 5 – Mapped Selection Guidelines

Selection Guidelines						
Guidelines	Norman, 1997	Mangrum & Pozzebon, 2012	Shaw, 2012, quoting Canterbury Christchurch University	Clayton & Gorman, 2006	Johnson, 2009	SLIC, 2000
Accessibility	ease of use remote accessibility	access usability (interface)	web based access	ease of use (e- resources)	ease of use quality of user interface permission to access purchased content if subscription is cancelled	accessibility (Fiction) accessibility (Non-Fiction)
Anticipated use	potential/actual use	assessment	anticipated levels of relevance (potential)			potential popularity
Compatibility	network compatibility hardware compatibility software compatibility service implications points	access (interoperability)		hardware and software requirements (e- resources) relation to other resources (e-resources) user knowledge	compatibility with link resolvers, bibliographic and citation management software, and course management software physical and logistical requirements availability of required equipment support for information transfer local service implications access points e.g. indexes	
Cost	cost	Costs	Price availability of funding	Cost (e-resources) price	cost in relation to quality of item special pricing considerations	cost
Currency, quality, authority	currentness, authority, completeness scope of treatment quality faithfulness in reproduction of print original	Content (current and authoritative; scope/depth)	currency of content	currency currency, frequency of updates (e-resources) quality or value	currency currency of e-resources physical quality completeness of e- resources completeness and scope of treatment comprehensiveness and breadth frequency of updates /revisions veracity	content: quality, accuracy, currency
Expensive purchases			expensive purchases		expensive purchases	
Format		content (overlap with print)	particular formats	format (e-resources) types of media		
Gifts			donated material	gift material	gifts	
Language	language		language	language	language	

Selection Guidelines						
Guidelines	Norman, 1997	Mangrum & Pozzebon, 2012	Shaw, 2012, quoting Canterbury Christchurch University	Clayton & Gorman, 2006	Johnson, 2009	SLIC, 2000
License	license restrictions	licensing (user perspective) licensing (library management)			licensing and contractual terms, limitations and obligations	
Multiple copies			multiple copies		duplicate copies	
Relevance	subject matter relevance of material for curriculum relevance of material for research/grants relevance of material for reference	content (academic need)	relevance (immediate) appropriateness of the level of the material	content or coverage relevance level	content or subject reader or user level	relevance cultural contribution cultural diversity
Reputation		usability (vendor)		expertise of producers	reputation, credentials, or authoritativeness of author, publisher, editor, reviewer citations external resources that index the publication quality of scholarship frequency it is referenced	great works new authors
Scottish/local	geographic				geographic coverage	Scottish content local material authority connection
Stability and				stability and reliability	availability of backfiles publisher preservation arrangements vendor support and responsiveness ability to select/deselect titles	
Criteria mentioned elsewhere in plan		consortia responsible parties		intellectual freedom copyright considerations		
Other selection criteria	strength of retrieval engine uniqueness of content, capabilities of features			uniqueness	uniqueness of content, capabilities or features effective use of technology availability of data to measure use and effectiveness	

Appendix 6 – Final Components in CMP

Sections	Components	Definitions/Notes
Introduction		
	Mission Statement and goals	The library's mission statement and goals or the goals of the collection programme
	Purpose of policy	The purpose or intention of the policy, what issues it would address, who it was aimed at
	Clientele/community	The community the library serves; ideally with a list of demographics and groups with special needs e.g. children
	Other policies	Other policies relating to the CMP or library e.g. preservation policy, rare books policy
Protections		
	Intellectual freedom	Policy on intellectual freedom
	Censorship	What is and is not censored, why, reasons behind censoring decisions
	Copyright	Policy on copyright, how copyright might affect collection use/acquisition
Collection Analysis	Limitations	Any areas/ topics/ formats that the library chooses not to collect
	Collection background	Information on the collection, areas emphasis, history of collection
	Subject Areas	Subjects/ Categories collected e.g. Adult Fiction, Children's Fiction, Crime, Romance
	Special Collections	Any areas of special interest to the library e.g. local historical collection, works related to a famous local person
	Levels of collection	To what extent the library collects and intends to collect a subject, maybe conspectus scale
Access	Responsibilities for collection	Which members of staff are responsible for specific collection duties, who acquires, who evaluates
	Payment	Are there any materials that require payment, ideally reasoning behind decisions
	Limitations on access	Are there any limitations on accessing resources e.g. reference only material, remote access to e-resources
Before selection	Licensing	Details of any licensing agreements the library is involved in ideally how it affects users
	Budget	The structure of the budget, how funds are allocated, any areas of financial importance or difficulty
	Co-operation	Any agreements on co-operation between the library and other branches, external organisations
Selection Guidelines	Selection tools	What materials/ techniques are used to aid selection e.g. reviews, supplier selection, user requests
	Accessibility	Ease of use, usability, accessibility, perhaps how people with disabilities will be affected
	Anticipated use	The potential use or interest in a resource
	Compatibility	Hardware/ software compatibility for e-resources, technology needed for audiovisual, need for user training
	Cost	The costs involved, for the resource and any support technology required
	Currency, quality, authority	Is the material: accurate, up to date; complete; of appropriate depth; of appropriate physical quality
	Expensive purchases	Any resources outside of the normal budget
	Format	What formats are collected, why one format is chosen over another
	Gifts	How gifts and donations are handled
	Language	The languages that the library collects, any notes on translations
	License	Is the license agreement of the resource suitable for the library
	Multiple copies	Policy on multiple copies, whether the same or different formats
	Relevance	Is the resource relevant/appropriate for the library, the library's clientele or areas of collection
	Reputation	Does the resource/ author/ producer have a good reputation, Is it recommended
	Scottish/local content	What resources the library collects that relate to Scotland/ the local community
	Stability and reliability	Library policy on long term potential of resources, potential for preservation, future use
Evaluation		
	User-centred	How the collections use will be measured, plan to obtain usage statistics
	Collection centred	How the physical/ electronic collection will be evaluated for damage, currency, appropriateness
	Evaluation tools	What tools or techniques will be used for evaluation e.g. Library Management System
	Evaluation timeline	How often/ under what circumstance evaluations are planned
Maintenance / Preservation	Weeding	Policy on weeding or removing stock
	Disaster Plan	Any mention of disaster plan, activities undertaken in worst case scenario
	Repairs	Policy on repairs to all materials
	Preservation Guidelines	General guidelines for handling materials, room temperatures, criteria for digital preservation
Promotion	Disposal	Policy on disposal, ideally efforts to sell, redistribute materials before destruction
	Circulation	How materials will be circulated to wider community, achieve greater use
	Displays	How to exploit display stock for best use
	Promotion strategy	Plans / strategies to promote materials inside and outside library
Policy Review	User involvement	Any plans/ strategies to involve users in selection or promotion of resources
		The timeline and circumstances for policy review, more specific than regularly

Appendix 7 – Components Present

	Urban		Towns		Rural		Mixed		Average	
Components	Totals	%	Totals	%	Totals	%	Totals	%	Totals	%
Mission Statement and goals	6	100.0	6	85.7	4	80.0	10	100.0	26	92.9
Purpose of policy	5	83.3	5	71.4	3	60.0	7	70.0	20	71.4
Clientele/community	6	100.0	6	85.7	4	80.0	10	100.0	26	92.9
Other policies	5	83.3	4	57.1	2	40.0	4	40.0	15	53.6
Introduction	22	91.7	21	75.0	13	65.0	31	77.5	87	77.7
Intellectual freedom	5	83.3	5	71.4	4	80.0	9	90.0	23	82.1
Censorship	5	83.3	7	100.0	3	60.0	8	80.0	23	82.1
Copyright	1	16.7	1	14.3	0	0.0	0	0.0	2	7.1
Limitations	4	66.7	7	100.0	3	60.0	7	70.0	21	75.0
Protections	15	62.5	20	71.4	10	50.0	24	60.0	69	61.6
Collection background	3	50.0	5	71.4	3	60.0	5	50.0	16	57.1
Subject Areas	2	33.3	5	71.4	1	20.0	8	80.0	16	57.1
Special Collections	5	83.3	5	71.4	3	60.0	6	60.0	19	67.9
Levels of collection	2	33.3	6	85.7	1	20.0	3	30.0	12	42.9
Responsibilities for collection	5	83.3	4	57.1	5	100.0	5	50.0	19	67.9
Collection Analysis	17	56.7	25	71.4	13	52.0	27	54.0	82	58.6
Payment	2	33.3	3	42.9	1	20.0	6	60.0	12	42.9
Limitations on access	6	100.0	6	85.7	4	80.0	7	70.0	23	82.1
Licensing	3	50.0	1	14.3	0	0.0	4	40.0	8	28.6
Access	11	61.1	10	47.6	5	33.3	17	56.7	43	51.2
Budget	1	16.7	3	42.9	0	0.0	3	30.0	7	25.0
Co-operation	5	83.3	3	42.9	2	40.0	5	50.0	15	53.6
Selection tools	6	100.0	6	85.7	4	80.0	10	100.0	26	92.9
Before Selection	12	66.7	12	57.1	6	40.0	18	60.0	48	57.1
Accessibility	2	33.3	5	71.4	2	40.0	4	40.0	13	46.4
Anticipated use	6	100.0	6	85.7	3	60.0	10	100.0	25	89.3
Compatibility	2	33.3	1	14.3	0	0.0	2	20.0	5	17.9
Cost	6	100.0	6	85.7	2	40.0	9	90.0	23	82.1
Currency, quality, authority	6	100.0	7	100.0	3	60.0	10	100.0	26	92.9
Expensive purchases	2	33.3	2	28.6	1	20.0	3	30.0	8	28.6
Format	6	100.0	7	100.0	3	60.0	10	100.0	26	92.9
Gifts	4	66.7	3	42.9	3	60.0	7	70.0	17	60.7
Language	5	83.3	4	57.1	4	80.0	6	60.0	19	67.9
License	1	16.7	0	0.0	0	0.0	1	10.0	2	7.1
Multiple copies	3	50.0	4	57.1	3	60.0	6	60.0	16	57.1
Relevance	6	100.0	5	71.4	3	60.0	10	100.0	24	85.7
Reputation	6	100.0	6	85.7	3	60.0	10	100.0	25	89.3
Scottish/local content	6	100.0	7	100.0	5	100.0	9	90.0	27	96.4
Stability and reliability	2	33.3	0	0.0	0	0.0	1	10.0	3	10.7
Selection Guidelines	63	70.0	63	60.0	35	46.7	98	65.3	259	61.7
User-centred	4	66.7	6	85.7	1	20.0	7	70.0	18	64.3
Collection centred	4	66.7	6	85.7	0	0.0	6	60.0	16	57.1
Evaluation tools	5	83.3	5	71.4	0	0.0	6	60.0	16	57.1
Evaluation timeline	4	66.7	6	85.7	0	0.0	5	50.0	15	53.6
Weeding	6	100.0	7	100.0	4	80.0	9	90.0	26	92.9
Evaluation	23	76.7	30	85.7	5	20.0	33	66.0	91	65.0
Disaster Plan	2	33.3	1	14.3	1	20.0	0	0.0	4	14.3
Repairs	3	50.0	4	57.1	1	20.0	6	60.0	14	50.0
Preservation Guidelines	2	33.3	4	57.1	1	20.0	3	30.0	10	35.7
Disposal	6	100.0	5	71.4	3	60.0	7	70.0	21	75.0
Maintenance / Preservation	13	54.2	14	50.0	6	30.0	16	40.0	49	43.8
Circulation	5	83.3	5	71.4	2	40.0	7	70.0	19	67.9
Displays	6	100.0	5	71.4	1	20.0	5	50.0	17	60.7
Promotion strategy	6	100.0	5	71.4	0	0.0	5	50.0	16	57.1
User Involvement	6	100.0	7	100.0	4	80.0	7	70.0	24	85.7
Promotion	23	95.8	22	78.6	7	35.0	24	60.0	76	67.9
Policy Review	0	0.0	0	0.0	3	60.0	3	30.0	6	21.4
Total	187	64.9	205	61.0	97	40.4	273	56.9	810	60.3

Appendix 8 – Components present in Urban Authorities

Group Statistics for Urban Authorities								
Components	Urban							
	Totals	%	U1	U2	U3	U4	U5	U6
Mission Statement and goals	6	100.0	1	1	1	1	1	1
Purpose of policy	5	83.3	0	1	1	1	1	1
Clientele/community	6	100.0	1	1	1	1	1	1
Other policies	5	83.3	1	1	1	1	1	0
Introduction	22	91.7	3	4	4	4	4	3
Intellectual freedom	5	83.3	0	1	1	1	1	1
Censorship	5	83.3	0	1	1	1	1	1
Copyright	1	16.7	0	1	0	0	0	0
Limitations	4	66.7	1	1	0	1	0	1
Protections	15	62.5	1	4	2	3	2	3
Collection background	3	50.0	1	0	0	1	0	1
Subject Areas	2	33.3	0	0	0	1	0	1
Special Collections	5	83.3	1	0	1	1	1	1
Levels of collection	2	33.3	0	0	0	1	1	0
Responsibilities for collection	5	83.3	1	1	1	1	0	1
Collection Analysis	17	56.7	3	1	2	5	2	4
Payment	2	33.3	1	0	1	0	0	0
Limitations on access	6	100.0	1	1	1	1	1	1
Licensing	3	50.0	1	0	1	0	0	1
Access	11	61.1	3	1	3	1	1	2
Budget	1	16.7	1	0	0	0	0	0
Co-operation	5	83.3	1	1	1	1	1	0
Selection tools	6	100.0	1	1	1	1	1	1
Before selection	12	66.7	3	2	2	2	2	1
Accessibility	2	33.3	1	0	0	1	0	0
Anticipated use	6	100.0	1	1	1	1	1	1
Compatibility	2	33.3	1	0	0	1	0	0
Cost	6	100.0	1	1	1	1	1	1
Currency, quality, authority	6	100.0	1	1	1	1	1	1
Expensive purchases	2	33.3	0	0	0	0	1	1
Format	6	100.0	1	1	1	1	1	1
Gifts	4	66.7	1	0	1	1	1	0
Language	5	83.3	0	1	1	1	1	1
License	1	16.7	1	0	0	0	0	0
Multiple copies	3	50.0	1	1	0	1	0	0
Relevance	6	100.0	1	1	1	1	1	1
Reputation	6	100.0	1	1	1	1	1	1
Scottish/local content	6	100.0	1	1	1	1	1	1
Stability and reliability	2	33.3	0	0	0	1	0	1
Selection Guidelines	63	70.0	12	9	9	13	10	10
User-centred	4	66.7	1	0	0	1	1	1
Collection centred	4	66.7	1	1	1	0	0	1
Evaluation tools	5	83.3	1	1	0	1	1	1
Evaluation timeline	4	66.7	1	1	0	1	0	1
Weeding	6	100.0	1	1	1	1	1	1
Evaluation	23	76.7	5	4	2	4	3	5
Disaster Plan	2	33.3	1	1	0	0	0	0
Repairs	3	50.0	1	1	0	0	0	1
Preservation Guidelines	2	33.3	1	1	0	0	0	0
Disposal	6	100.0	1	1	1	1	1	1
Maintenance / Preservation	13	54.2	4	4	1	1	1	2
Circulation	5	83.3	1	0	1	1	1	1
Displays	6	100.0	1	1	1	1	1	1
Promotion strategy	6	100.0	1	1	1	1	1	1
User Involvement	6	100.0	1	1	1	1	1	1
Promotion	23	95.8	4	3	4	4	4	4
Policy Review	0	0.0	0	0	0	0	0	0
Total	187	64.9	35	30	27	35	27	33

Individual Statistics for Urban Authorities						
	Urban					
Components	U1	U2	U3	U4	U5	U6
Mission Statement and goals	1	1	1	1	1	1
Purpose of policy	0	1	1	1	1	1
Clientele/community	1	1	1	1	1	1
Other policies	1	1	1	1	1	0
Introduction	3	4	4	4	4	3
%	75	100	100	100	100	75
Intellectual freedom	0	1	1	1	1	1
Censorship	0	1	1	1	1	1
Copyright	0	1	0	0	0	0
Limitations	1	1	0	1	0	1
Protections	1	4	2	3	2	3
%	25	100	50	75	50	75
Collection background	1	0	0	1	0	1
Subject Areas	0	0	0	1	0	1
Special Collections	1	0	1	1	1	1
Levels of collection	0	0	0	1	1	0
Responsibilities for collection	1	1	1	1	0	1
Collection Analysis	3	1	2	5	2	4
%	60	20	40	100	40	80
Payment	1	0	1	0	0	0
Limitations on access	1	1	1	1	1	1
Licensing	1	0	1	0	0	1
Access	3	1	3	1	1	2
%	100.0	33.3	100.0	33.3	33.3	66.7
Budget	1	0	0	0	0	0
Co-operation	1	1	1	1	1	0
Selection tools	1	1	1	1	1	1
Before selection	3	2	2	2	2	1
%	100.0	66.7	66.7	66.7	66.7	33.3
Accessibility	1	0	0	1	0	0
Anticipated use	1	1	1	1	1	1
Compatibility	1	0	0	1	0	0
Cost	1	1	1	1	1	1
Currency, quality, authority	1	1	1	1	1	1
Expensive purchases	0	0	0	0	1	1
Format	1	1	1	1	1	1
Gifts	1	0	1	1	1	0
Language	0	1	1	1	1	1
License	1	0	0	0	0	0
Multiple copies	1	1	0	1	0	0
Relevance	1	1	1	1	1	1
Reputation	1	1	1	1	1	1
Scottish/local content	1	1	1	1	1	1
Stability and reliability	0	0	0	1	0	1
Selection Guidelines	12	9	9	13	10	10
%	80.0	60.0	60.0	86.7	66.7	66.7
User-centred	1	0	0	1	1	1
Collection centred	1	1	1	0	0	1
Evaluation tools	1	1	0	1	1	1
Evaluation timeline	1	1	0	1	0	1
Weeding	1	1	1	1	1	1
Evaluation	5	4	2	4	3	5
%	100	80	40	80	60	100
Disaster Plan	1	1	0	0	0	0
Repairs	1	1	0	0	0	1
Preservation Guidelines	1	1	0	0	0	0
Disposal	1	1	1	1	1	1
Maintenance / Preservation	4	4	1	1	1	2
%	100	100	25	25	25	50
Circulation	1	0	1	1	1	1
Displays	1	1	1	1	1	1
Promotion strategy	1	1	1	1	1	1
User Involvement	1	1	1	1	1	1
Promotion	4	3	4	4	4	4
%	100	75	100	100	100	100
Policy Review	0	0	0	0	0	0
%	0	0	0	0	0	0
Total no. of components	38	32	29	37	29	34
%	79.2	66.7	60.4	77.1	60.4	70.8

Appendix 9 – Components present in Towns Authorities

Group Statistics for Towns Authorities										
	Towns									
Components	Totals	%	T1	T2	T3	T4	T5	T6	T7	
Mission Statement and goals	6	85.7	1	1	1	1	0	1	1	1
Purpose of policy	5	71.4	0	1	1	1	1	1	1	0
Clientele/community	6	85.7	1	1	1	1	1	1	1	0
Other policies	4	57.1	1	1	1	1	0	0	0	0
Introduction	21	75.0	3	4	4	4	2	3	1	
Intellectual freedom	5	71.4	1	1	0	1	1	1	1	0
Censorship	7	100.0	1	1	1	1	1	1	1	1
Copyright	1	14.3	0	0	1	0	0	0	0	0
Limitations	7	100.0	1	1	1	1	1	1	1	1
Protections	20	71.4	3	3	3	3	3	3	2	
Collection background	5	71.4	0	1	1	0	1	1	1	1
Subject Areas	5	71.4	1	1	1	0	1	1	1	0
Special Collections	5	71.4	1	1	0	0	1	1	1	1
Levels of collection	6	85.7	1	1	1	1	1	1	1	0
Responsibilities for collection	4	57.1	1	1	1	0	0	1	1	0
Collection Analysis	25	71.4	4	5	4	1	4	5	2	
Payment	3	42.9	0	0	1	1	0	1	1	0
Limitations on access	6	85.7	1	1	1	0	1	1	1	1
Licensing	1	14.3	0	1	0	0	0	0	0	0
Access	10	47.6	1	2	2	1	1	2	1	
Budget	3	42.9	0	1	1	0	1	0	0	0
Co-operation	3	42.9	1	1	0	1	0	0	0	0
Selection tools	6	85.7	1	1	1	1	1	1	1	0
Before selection	12	57.1	2	3	2	2	2	1	0	
Accessibility	5	71.4	0	1	1	1	1	1	1	0
Anticipated use	6	85.7	1	1	1	1	1	1	1	0
Compatibility	1	14.3	0	0	0	0	1	0	0	0
Cost	6	85.7	1	1	1	1	1	0	1	1
Currency, quality, authority	7	100.0	1	1	1	1	1	1	1	1
Expensive purchases	2	28.6	0	1	0	0	0	1	0	0
Format	7	100.0	1	1	1	1	1	1	1	1
Gifts	3	42.9	0	0	0	1	1	1	1	0
Language	4	57.1	0	1	0	1	1	1	1	0
License	0	0.0	0	0	0	0	0	0	0	0
Multiple copies	4	57.1	1	1	1	0	1	0	0	0
Relevance	5	71.4	1	1	1	0	1	0	1	1
Reputation	6	85.7	1	1	1	1	1	1	1	0
Scottish/local content	7	100.0	1	1	1	1	1	1	1	1
Stability and reliability	0	0.0	0	0	0	0	0	0	0	0
Selection Guidelines	63	60.0	8	11	9	9	12	9	5	
User-centred	6	85.7	1	1	1	1	1	1	1	0
Collection centred	6	85.7	1	1	1	1	1	1	1	0
Evaluation tools	5	71.4	1	0	1	1	1	1	1	0
Evaluation timeline	6	85.7	1	1	1	1	1	1	1	0
Weeding	7	100.0	1	1	1	1	1	1	1	1
Evaluation	30	85.7	5	4	5	5	5	5	1	
Disaster Plan	1	14.3	1	0	0	0	0	0	0	0
Repairs	4	57.1	1	1	1	0	0	1	1	0
Preservation Guidelines	4	57.1	1	1	1	0	1	0	0	0
Disposal	5	71.4	1	1	1	1	0	0	1	1
Maintenance / Preservation	14	50.0	4	3	3	1	1	1	1	
Circulation	5	71.4	1	1	1	1	0	1	1	0
Displays	5	71.4	1	1	1	1	1	0	0	0
Promotion strategy	5	71.4	1	1	1	1	1	0	0	0
User Involvement	7	100.0	1	1	1	1	1	1	1	1
Promotion	22	78.6	4	4	4	4	3	2	1	
Policy Review	0	0.0	0	0	0	0	0	0	0	
Total	205	61.0	32	36	34	28	31	30	14	

Individual Statistics for Towns Authorities							
Components	Towns						
	T1	T2	T3	T4	T5	T6	T7
Mission Statement and goals	1	1	1	1	0	1	1
Purpose of policy	0	1	1	1	1	1	0
Clientele/community	1	1	1	1	1	1	0
Other policies	1	1	1	1	0	0	0
Introduction	3	4	4	4	2	3	1
%	75	100	100	100	50	75	25
Intellectual freedom	1	1	0	1	1	1	0
Censorship	1	1	1	1	1	1	1
Copyright	0	0	1	0	0	0	0
Limitations	1	1	1	1	1	1	1
Protections	3	3	3	3	3	3	2
%	75	75	75	75	75	75	50
Collection background	0	1	1	0	1	1	1
Subject Areas	1	1	1	0	1	1	0
Special Collections	1	1	0	0	1	1	1
Levels of collection	1	1	1	1	1	1	0
Responsibilities for collection	1	1	1	0	0	1	0
Collection Analysis	4	5	4	1	4	5	2
%	80	100	80	20	80	100	40
Payment	0	0	1	1	0	1	0
Limitations on access	1	1	1	0	1	1	1
Licensing	0	1	0	0	0	0	0
Access	1	2	2	1	1	2	1
%	33.3	66.7	66.7	33.3	33.3	66.7	33.3
Budget	0	1	1	0	1	0	0
Co-operation	1	1	0	1	0	0	0
Selection tools	1	1	1	1	1	1	0
Before selection	2	3	2	2	2	1	0
%	66.7	100	66.7	66.7	66.7	33.3	0.0
Accessibility	0	1	1	1	1	1	0
Anticipated use	1	1	1	1	1	1	0
Compatibility	0	0	0	0	1	0	0
Cost	1	1	1	1	1	0	1
Currency, quality, authority	1	1	1	1	1	1	1
Expensive purchases	0	1	0	0	0	1	0
Format	1	1	1	1	1	1	1
Gifts	0	0	0	1	1	1	0
Language	0	1	0	1	1	1	0
License	0	0	0	0	0	0	0
Multiple copies	1	1	1	0	1	0	0
Relevance	1	1	1	0	1	0	1
Reputation	1	1	1	1	1	1	0
Scottish/local content	1	1	1	1	1	1	1
Stability and reliability	0	0	0	0	0	0	0
Selection Guidelines	8	11	9	9	12	9	5
%	53.3	73.3	60.0	60.0	80.0	60.0	33.3
User-centred	1	1	1	1	1	1	0
Collection centred	1	1	1	1	1	1	0
Evaluation tools	1	0	1	1	1	1	0
Evaluation timeline	1	1	1	1	1	1	0
Weeding	1	1	1	1	1	1	1
Evaluation	5	4	5	5	5	5	1
%	100	80	100	100	100	100	20
Disaster Plan	1	0	0	0	0	0	0
Repairs	1	1	1	0	0	1	0
Preservation Guidelines	1	1	1	0	1	0	0
Disposal	1	1	1	1	0	0	1
Maintenance / Preservation	4	3	3	1	1	1	1
%	100	75	75	25	25	25	25
Circulation	1	1	1	1	0	1	0
Displays	1	1	1	1	1	0	0
Promotion strategy	1	1	1	1	1	0	0
User Involvement	1	1	1	1	1	1	1
Promotion	4	4	4	4	3	2	1
%	100	100	100	100	75	50	25
Policy Review	0	0	0	0	0	0	0
%	0	0	0	0	0	0	0
Total no. of components	34	39	36	30	33	31	14
%	70.8	81.3	75.0	62.5	68.8	64.6	29.2

Appendix 10 – Components present in Rural Authorities

Group Statistics for Rural Authorities							
Components	Rural						
	Totals	%	R1	R2	R3	R4	R5
Mission Statement and goals	4	80.0	1	1	1	1	0
Purpose of policy	3	60.0	0	0	1	1	1
Clientele/community	4	80.0	1	1	1	1	0
Other policies	2	40.0	0	0	1	1	0
Introduction	13	65.0	2	2	4	4	1
Intellectual freedom	4	80.0	1	1	1	1	0
Censorship	3	60.0	1	0	1	1	0
Copyright	0	0.0	0	0	0	0	0
Limitations	3	60.0	1	0	1	1	0
Protections	10	50.0	3	1	3	3	0
Collection background	3	60.0	0	1	1	0	1
Subject Areas	1	20.0	0	0	0	1	0
Special Collections	3	60.0	0	1	0	1	1
Levels of collection	1	20.0	0	1	0	0	0
Responsibilities for collection	5	100.0	1	1	1	1	1
Collection Analysis	13	52.0	1	4	2	3	3
Payment	1	20.0	1	0	0	0	0
Limitations on access	4	80.0	1	0	1	1	1
Licensing	0	0.0	0	0	0	0	0
Access	5	33.3	2	0	1	1	1
Budget	0	0.0	0	0	0	0	0
Co-operation	2	40.0	0	0	1	0	1
Selection tools	4	80.0	0	1	1	1	1
Before selection	6	40.0	0	1	2	1	2
Accessibility	2	40.0	0	0	1	1	0
Anticipated use	3	60.0	1	0	1	1	0
Compatibility	0	0.0	0	0	0	0	0
Cost	2	40.0	0	0	1	1	0
Currency, quality, authority	3	60.0	1	0	1	1	0
Expensive purchases	1	20.0	0	0	0	0	1
Format	3	60.0	1	0	1	1	0
Gifts	3	60.0	1	0	1	1	0
Language	4	80.0	1	1	0	1	1
License	0	0.0	0	0	0	0	0
Multiple copies	3	60.0	1	0	0	1	1
Relevance	3	60.0	1	0	1	1	0
Reputation	3	60.0	1	0	1	1	0
Scottish/local content	5	100.0	1	1	1	1	1
Stability and reliability	0	0.0	0	0	0	0	0
Selection Guidelines	35	46.7	9	2	9	11	4
User-centred	1	20.0	0	0	0	0	1
Collection centred	0	0.0	0	0	0	0	0
Evaluation tools	0	0.0	0	0	0	0	0
Evaluation timeline	0	0.0	0	0	0	0	0
Weeding	4	80.0	1	1	1	1	0
Evaluation	5	20.0	1	1	1	1	1
Disaster Plan	1	20.0	0	0	0	1	0
Repairs	1	20.0	1	0	0	0	0
Preservation Guidelines	1	20.0	0	0	0	0	1
Disposal	3	60.0	1	1	0	1	0
Maintenance / Preservation	6	30.0	2	1	0	2	1
Circulation	2	40.0	1	1	0	0	0
Displays	1	20.0	0	1	0	0	0
Promotion strategy	0	0.0	0	0	0	0	0
User Involvement	4	80.0	1	1	1	1	0
Promotion	7	35.0	2	3	1	1	0
Policy Review	3	60.0	0	1	1	1	0
Total	97	40.4	22	15	22	27	11

Individual Statistics for Rural Authorities					
	Rural				
Components	R1	R2	R3	R4	R5
Mission Statement and goals	1	1	1	1	0
Purpose of policy	0	0	1	1	1
Clientele/community	1	1	1	1	0
Other policies	0	0	1	1	0
Introduction	2	2	4	4	1
%	50	50	100	100	25
Intellectual freedom	1	1	1	1	0
Censorship	1	0	1	1	0
Copyright	0	0	0	0	0
Limitations	1	0	1	1	0
Protections	3	1	3	3	0
%	75	25	75	75	0
Collection background	0	1	1	0	1
Subject Areas	0	0	0	1	0
Special Collections	0	1	0	1	1
Levels of collection	0	1	0	0	0
Responsibilities for collection	1	1	1	1	1
Collection Analysis	1	4	2	3	3
%	20	80	40	60	60
Payment	1	0	0	0	0
Limitations on access	1	0	1	1	1
Licensing	0	0	0	0	0
Access	2	0	1	1	1
%	66.7	0.0	33.3	33.3	33.3
Budget	0	0	0	0	0
Co-operation	0	0	1	0	1
Selection tools	0	1	1	1	1
Before selection	0	1	2	1	2
%	0.0	33.3	66.7	33.3	66.7
Accessibility	0	0	1	1	0
Anticipated use	1	0	1	1	0
Compatibility	0	0	0	0	0
Cost	0	0	1	1	0
Currency, quality, authority	1	0	1	1	0
Expensive purchases	0	0	0	0	1
Format	1	0	1	1	0
Gifts	1	0	1	1	0
Language	1	1	0	1	1
License	0	0	0	0	0
Multiple copies	1	0	0	1	1
Relevance	1	0	1	1	0
Reputation	1	0	1	1	0
Scottish/local content	1	1	1	1	1
Stability and reliability	0	0	0	0	0
Selection Guidelines	9	2	9	11	4
%	60.0	13.3	60.0	73.3	26.7
User-centred	0	0	0	0	1
Collection centred	0	0	0	0	0
Evaluation tools	0	0	0	0	0
Evaluation timeline	0	0	0	0	0
Weeding	1	1	1	1	0
Evaluation	1	1	1	1	1
%	20	20	20	20	20
Disaster Plan	0	0	0	1	0
Repairs	1	0	0	0	0
Preservation Guidelines	0	0	0	0	1
Disposal	1	1	0	1	0
Maintenance / Preservation	2	1	0	2	1
%	50	25	0	50	25
Circulation	1	1	0	0	0
Displays	0	1	0	0	0
Promotion strategy	0	0	0	0	0
User Involvement	1	1	1	1	0
Promotion	2	3	1	1	0
%	50	75	25	25	0
Policy Review	0	1	1	1	0
%	0	100	100	100	0
Total no. of Components	22	16	24	28	13
%	45.8	33.3	50.0	58.3	27.1

Appendix 11 – Components present in Mixed Authorities

Components	Mixed											
	Totals	%	M1	M2	M3	M4	M5	M6	M7	M8	M9	M10
Mission Statement and goals	10	100.0	1	1	1	1	1	1	1	1	1	1
Purpose of policy	7	70.0	1	1	1	0	0	1	1	1	0	1
Clientele/community	10	100.0	1	1	1	1	1	1	1	1	1	1
Other policies	4	40.0	0	1	0	0	0	1	1	1	0	0
Introduction	31	77.5	3	4	3	2	2	4	4	4	2	3
Intellectual freedom	9	90.0	0	1	1	1	1	1	1	1	1	1
Censorship	8	80.0	0	1	1	0	1	1	1	1	1	1
Copyright	0	0.0	0	0	0	0	0	0	0	0	0	0
Limitations	7	70.0	1	1	1	1	0	1	0	1	1	0
Protections	24	60.0	1	3	3	2	2	3	2	3	3	2
Collection background	5	50.0	1	0	0	1	0	1	0	1	0	1
Subject Areas	8	80.0	1	1	1	1	0	1	1	1	0	1
Special Collections	6	60.0	1	1	1	0	0	1	1	1	0	0
Levels of collection	3	30.0	0	0	1	1	0	1	0	0	0	0
Responsibilities for collection	5	50.0	0	1	0	1	1	1	0	0	0	1
Collection Analysis	27	54.0	3	3	3	4	1	5	2	3	0	3
Payment	6	60.0	1	1	1	0	0	1	0	1	0	1
Limitations on access	7	70.0	1	1	1	1	0	1	1	1	0	0
Licensing	4	40.0	0	0	0	1	0	1	1	1	0	0
Access	17	56.7	2	2	2	2	0	3	2	3	0	1
Budget	3	30.0	0	0	1	1	0	0	0	1	0	0
Co-operation	5	50.0	0	1	1	0	0	1	1	1	0	0
Selection tools	10	100.0	1	1	1	1	1	1	1	1	1	1
Before selection	18	60.0	1	2	3	2	1	2	2	3	1	1
Accessibility	4	40.0	0	1	1	0	0	0	0	1	0	1
Anticipated use	10	100.0	1	1	1	1	1	1	1	1	1	1
Compatibility	2	20.0	0	0	1	0	0	0	0	1	0	0
Cost	9	90.0	0	1	1	1	1	1	1	1	1	1
Currency, quality, authority	10	100.0	1	1	1	1	1	1	1	1	1	1
Expensive purchases	3	30.0	0	0	1	1	1	0	0	0	0	0
Format	10	100.0	1	1	1	1	1	1	1	1	1	1
Gifts	7	70.0	1	1	1	0	0	1	1	0	1	1
Language	6	60.0	0	1	1	0	1	1	1	1	0	0
License	1	10.0	0	0	0	0	0	1	0	0	0	0
Multiple copies	6	60.0	0	0	1	1	1	1	0	1	0	1
Relevance	10	100.0	1	1	1	1	1	1	1	1	1	1
Reputation	10	100.0	1	1	1	1	1	1	1	1	1	1
Scottish/local content	9	90.0	1	1	1	1	1	1	1	1	0	1
Stability and reliability	1	10.0	0	0	1	0	0	0	0	0	0	0
Selection Guidelines	98	65.3	7	10	14	9	10	11	9	11	7	10
User-centred	7	70.0	0	1	1	1	0	1	1	1	0	1
Collection centred	6	60.0	0	1	1	0	0	1	1	1	0	1
Evaluation tools	6	60.0	0	1	0	1	0	1	1	1	0	1
Evaluation timeline	5	50.0	0	1	1	0	0	1	1	0	0	1
Weeding	9	90.0	0	1	1	1	1	1	1	1	1	1
Evaluation	33	66.0	0	5	4	3	1	5	5	4	1	5
Disaster Plan	0	0.0	0	0	0	0	0	0	0	0	0	0
Repairs	6	60.0	0	1	1	1	1	0	0	1	0	1
Preservation Guidelines	3	30.0	0	1	1	0	0	0	0	1	0	0
Disposal	7	70.0	0	1	1	0	0	1	1	1	1	1
Maintenance / Preservation	16	40.0	0	3	3	1	1	1	1	3	1	2
Circulation	7	70.0	0	1	1	1	0	1	1	1	0	1
Displays	5	50.0	0	1	1	0	0	1	0	1	0	1
Promotion strategy	5	50.0	0	1	1	0	0	0	1	1	0	1
User Involvement	7	70.0	0	1	1	0	1	1	1	1	0	1
Promotion	24	60.0	0	4	4	1	1	3	3	4	0	4
Policy Review	3	30.0	0	0	0	0	0	1	1	1	0	0
Total	273	56.9	16	34	36	24	18	36	29	36	14	30

Individual Statistics for Mixed Authorities										
	Mixed									
Components	M1	M2	M3	M4	M5	M6	M7	M8	M9	M10
Mission Statement and goals	1	1	1	1	1	1	1	1	1	1
Purpose of policy	1	1	1	0	0	1	1	1	0	1
Clientele/community	1	1	1	1	1	1	1	1	1	1
Other policies	0	1	0	0	0	1	1	1	0	0
Introduction	3	4	3	2	2	4	4	4	2	3
%	75	100	75	50	50	100	100	100	50	75
Intellectual freedom	0	1	1	1	1	1	1	1	1	1
Censorship	0	1	1	0	1	1	1	1	1	1
Copyright	0	0	0	0	0	0	0	0	0	0
Limitations	1	1	1	1	0	1	0	1	1	0
Protections	1	3	3	2	2	3	2	3	3	2
%	25	75	75	50	50	75	50	75	75	50
Collection background	1	0	0	1	0	1	0	1	0	1
Subject Areas	1	1	1	1	0	1	1	1	0	1
Special Collections	1	1	1	0	0	1	1	1	0	0
Levels of collection	0	0	1	1	0	1	0	0	0	0
Responsibilities for collection	0	1	0	1	1	1	0	0	0	1
Collection Analysis	3	3	3	4	1	5	2	3	0	3
%	60	60	60	80	20	100	40	60	0	60
Payment	1	1	1	0	0	1	0	1	0	1
Limitations on access	1	1	1	1	0	1	1	1	0	0
Licensing	0	0	0	1	0	1	1	1	0	0
Access	2	2	2	2	0	3	2	3	0	1
%	66.7	66.7	66.7	66.7	0.0	100.0	66.7	100.0	0.0	33.3
Budget	0	0	1	1	0	0	0	1	0	0
Co-operation	0	1	1	0	0	1	1	1	0	0
Selection tools	1	1	1	1	1	1	1	1	1	1
Before selection	1	2	3	2	1	2	2	3	1	1
%	33.3	66.7	100.0	66.7	33.3	66.7	66.7	100.0	33.3	33.3
Accessibility	0	1	1	0	0	0	0	1	0	1
Anticipated use	1	1	1	1	1	1	1	1	1	1
Compatibility	0	0	1	0	0	0	0	1	0	0
Cost	0	1	1	1	1	1	1	1	1	1
Currency, quality, authority	1	1	1	1	1	1	1	1	1	1
Expensive purchases	0	0	1	1	1	0	0	0	0	0
Format	1	1	1	1	1	1	1	1	1	1
Gifts	1	1	1	0	0	1	1	0	1	1
Language	0	1	1	0	1	1	1	1	0	0
License	0	0	0	0	0	1	0	0	0	0
Multiple copies	0	0	1	1	1	1	0	1	0	1
Relevance	1	1	1	1	1	1	1	1	1	1
Reputation	1	1	1	1	1	1	1	1	1	1
Scottish/local content	1	1	1	1	1	1	1	1	0	1
Stability and reliability	0	0	1	0	0	0	0	0	0	0
Selection Guidelines	7	10	14	9	10	11	9	11	7	10
%	46.7	66.7	93.3	60.0	66.7	73.3	60.0	73.3	46.7	66.7
User-centred	0	1	1	1	0	1	1	1	0	1
Collection centred	0	1	1	0	0	1	1	1	0	1
Evaluation tools	0	1	0	1	0	1	1	1	0	1
Evaluation timeline	0	1	1	0	0	1	1	0	0	1
Weeding	0	1	1	1	1	1	1	1	1	1
Evaluation	0	5	4	3	1	5	5	4	1	5
%	0	100	80	60	20	100	100	80	20	100
Disaster Plan	0	0	0	0	0	0	0	0	0	0
Repairs	0	1	1	1	1	0	0	1	0	1
Preservation Guidelines	0	1	1	0	0	0	0	1	0	0
Disposal	0	1	1	0	0	1	1	1	1	1
Maintenance / Preservation	0	3	3	1	1	1	1	3	1	2
%	0	75	75	25	25	25	25	75	25	50
Circulation	0	1	1	1	0	1	1	1	0	1
Displays	0	1	1	0	0	1	0	1	0	1
Promotion strategy	0	1	1	0	0	0	1	1	0	1
User Involvement	0	1	1	0	1	1	1	1	0	1
Promotion	0	4	4	1	1	3	3	4	0	4
%	0	100	100	25	25	75	75	100	0	100
Policy Review	0	0	0	0	0	1	1	1	0	0
%	0	0	0	0	0	100	100	100	0	0
Total no. of Components	17	36	39	26	19	38	31	39	15	31
%	35.4	75.0	81.3	54.2	39.6	79.2	64.6	81.3	31.3	64.6

Appendix 12 – FOI request

Dear FOI Officer

I am a library and information studies student trying to complete my thesis. I am studying collection management also known as stock management, which encompasses selection, acquisition, weeding and evaluation, and I would like to request the following information relating to stock management of public libraries in your local authority:

- How often you update/review your stock management policy
- Under what circumstances you update/review your stock management policy
- Do you use supplier selection for any of your materials
- If so what formats/types of materials e.g. books, e-books etc. do you use them for
- How much is spent on supplier selection and what percentage is this of total spend
- Do you use Patron-driven-acquisition (PDA)
- If so what formats/types of materials e.g. books, e-books etc. do you use it for
- How much is spent on patron-driven acquisition and what percentage is this of total spend

I have found your stock management policy online but if there is a newer edition available I would also like a copy of that.

I would also like to interview a member of staff involved in the creation of the stock management policy or who works in collection management, if that is not possible. I am willing to provide a summary of my findings if they are willing to participate in an interview. Could you please indicate if an individual who meets these criteria is willing to participate?

I would prefer to receive these in electronic format at this email address, [XXXX]@strath.ac.uk, however, I am happy to receive them by post if that is more convenient.

It would be helpful if you were to provide any brief notes which might be necessary to understand the context of the information provided, although I recognise that you are not obliged to do this. If for any reason you feel this request is unclear, please do not hesitate to contact me by phone on [XXX XXXXXX] or by email. If you are not the appropriate authority for this request, or for part of it, please let me know as soon as is convenient.

If the information requested contains sections of confidential information, please blank out or remove these sections, and mark clearly that they have been removed.

Appendix 13 – Interview Questions

1. What does the term collection management mean for you?
2. What activities happen in your library to manage the collection?
3. Under what circumstances do you consult the collection/stock policy?
4. What is your opinion of your library's collection/stock policy?
5. To what extent do you think that a collection/ stock management policy is a useful tool?
6. What do you think are the most important issues in collection management at the moment?
7. What do you do to stay up to date on collection management issues?
8. What criteria do you consider before making a purchase?
9. Are these different for electronic resources?
10. What types of electronic resources do you have in your library?
11. What do you think are the main problems/issues with electronic resources?
12. To what extent do you think the user/reader is important to collection management?
13. How do you involve users in the stock selection? E.g. PDA, focus groups, requests

Appendix 14 – Charitable Trust Statistical Tests

Group Statistics

	Trust/Non-Trust	N	Mean	Std. Deviation	Std. Error Mean
Total percentage of components	Trust	5	64.5833	19.70926	8.81425
	Non-Trust	23	59.3297	17.21253	3.58906

N = Total number of cases, i.e. there were 5 policies are from Trusts and 23 from Non-Trusts.

		Levene's Test for Equality of Variances	
		F	Sig.
Total percentage of components	Equal variances assumed	.000	.997

F= A measure for the probability that the variables have the same variance.

Sig.= A measure of the significance of the variation.

In Levene's Test for Equality of Variances the test assumes that there is no difference in variance between the variables: Trust and Non-Trust.

As Sig = 0.997 and this is significantly greater than 0.05 then it is assumed that the variances are the same between online and offline thus any differences in the number of components present in Trust and Non-Trust policies is due to chance.

		t-test for Equality of Means						
		t	df	Sig. (2-tailed)	Mean Difference	Std. Error Difference	95% Confidence Interval of the Difference	
							Lower	Upper
Total percentage of components	Equal variances assumed	.604	26	.551	5.25362	8.69417	-12.61750	23.12475

t= t statistic for each sample, calculated as the ratio of the difference between sample means divided by the standard error of the difference

df= Degrees of freedom , this equals the total number of cases in both samples minus 2.

Sig. = probability that the values depend on randomness.

This T-test comprises 2 tests. It tests if equal variance between online and offline is assumed and if it is not assumed.

As Sig = 0.551 and is greater than 0.05 then it is assumed that the differences between the number of components present in online and offline policies is due to chance.

Appendix 15 – Online policy Statistical Tests

Group Statistics

	On or Off line	N	Mean	Std. Deviation	Std. Error Mean
Total percentage of components	Online	15	64.5833	14.98180	3.86828
	offline	13	55.2885	19.23778	5.33560

N = Total number of cases, i.e. there were 15 policies found online and 13 policies offline.

		Levene's Test for Equality of Variances	
		F	Sig.
Total percentage of components	Equal variances assumed	2.748	.109

F= A measure for the probability that the variables have the same variance.

Sig.= A measure of the significance of the variation.

In Levene's Test for Equality of Variances the test assumes that there is no difference in variance between the variables: online and offline.

As Sig = 0.109 and this is greater than 0.05 then it is assumed that the variances are the same between online and offline thus any differences in the number of components present in online and offline policies is due to chance.

		t-test for Equality of Means						
		t	df	Sig. (2-tailed)	Mean Difference	Std. Error Difference	95% Confidence Interval of the Difference	
							Lower	Upper
Total percentage of components	Equal variances assumed	1.436	26	.163	9.29487	6.47156	-4.00761	22.59735

t= t statistic for each sample, calculated as the ratio of the difference between sample means divided by the standard error of the difference

df= Degrees of freedom , this equals the total number of cases in both samples minus 2.

Sig. = probability that the values depend on randomness.

This T-test comprises 2 tests. It tests if equal variance between online and offline is assumed and if it is not assumed.

As Sig = 0.163 and is greater than 0.05 then it is assumed that the differences between the number of components present in online and offline policies is due to chance.

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