

# Stock Withdrawal and Retention Guidelines for the SWIMS Network

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# SWIMS Network Policies and Procedures

**Title:** Stock Withdrawal and Retention Guidelines for the SWIMS Network

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**Purpose:** To facilitate the provision of up to date library stock and a tidy, current and user-friendly library SWIMS catalogue, through a common set of standards being applied to the retention and withdrawal of books, reports and electronic media by all network locations using the SWIMS library management system

Dec 2008	Ver 1.0	Date of previous current document
17.10.12	Ver 7.0	Final updates following ratification by SWIMS Board
30.10.12	Ver 8.0	Corrections and contents following consultation
7.12.12	Ver 8.1	Update to Use of Shelf Field section following OLIB 8.2 upgrade
4.4.14	Ver 8.2	Update following OLIB 9 upgrade and testing of the Collection field
21.10.14	Ver 8.3a	Updated screenshots and small changes following OLIB upgrade and training
23.4.15	Ver 8.4	Additional reference to e-book regional and core collections
1.9.15	Ver 8.5	Removal of reference to copy category of Historical
Aug 16	Ver 8.6	Removal of references to WorldView and other tidying and small updates

## Introduction:

One of the aims of Knowledge for Healthcare is ‘*The right knowledge and evidence is used at the right time, in the right place*’ and one of the primary drivers to achieve this aim is ‘*Proactive, customer-focused knowledge services are provided and used.*’ Health libraries within the NHS need to provide timely and current information to aid evidence based practice, clinical / managerial decision making and research, and to support staff and students in their academic studies. The emphasis is on currency and timeliness of information.

The SWIMS Network catalogue is the face of our combined NHS library service, providing the access point for end users to discover what is available, and it therefore needs to retrieve appropriate items quickly and to present the information clearly. The SWIMS Network cataloguing rules are in place to ensure that records are entered consistently, resulting in tidy and clear displays - particularly within OLIB WebView (<http://www.swims.nhs.uk>). An uncluttered display on the interactive OLIB Web interface is also essential to ensure an efficient staff service.

While inconsistent records, multiple old editions, out of date and missing items frustrate timely retrieval of the new and useful material on the catalogue, elderly items also actively deter retrieval through browsing the shelves, take up valuable shelving space - plus of course, their content may be a danger to practitioners.

A report is produced periodically to inform library managers of the percentage of stock on the catalogue at each location over 10 years old (excluding withdrawn and marked for retention), and copies marked Withdrawn or Missing which have been untouched for over 18 months. This information is shared as a spur to ensure stock held is current and appropriate. Alongside the guidelines there are therefore hints and tips to aid the process of weeding stock and tidying the catalogue.

## 1. Guidance

Whilst it is recognised that local circumstances need to be considered, in light of the above the following are recommended as appropriate guidance for reviewing stock - including locally purchased electronic resources:

[Currency of national / regional e-book collections are monitored regionally]

### 1.1 Stock check

- ❖ a full stock check should be undertaken every 3 years.

There is a stock checking module available within OLIB, or an efficient method is available using a macro-enabled Excel spreadsheet – instructions for both methods are at <http://www.swimsnetwork.nhs.uk/modules/cataloguing/collection-management/>

### 1.2 Missing and withdrawn items

- ❖ Missing items should be reviewed quarterly, and must be removed after 18 months (max)

To create a list of 'Missing' books at your location:

- Launch a Copy barcode search with % in the search box
- Refine/Select on own location and Copy Status > *Missing*
- Refine/Select on *Date Last Modified* if wish, e.g. to see those Missing for 18 months or more
- Check the History and Acquisitions tabs to see if there has been any recent activity on the copy
- Change Copy Status to *Withdrawn from Circulation* and Copy Category to *Hidden in WebView*.  
*Note that if all copy records on a title record are hidden then the title record must also be hidden* – see <http://www.swimsnetwork.nhs.uk/modules/cataloguing/cataloguing-faqs-copy-records/#hidecopy>
- If a copy is replaced the new barcode can be used to overwrite the previous one in the copy record (so retaining loan information)

- ❖ Withdrawn items must be deleted after 18 months (maximum)

NB: in order that annual statistics can be collected, records of items which are withdrawn from the shelves should not be immediately deleted but retained with the Copy Status changed to *Withdrawn from Circulation*, and Copy Category set to *Hidden in WebView*  
*Note that if all copy records on a title record are hidden then the title record must also be hidden* – see <http://www.swimsnetwork.nhs.uk/modules/cataloguing/cataloguing-faqs-copy-records/#hidecopy>

Once the statistics have been collated (monthly / quarterly / annually)

- Launch a Copy barcode search with % in the search box
- Refine/Select on own location and Copy Status > *Withdrawn From Circulation*
- Refine/Select on *Date Last Modified* > use *Before* or *Between + dates* if wish
- Highlight items on the list and delete via *Actions/Other Actions + Delete copies with checks*.
  - Any that don't delete, check for Traps – for more information see: <http://www.swimsnetwork.nhs.uk/modules/cataloguing/cataloguing-faqs-copy-records/#deletecopies>
  - Location codes on the title record will automatically be removed overnight after copies are deleted
  - Please delete the Title record if prompted. (Any other title records which are left with no copies attached will be removed during periodic integrity checks)
  - Once deleted the loan statistics may be lost (see FAQ at <http://www.swimsnetwork.nhs.uk/modules/cataloguing/cataloguing-faqs-copy-records/#statistics>)

### 1.3 Items in need of repair

- ❖ Items in poor condition should be withdrawn or repaired regardless of age

## 1.4 Old editions

- ❖ Current edition plus one previous - as long as within age guidance (see below)

- Previous editions on the shelf should be clearly marked with a sticker advising that there is a newer edition in stock / available – for an approximate way to identify multiple editions in stock see refined search at <http://www.swimsnetwork.nhs.uk/system-general/reporting-alerting-and-statistics/#collmanreports>
- Title records should have a Note added that there is a later edition available
- If budgets do not permit replacement of editions (particularly large reference books) consider whether these are still useful / could be more useful as e-books etc
- Where frequent editions appear with only minor changes, more than one previous edition may be acceptable (as long as within age guidance) e.g. anatomy and physiology
- E-books purchased locally should also be subject to this criterion
- Old editions kept for clinical governance purposes should be clearly marked with a suitable Shelf (see below), and kept away from the main stock – ideally with the Copy Category *Hidden in Webview* also
- NB: the British Library is likely to be able to supply most previous editions should they be needed for any reason; other documents may be available online.

## 1.5 Currency

- ❖ General guide (including e-books) is no older than 10 years, with some subject exceptions:

- Shorter (5 years) – drugs / computing
- Longer (15 – 20 years):
  - a) Non-clinical material
    - biographical and autobiographical works
    - fictional works and non-fiction in 'light reading' collections
    - general reference material such as language dictionaries
  - b) Subjects such as: areas of mental health (e.g. psychotherapies) / ethics / sociology / psychology / education / anatomy / colour atlases / management / research methods / language dictionaries / legislation

- Within the context of what else is available in that subject / reading lists / active usage / expert opinion

- c) Classic and seminal texts (where no later edition exists)

- If the content is considered out of date, items should be placed in an archive or reserve collection and marked with a Shelf (see below)  
- Hard copy of national or international institutional reports only if not freely available electronically (e.g. Kings Fund, Royal Colleges, NMC etc, and including government publications e.g. Department of Health)

- d) Guidelines, guidance and policy documents where no later ones exist

- Where guidelines/documents are available online, consider whether it is necessary to keep hard copy, and how it will be ensured that it is updated e.g. NICE guidance.  
- The specific URL link can be added to the print version's record (see cataloguing rules A10 and D12), or a Note added indicating it is freely available – the links are regularly checked automatically <http://www.swimsnetwork.nhs.uk/modules/cataloguing/cataloguing-rules/>  
- Notes on the catalogue record should indicate where the guideline/document is superseding an old one, and also be included on the previous document record if retained for clinical governance purposes (see 4 above)

- e) Original local material of health interest that is not freely available online
- f) Parliamentary publications - Acts of Parliament, Statutory Instruments, Command Papers, Parliamentary Session Papers (Inquiries / Reports)

- Bills, Green Papers and consultation / draft versions should not be retained once the legislation is enacted / White Paper or other Command paper produced, whether or not the location holds the final document
- Consideration should be given to how often such technical documents are actually referred to – Acts and Statutory Instruments can all be found online at <http://www.legislation.gov.uk/>
- Command papers often state policy ideas e.g. major changes to NHS organisation, but may not need to be kept indefinitely – they can be obtained from <https://www.gov.uk/government/publications>,
- Parliamentary Session Papers – some available via <http://www.parliament.uk/business/publications/>
- To list your holdings use *Title by Series* search / refine by location. For relevant Series names see cataloguing Rule E at <http://www.swimsnetwork.nhs.uk/modules/cataloguing/cataloguing-rules/>

## 2. Good Practice

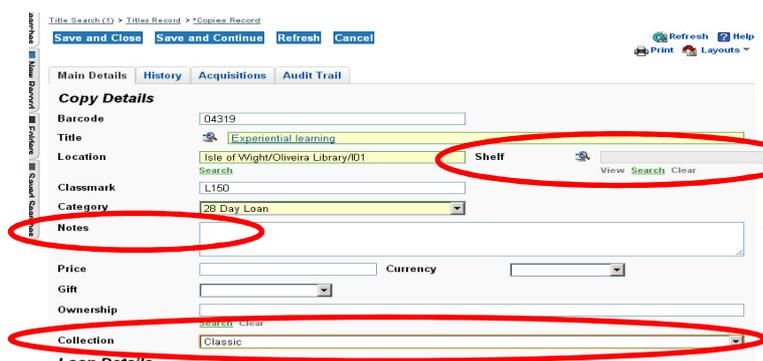
- Weeding should form part of the regular housekeeping regime. There are also other periodic tidying and updating tasks - see the document *Periodic Catalogue Housekeeping tasks* at the top of <http://www.swimsnetwork.nhs.uk/modules/cataloguing/collection-management/>
- A large weeding exercise should not be carried out in isolation. It should form part of a wider stock management process
- Subject specialists should be consulted as appropriate for final decision making, also providing evidence of an active user consultation processes
- Consider the use of British Library as the deposit collection for old titles. There is no arrangement for retention of last copies remaining on the catalogue to be kept within the SWIMS Network
- Warnings should be displayed drawing attention to the out-of-date status of withdrawn books being offered for sale
- Organisational policies on disposal and recycling should be followed

## 3. Aids to weeding and stock management

### 3.1 Use of Collection, Shelf and Copy Notes fields

Items to be retained beyond the guideline time period should be marked in the 'Collection' &/or 'Shelf' fields (on the Copy record) in order to:

- a) indicate why they have been kept
- b) enable them to be filtered out of listings / a separate listing to be produced
- c) indicate a separate physical collection (if not in the main collection)



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### (A) Collection field

For items shelved in the main sequence use the 'Collection' field.

- Use the drop down options - these are not location specific
- Only one Collection heading can be applied per copy
- Contact your Cataloguing Group rep. to add additional options
- This field is refinable under Copy search to provide a list / filter out from other lists. There is a Report available to list copies published before a chosen date and not marked with a particular Collection (see <http://www.swimsnetwork.nhs.uk/system-general/reporting-alerting-and-statistics/collection-management-reports/> )
- 'Archive' or 'Historical' items kept in a separate physical collection do not necessarily need this marker if also marked with a 'Shelf' (see below)
- Where e.g. fiction/light reading/local collections include a mix of older and current items, and are shelved out of the main sequence, a Collection marker in addition to Shelf may or may not be useful to you
- This field does not show on WebView
- NB: this field may be used to enable filtered listing for other purposes, e.g. items included in the ClinicalKey collection
- For more information on this field see FAQ at <http://www.swimsnetwork.nhs.uk/modules/cataloguing/cataloguing-faqs-copy-records/#collection>

### (B) Shelf field

For older items being shelved in a separate collection the 'Shelf' field (to indicate physical location) should be sufficient for listing these older items e.g. Archive / Historical. However in some cases it may be useful to mark both Shelf and Collection fields (e.g. if the collection contains both current and older items).

- The Shelf field is visible on WebView and may be used for purposes other than just marking physical location (e.g. not for ILL)
- Any number of Shelf headings can be created BUT please check the full list before creating a new one (use % in the Shelf field search box)
- Shelves are no longer location specific – do not add your location in to the title
- Only one Shelf can be added per copy
- Copy Category may also be changed, e.g. to *Not for Loan* or *Reference*
- Items held in these categories probably still need to be weeded regularly!
- For more information on creating/applying Shelves see FAQ at <http://www.swimsnetwork.nhs.uk/modules/cataloguing/cataloguing-faqs-copy-records/#shelves>
- To list items marked with a Shelf, launch a *Copies by title* search (see 2 below) and *Refine* on *At Location* then *Shelf*. Use print layout *\*\*\*Copies with Notes*
- See below for a Report listing copies *excluding* those marked with a Shelf

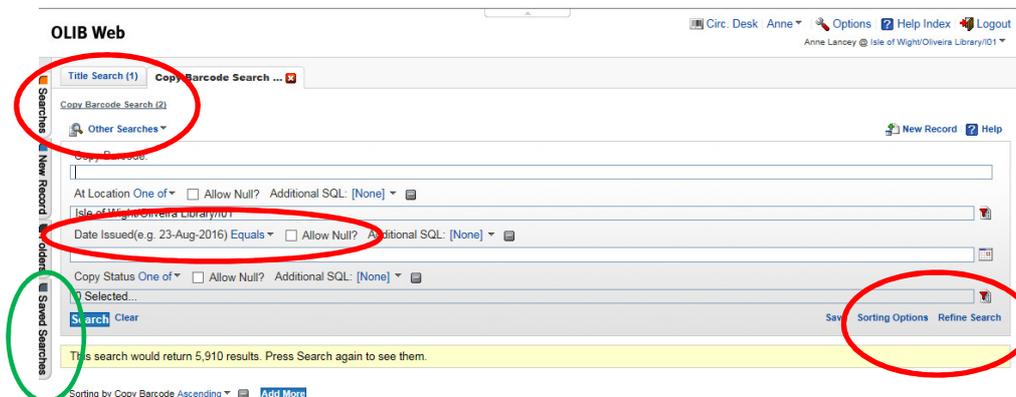
### (C) Copy Notes field

This is a free text field, which is searchable, and so may be useful for additional information, or instead of the Collection field if preferred. However it is more difficult to report using the data in this field and more prone to error.

- the text entered must be in a very consistent format (including capitalisation) to obtain a comprehensive listing from this filter
- These notes are not visible in WebView
- For more detail on filtering using this field see FAQ at <http://www.swimsnetwork.nhs.uk/modules/cataloguing/cataloguing-faqs-copy-records/#copynotes>
- NB items marked using this field (instead of Shelf or Collection) will **not** be excluded from bi-annual SWIMS-wide reports of % of older items held at locations (see Introduction above)

### 3.2 Obtaining listings from SWIMS – using Refining

Refined lists are developed individually and can be saved in your *Saved Searches* tab on OLIB Web (see <http://www.swimsnetwork.nhs.uk/system-general/search-and-display/#savesearch>)



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#### ➤ Choose either Title Search or Copy Search

- In Copy Search printing options are best in *Copies of a Title* search
- NB: in Copy Search - information from fields on the Title record template cannot be added to searches (e.g. publication date)
- NB: In Title Search - fields from the Copy record template *can* be used as refinements **but the results will often not be specific to your location.** Such searches require Advanced filtering or a Report to be written - contact your System Administrator
- Use the wildcard (%) in the search box if nothing else is needed in this box

#### ➤ Click *Refine Search* for choice of fields, then click the *Select Items* icon to choose Selections



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- Selections with lists - e.g. *At Location* - allow multiple selections
- Some refinements give options for inclusions e.g. 'one of / 'not one of', or for inserting dates *before / after / between* etc
- Dates must be entered in correct format e.g. 01-Aug-2012
- Sometimes it is necessary to opt to *Allow Null* (i.e. where the field is blank)

#### ➤ Apply Sorting Options (after running search) e.g. by classmark or publication date

*Examples: (NB use % in search box)*

Copies marked Missing last issued before a certain date (i.e. been missing for some time)	Copies search – change to <i>Copies of a Title</i> search: <i>At Location &gt; I01</i> <i>Copy status &gt; Missing</i> <i>Date last modified &gt; 'before' &gt; 01-Apr-2013</i> <i>Sorting by &gt; Classmark &gt; Ascending</i> <i>(and remove the default 'Title Ascending' line...)</i>
Copies of items at a certain classmark excluding marked as 'classic' in the Collection field	Copies search - change to <i>Copies of a Title</i> search <i>At Location &gt; I01</i> <i>Classmark &gt; L57</i> <i>Collection &gt; 'Not one of' &gt; Classic + a tick in 'Allow Null'</i>

Copies of books at a certain classmark (can exclude those on e.g. Archive shelves you don't want to review)	Copies search – change to <i>Copies of a Title</i> search: <i>At Location &gt; I01</i> <i>Classmark 'equals' &gt; WB100</i> <i>Copy category &gt; 'not one of' &gt; Hidden in WebView Shelf &gt; 'one of' &gt; Archive, Historical</i>
Titles of which you have a copy, held at a certain classmark published before a certain date	Title search: <i>Copies &gt; At Location &gt; I01</i> <i>Publication &gt; Publication Date (for filtering) &gt; 'before' 01-Jan-2008</i> <i>Media Type &gt; 'not one of' &gt; Dissertation, Journal, Electronic book</i> <i>Copies &gt; Classmark &gt; 'similar to' &gt; WA</i>

- For other possible refined searches see <http://www.swimsnetwork.nhs.uk/system-general/reporting-alerting-and-statistics/> or ask a Systems Administrator
- Refining on Series - launch a *Titles by Series* search, then refine on *Copies > At Location*
- For help with printing and using the clipboard to export lists to Excel (which simplifies sorting options) see <http://www.swimsnetwork.nhs.uk/system-general/reporting-alerting-and-statistics/#print>
- Don't forget to keep an eye on items which have no publication date as these aren't listed in stock weeding reports. See instructions at <http://www.swimsnetwork.nhs.uk/system-general/reporting-alerting-and-statistics/#collmanreports>

### 3.3 Obtaining listings from SWIMS - Jasper reports

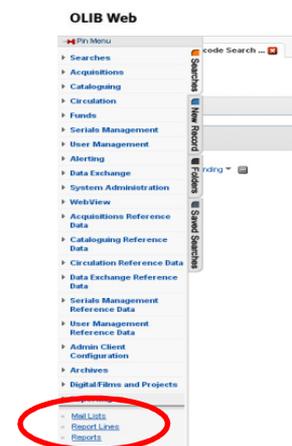
Each location has a login to the Jasper site: some basic collection management reports are available, but they are not as tailored as the reporting in SWIMS

See FAQ at <http://www.swimsnetwork.nhs.uk/system-general/reporting-alerting-and-statistics/>

### 3.4 Obtaining listings from SWIMS - using ready-made Reports

- Under the *Reporting > Reports* section at the bottom of the lefthand menu
- Click *Other Searches* to list by module

- Written by System Administrators and no additional filters or sorting can be used
- Ensure you look at the correct collection of reports (e.g. cataloguing / circulation) – if in doubt change to All Reports.
- Use the MASTER copy of a report if you do not have a local one
- To run a report
  - Enter the required parameters in the right hand boxes against Runtime Parameters
  - Check that the Email List gives a suitable email address
  - Return to the Hitlist
  - Tick the report and in the *Other Actions* box select *Run Report*
- The report will be emailed to the recipient; sometimes this is not instant
- The list can be copied from the email and pasted into an Excel spreadsheet where it can be easily sorted e.g. by Classmark / Copy Status (useful to exclude Withdrawn)
- For perfect sorting by classmark and more information see <http://www.swimsnetwork.nhs.uk/system-general/reporting-alerting-and-statistics/> (Wessex classmarks and sorting)
- Alternatively it is now possible to run the report within Excel making the output more manipulable using a process called 'GETStream' – see the FAQ above for more details



A full list of reports available is documented at <http://www.swimsnetwork.nhs.uk/system-general/reporting-alerting-and-statistics/collection-management-reports/>

e.g.

Circulation reports:

- *copies which have never been borrowed – published before xxxx*
- *copies which have not been borrowed since xxxx – published before xxxx*
- ***copies which have not been borrowed since xxxx – published before xxxx – added before xxxx – shows shelf and collection*** (this Report covers most eventualities when manipulated in an Excel spreadsheet: use dates in the future if you don't want to include some of the parameters)

Catalogue reports:

- *copies at a location published before xxxx & not reference*
- *copies at a location published before xxxx & including/excluding those with particular copy note(s)*
- *copies at location published in or before xxxx & not in a particular collection*
- *copies at location published in or before xxxx & not on a particular shelf \*\**

- \*\*
- Shelf Key ID is needed (search in the Shelf field for this)
  - Only one Shelf can be excluded per report
  - Output includes Barcode, Title, Publication Date, Copy Category (key ID), Classmark, Shelf (if assigned one - key ID); it is sorted by Classmark
  - This report excludes Withdrawn copies, E-books, Journals, Serial issues, Temporary loans,

### 3.5 Deleting copy and title records

To allow loan statistics to be collected it may be necessary to mark copies as *Withdrawn from Circulation* rather than delete the Copy record immediately. In this case the Copy record should also be hidden from displaying in Webview – see the FAQs below. If it is the last copy on the Title record, this record must also be hidden

- Marking Copies as Withdrawn  
<http://www.swimsnetwork.nhs.uk/modules/cataloguing/cataloguing-faqs-copy-records/#withdrawn>
- Hiding Copy records in Webview  
<http://www.swimsnetwork.nhs.uk/modules/cataloguing/cataloguing-faqs-copy-records/#hidecopy>
- Hiding Title records in Webview  
<http://www.swimsnetwork.nhs.uk/modules/cataloguing/cataloguing-faqs/#WebView>
- Deleting copy records  
<http://www.swimsnetwork.nhs.uk/modules/cataloguing/cataloguing-faqs-copy-records/#deletecopies>
- Deleting Title records  
<http://www.swimsnetwork.nhs.uk/modules/cataloguing/cataloguing-faqs/>

- Library staff can delete Copy or Title records singly or in bulk.
- Where the last attached copy is deleted, there is a prompt to ask if the title record should be deleted – please click Yes. Though Title records can be retrieved by a Systems Administrator before an overnight run.
- Any records with traps/loans etc will not be deleted – see list after attempted delete.
- Records marked Withdrawn should be deleted a maximum of 18 months after they have attracted this status
- Deleting a multi-part work – remember to delete the Parent and the Child records

### 3.6 Reserve collection

To aid decision-making some locations find it useful to re-shelve items which may possibly be withdrawn temporarily into a Reserve collection

- Copy Status can be changed to *Available - To be Withdrawn*
- The *Shelf* field can indicate the physical location on the catalogue (see above)
- Usage can be monitored
- The collection needs regular review!

### 3.7 Slote weeding system

Slote, Stanley J (1997) *Weeding library collections* 4<sup>th</sup> ed; ABC-CLIO Libraries Unlimited Inc, Englewood (available from the British Library)



Rather than concentrating on age as the primary criterion for weeding, this method objectively identifies older stock still relevant to library users by concentrating on “shelf-time period” – how long a book remains on the shelf between loans.

Buckinghamshire libraries have used this method – for an overview see the Slote Weeding System document at <http://www.swimsnetwork.nhs.uk/modules/cataloguing/collection-management/>

### 3.8 New editions / stock updating

Suggested methods for keeping stock updated:

- Title/Author or Advanced searches on WebView now default to display the most recent items first, so can be useful to alert to new editions
- email messages to SWIMS-SYSTEM list when a new edition is added, or an item becomes obsolete are very useful (putting the codes of other libraries holding the old/obsolete edition in the subject line – these can be easily copied and pasted from the Location Codes field in OLIB Web or the Locations field in WebView)
- alerts and catalogues from publishers/suppliers

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