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# Collection Development and Management Policy

## The Library

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### 1 Purpose

This policy sets out the overarching principles and general framework which inform strategies related to the Library's collections. It is administered through specific collection statements formulated for individual subject areas; interdisciplinary areas and special collections. These statements, established in collaboration with stakeholders, will provide a foundation for coordinated collection development and management programmes throughout the Victoria University libraries.

The Library provides information resources in support of the University's strategic directions in teaching, learning and research activities. The Collection Development and Management Policy is the fundamental document used to define the management of the Library's existing collections, to plan for the development of collections, to ensure consistency of practice among those responsible for developing the collection, to communicate the library's policies to faculty, students, staff, and other interested persons and to provide a basis for continuity over time and through personnel changes.

### 2 Organisational Scope

This policy is University Wide. It applies to all research and teaching collections administered by the University Library and to all information resources, irrespective of format.

Collections located in a Faculty, School or subject area are the responsibility of the area where they are housed.

### 3 Definitions

For purposes of this policy, unless otherwise stated, the following definitions shall apply:

Archives:	Records that have been appraised to have historic value and therefore require permanent preservation, or the place where such records are kept.
Capital expenditure (CAPEX):	Procurement of an item of property, plant or equipment, or the subsequent development or improvement of an existing asset at a cost exceeding the minimum capitalisation level.
Central Service Unit (CSU):	A central resource providing a service to the whole University e.g. ITS, Student Services, etc.
Classification:	Characters written on a book or assigned to an item in a library collection, typically used to indicate where the item is located on the shelf.

Collection:	Resources, regardless of format, that are managed by the Library to support learning, teaching and research.
Collection development:	The process of planning, building, and maintaining a library's information resources in a cost-efficient and user relevant manner.
Collection management:	The application of quantitative techniques, such as statistical and cost-benefit analysis, to the process of collection development.
Deselection:	Identification of items for permanent removal from the collection those that meet pre-established criteria as set out within this policy.
Digitisation:	Conversion of non-digital resource into a format that enables it to be displayed on a computer screen.
Format:	The medium in which information is recorded.
Institutional Repository (IR):	A database which stores and makes available online the research outputs of the University's academics and postgraduate students.
Librarian:	Person performing the duties of, or acting under delegation from, the University Librarian.
Library:	All physical and virtual resources and services managed by the University Library.
Offsite storage:	Storage areas in locations outside the Library.
Open access collection:	That portion of the library's total collections that users can independently access.
Operating expenditure (OPEX):	Expenditure incurred in the course of day-to-day University operations. In the Library collections' context, operating expenditure is used for providing access to Library resources on a subscription basis (i.e. non-purchase).
Permanent collection:	Collection items that are held in perpetuity.
Preservation:	Activities that serve to prolong the life of library resources and/or their intellectual content. Includes disaster planning, collection management, binding, replacement, repair and conservation.
Relegation:	The transfer of resources from open shelves to a low-use or closed store (local or remote).
Resources:	Items in a collection. Often used to describe non-book items like photographs, manuscripts, ephemera and so on.
Special Collections:	In the context of Victoria Library, Special Materials means Library resources which are sufficiently rare, valuable, significant, or unique to have been located in the secure custody of the J. C. Beaglehole Room.
Stakeholders:	Currently enrolled Victoria University students on all campuses and at remote locations, all academic, teaching, research, general and administrative staff of the University.
Steady state:	A library collection in which the number of items relegated or deselected equals the number acquired.

Subject Level Collection Statements:	Key data used to inform selection principles, the depth and breadth of subject coverage, levels of collecting, location and other pertinent factors in relation to academic programmes, special collections, or arrangements.
Subscription:	Annual payments to single or packages of print or electronic journals and databases including indexes and abstracts.
Users:	See <a href="#">Library Statue, Clause 4.4.1</a> , and, in specific cases, alumni and walk-ins.

## 4 Policy Content and Guidelines

### 4.1 General Principles

The following general principles govern how the Library will implement the Policy:

- (a) The Collection Development and Management Policy and subject level collection statements are developed in collaboration with stakeholders.
- (b) The collection is regarded as single and integrated, located either at the Central or Campus libraries or at the offsite storage facility, or delivered online via the Victoria University secure network.
- (c) The Library centralises purchase, organisation and access to its information resources.
- (d) The Library uses digital systems to manage all collections and ensure that all resource can be found by users via the library catalogue.
- (e) Electronic resources are preferred where they satisfy the agreed criteria, as stated in the Subject level collection statements, more fully than print.
- (f) The Library purchases do not exclude resources on moral, political, religious, racial or gender grounds to satisfy the demands of sectional interest.
- (g) The Library avoids duplication of resources.
- (h) The Library maintains a steady state in its onsite collections, other than in its special materials collections.
- (i) Offsite storage supplements the onsite collections space. The use and scope of resources held offsite are reviewed annually.
- (j) The Library collaborates with other groups, at local, national, international and consortial level to increase and enhance the information resources which may be made available.
- (k) The Library supports the University's commitment to making publicly funded research available.
- (l) The Library preserves resources identified as potentially relevant to research and teaching in the longer term.
- (m) Formed collections are only acquired and retained as discrete collections when they have a value as a coherent collection which they would not have as a dispersed collection.
- (n) The University Librarian ensures compliance with this policy

## **4.2 Funding and Budget**

### **4.2.1 Funding**

- (a) The financial year is the calendar year.
- (b) The University allocates funds to the Library annually for the purchase of information resources.
- (c) Funds are not carried over from one year to the next.

### **4.2.2 Budget**

- (a) The Library manages the budget through a series of ledgers on the Library Management System.
- (b) Expenditure target dates are set annually to give guidance on expenditure throughout the year.
- (c) Allocations, taking into account amongst other factors staff and student numbers, average book price, and Library reliance, are set annually to purchase subject based research resources.
- (d) The library aims to maintain a budget balance between on-going subscriptions e.g. serials, standing orders and electronic resources, and one-off purchases such as books and multi-media.
- (e) The purchasing power of the budget is susceptible to variations in the exchange and inflation rates. When necessary, allocations are adjusted.
- (f) Purchase of items costing over an agreed amount, on-going subscriptions and electronic resources are approved by the Head of Collection Services.
- (g) The Library works openly with academic staff to identify realistic costs and advise on budget options for new courses and programmes.
- (h) The Library ensures long-term or perpetual availability to electronic content by preferring purchase over subscription-based models.
- (i) In some years the Library may make budget available for a contestable process for the purchase of resources outside subject allocations.
- (j) The Library maximises the purchasing power of its funds and benefits from its membership of purchasing consortia and from discounts negotiated by national and international bodies.

## **4.3 Collection development**

### **4.3.1 Selection**

- (a) Resources, whether purchased, donated, freely available on the Internet or identified for digitisation, are selected primarily by academic staff, subject librarians and Library staff with responsibility for collection development.
- (b) Other items, such as those in Special Collections, Official Publications, the Reference collection, interdisciplinary areas and other specialist areas are selected by library staff according to the relevant collection development strategy and user demand.
- (c) Subject librarians make the decisions on the purchase of replacement copies.
- (d) The decision on whether to acquire expensive items may be influenced by their availability in another library within New Zealand.

- (e) The Library trials electronic products to assess suitability for inclusion in the Library's collection.
- (f) To support co-operative programmes of teaching or research, the Library liaises with the library of the partner institution(s).

#### **4.3.2 Resources Types**

- (a) The Library collects resources in any format that meets the service obligations and operational capabilities of the Library and its users.
- (b) The Library maintains an awareness of new formats and plans for collection growth and the purchase of equipment to support emerging formats. New formats are considered for purchase as demand and use dictates. Similar considerations influence the decision to delete a format from the collection.

#### **4.3.3 Donations**

- (a) The decision whether to accept donations rests with the Library.
- (b) The Library welcomes donations of information resources which enhance its collections in accordance with this policy.
- (c) Donations are accepted on the understanding that they become the property of the University and the Library will organise and locate gifts according to the collection management criteria and will return or appropriately dispose of unwanted resource. See also Section 4.4.4 of this policy.
- (d) A register of donations is maintained by the Library.
- (e) The Library may actively solicit donations when appropriate.

#### **4.3.4 New course proposals and Library Implication Statements**

- (a) Academic Committee requires a formal statement from the Library for new course, programme or degree proposals.
- (b) Library Implication Statements for proposed new courses are developed jointly by Subject Librarians, Collection Services and other Library staff as appropriate.
- (c) Subject level collection statements are used to inform whether new courses can be adequately supported.
- (d) The Head of Collection Services and the Head of Research & Learning Services sign off the proposals before submission to Academic Committee.

### **4.4 Collection Management**

#### **4.4.1 Assessment and evaluation**

- (a) Assessment and evaluation of all collections (other than special materials) is required in order to maintain the integrity of the collection within the steady-state library. Special materials are evaluated and assessed on receipt, and in terms of the Special Materials collection statement.
- (b) Subject level collection statements communicate the collecting level of each classification area.
- (c) Collection space in the Central and Campus Libraries is finite. The Library aims for 75% shelf occupancy to allow for ease of access, shelving operations and planning.

- (d) The Library conducts regular shelf checks in order to maintain accurate catalogue records.
- (e) Collections, including subscriptions, are assessed on a regular basis as to their appropriate location, availability, relevance, currency conservation and preservation needs.

#### **4.4.2 Retention**

- (a) Resources may be located on the open shelves, in special collections or in off-site storage.
- (b) As a general rule, resources in the Library's collection are retained indefinitely if it is deemed to be of continuing historical or research value.

#### **4.4.3 Deselection**

- (a) Deselection is carried out, with transparency, in line with the subject level collection statements.
- (b) Deselected resources may be offered to other libraries, sold, given away or destroyed.
- (c) A record of deselected resources is kept.

#### **4.4.4 Preservation**

- (a) The Library is committed to preserve its permanent collections by maintaining appropriate standards in regard to their storage, handling, re-formatting and display.
- (b) The Library participates in appropriate international preservation initiatives to ensure perpetual access to purchased digital resources.
- (c) Disaster recovery procedures are in place to ensure business continuity and minimise loss of access in the case of an accident or an emergency.

### **4.5 Subject Level Collection Statements**

Subject Level Collection Statements which apply to all resource formats recognise the differing needs of subject areas and collections.

#### **4.5.1 General**

- (a) Subject level collection statements are developed collaboratively between Subject Librarians, other appropriate Library staff and academic staff with reference to their research and teaching and learning strategies. Interdisciplinary areas are taken into consideration and are not disadvantaged.
- (b) Subject level collection statements aim to state the current level and extent of collecting activity for the subject's research and teaching needs.
- (c) Subject level collection statements are reviewed no less than annually by the subject librarian and subject area representative/s.

#### **4.5.2 Collecting levels**

- (a) Collection levels are determined by Subject Librarians in consultation with academic staff and form part of the subject level collection statements.
- (b) Collection levels apply uniformly to all subjects and reflect the changing nature of collection development in an electronic environment in which libraries are providing access to information through a range of sources covering their physical collection, commercial databases as well as access to Internet resources.

- (c) The following levels are used to describe the collection.
- (i) **Level 5 - Comprehensive:** Collections which contains all works in all languages and all formats in a particular field. Its aim is exhaustiveness. This level of collecting intensity is that which maintains a “special collection” only.
  - (ii) **Level 4 - Research:** The collecting level supports independent, doctoral and postgraduate research. It includes all major published source materials; a very extensive collection of generalised and specialised books, reference works and periodicals; extensive collection of appropriate materials in languages other than the primary language of the country and the collection; extensive collections of the works of both well-known and lesser-known authors and, access to a very extensive collection of electronic resources. Older material is retained and systematically preserved to serve the needs of historical research.
  - (iii) **Level 3 - Study:** This collecting level supports undergraduate and most post-graduate course work, and independent study of less than research intensity. It includes a high percentage of the most important literature or core works, including retrospective resources; an extensive collection of general and selected specialised books, reference works, and a representative collection of specialised periodicals and indexes/abstracts; a selection of resources in other languages and, access to a broad range of specialised electronic resources.
  - (iv) **Level 2 - Basic:** This collecting level is sufficient to introduce and define the subject and to indicate the varieties of information available elsewhere. It includes a limited collection of general books and reference works, and representative general periodicals and, access to a limited collection of electronic resources. The collection could include basic explanatory works; histories of the development of the topic; general works about the field and general encyclopedias, indexes and statistical sources. It is not sufficiently intensive to support any courses or independent study.
  - (v) **Level 1 - Minimal:** Subject areas which are outside the scope of the Library’s collection and in which only a few selections are made.
  - (vi) **Level 0 - Out of scope:** The Library does not collect in this area

## 5 Legislative Compliance

The University is required to manage its policy documentation within a legislative framework. The legislation directing this policy is the:

[Copyright Act 1994](#)

[Films, Videos and Publications Classification Act 1993](#)

[Library Statute](#)

[National Library of New Zealand Act 2003](#)

[Official Information Act 1982](#)

[Privacy Act 1993](#)

[Public Records Act 2005](#)

[Screenrights University Licence](#)

[Victoria University of Wellington Act 1961](#)

## 6 References

[Victoria University's strategic plan](#)

[Library's Strategic Plan](#)

[Records Management Policy](#)

## 7 Approval Agency

University Librarian

## 8 Approval Dates

This policy was originally approved on: 29 October 2009

This version was approved on: 29 October 2009

This version takes effect from: Effective From 1 November 2009

This policy will be reviewed by: 1 November 2011

## 9 Policy Sponsor

University Librarian

## 10 Contact Person

The following person may be approached on a routine basis in relation to this policy:

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