RHODES UNIVERSITY

RHODES UNIVERSITY LIBRARY

COLLECTION DEVELOPMENT & MANAGEMENT POLICY AND GUIDELINES

CONTENTS

Appendices

Acknowledgements:
Monash University Library, Nelson Mandela Metropolitan University Library & Information Services, University of Pretoria Library Services

Amendment history:
Collection Development Policy approved by Library Committee, 1999
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Revision by Library's Collection Development and Management Team, March-May 2011
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1. **Overview: context, philosophy and principles**

Librarians working in 21st Century academic libraries are vested with the responsibility to build and shape collections that not only demonstrate contemporary relevance, but are sufficiently responsive to the information needs of tomorrow's scholars. They should provide a level of assurance to the University Administrators that the funds entrusted to the research library for the purpose of collection development continue to advance the institution's mission and strategic goals.

The challenge of the modern academic librarian is aptly summarised by James Neal (2011) who observes that, "The academic library needs to be present to anyone, anywhere, anytime and anyhow" highlighting the ongoing tension to improve access to content at lower cost, whether it be print collections or through web-based portals in a juxtaposed and fast expanding virtual world. Whilst the variety and accessibility of information content for today's users has become one of preference, convenience, improved capability and speed, the core activities of collection development and management have not fundamentally altered in the academic library. Throughout this policy, we are cognisant that the focus remains on identification, selection, acquisition, organisation, maintaining, and in the last instance, preservation of the societal record, in all its formats, for future generations of scholars, researchers and learners.

Collection Development and Management at Rhodes University remains a key cross-functional activity that depends on sound relationships with the user community and open channels of communication between user services and technical library teams. When we set out to review the policy, the deliberations were shaped by both the building of a new user-oriented academic library and a series of robust recommendations, contained in the 2009 Library Services Review, that challenged entrenched practices and legacies associated with the collection. The opportunity afforded by a climate of revitalised thinking gave over to significant scrutiny as to how collection building might flourish as a collaborative partnership that better supports users' research and learning goals in advancing the institutional priorities. This strong user focus informed all levels of deliberation with user communities across the campus, both collectively and individually, in respect of rapid technological innovation on shaping collections , effective ways to manage information resources funding and, most importantly, appropriate structures that put the user community centre and front in providing a rich information content environment.

Perhaps the fullest expression for the revitalisation of collection development and management at Rhodes University has been the achievement of establishing user-oriented structures in the form of Faculty Liaison teams who work in close collaboration with the academy and a Library Committee Collection Development Sub-committee which strategically connects the user community (through appointed representatives) with the Library Services to ensure that the collection continues to support the goals of the academy and research in a collaborative, rather than competitive, environment where spending decisions are increasingly taken across disciplinary boundaries.

2. Information resources funding

2.1. Information Resources Budget

The Library Services Division receives an annual Information Resources Budget. A recommendation on the amount required each year for the budget is submitted to the Library Committee's Collection Development Sub-committee and approved by the Library Committee. The final decision on the amount to be allocated to the budget is made by the University's Budget Committee and approved by Council.

A proposal on the allocation of funds for subscriptions (databases and individual print and electronic journal titles) and the purchase of monographs is made by the Library Services' Collection Development & Management Team, is normally based on the previous year's expenditure, publishers' increases and inflation. Recommendations are also made on the allocation of grants to academic departments, the Library (General Fund) and Institutes for the purchase of monographs. The recommendations are presented to the Library Committee's Collection Development Sub-committee for consideration and the Library Committee gives final approval on the allocation of the grants.

The Information Resources Budget Management Cycle is outlined in Appendix A. The budget is managed by the Library Service's Collection Development & Management Team, and monitored on a regular basis.

2.2 Fisher Bequest Fund

An annual grant is allocated to the Library Services Division from the interest accruing from the Fisher Bequest, which is managed by the Finance Division. This grant is to be used by Faculty and Academic Departments to:
- Assist academic departments with ad hoc grants for new courses and programmes;
- Fill gaps in existing holdings;
- Purchase expensive new works of reference.

Money from this fund may not be used for subscriptions to periodicals or electronic databases or to any other materials that incur annual payments.

The Principal Librarian: Acquisitions distributes letters in March of each year to the Heads of Departments requesting applications to be made on this Fund. A summary of the fund allocation is ratified by the Library Committee at the third meeting of each year.

2.3 Humanities Library Research Fund

The Humanities Library Research Fund was initially established in 1974 (as the Arts Departments' Library Research Fund), and approved by the University Council. This is an annual fund administered by the Registrar's Division and a sub-committee chaired by the Dean of Humanities makes decisions on the allocation of the funds. The Fund is intended for the purchase of "only items or groups of items to be used primarily in research" (Arts Departments' Library Research Fund Committee, Minute 26 April 1990).

2.4 Research Grants

Recipients of individual research grants, from the Research Office, are required to place orders for research literature to be acquired on these grants through the Library Services Division, and may not place the orders directly with vendors. All materials purchased with the aid of a University grant becomes the property of the Library Services Division and must be reflected on the Library's catalogue.

3. **Responsibility for collection development**

Collection development and management i**s** regarded by the Library Services Division as a collaborative partnership to build the University's research collections. It is considered an important responsibility that requires good relations building with the user community, particularly academic and research staff across all Faculties.

The two levels of collection development management exist:

- Collection Development and Management Team (internal to the Library)

    The team meets regularly (chaired by the Library Services Deputy Director) and is responsible for implementing the approved policy, monitoring the Information Resources (IR) budget and expenditure, drafting the annual IR budget for discussion and acceptance by the Library Committee's Collection Development Sub-committee.

    The Faculty Principal Librarians are the direct contact between the Library and academic departments for building the research collections. Academic staff recommend monograph, individual journal title and online database purchases to the Faculty Librarians, who will check for duplicates and pricing and authorise for orders to be placed by Technical Services. Faculty Librarians, in liaison with departments, will monitor the IR budget and ensure that funds are encumbered. Proposed purchases should be discussed to enable Faculty Librarians to gain oversight and develop skills in building research collections. Journal collections need to be managed by Faculty Librarians, in collaboration with the academic departments, e.g. purchases, cancellations etc. Faculty Librarians are accountable for the Information Resources Budget component of their subject collection(s).

- The Library Committee Collection Development Sub-committee (User level)

    The Sub-committee performs at a strategic level to ensure that Collection Development at Rhodes University remains a collaborative partnership between the user community and the Library Services Division and that the collection remains relevant to the academic project and research enterprise of the institution. They are responsible for ensuring that the collection is built and maintained according to sound governance practices & cost-effective information resources management guided by the knowledge and expertise of professional Librarians. The full Terms of Reference of the sub-committee are provided in Appendix B.

Collection Development & Management Structures

RESPONSIBLE BODY		RESPONSIBLITIES
Council & Senate Library Committee Library Management		Library Budget, which includes Information Resources budget
Library Committee (LC) • Collection Development Sub-committee		IR annual departmental monograph budget allocations Collection Development and Management Policy and Information Resources Budget oversight
Collection Development Sub-committee • Chair: LC Representative • 2 Library Committee members (1 to Chair) • 6 Faculty Representatives (not 2 LC representatives) • Research Office Representative • Director: Library Services • Deputy Director: Library Services • 2 Head Librarians: User Services • Head Librarian: Technical Services • 4 Principal Faculty Librarians • SAIAB Librarian		User Representation (Strategic level). Meets quarterly and advises in respect of: • Collection development policy/guidelines • Specialist areas of research collection development including new areas & interdisciplinary research initiatives • Multi-disciplinary databases • Subscription collections management e.g. advise on new purchases & cancellations both subject coverage & funding • Annual monograph grant allocations to Departments • Digitisation of local content – project proposal evaluation
Collection Development and Management Team • Convener: Deputy Director: Library Services • Director: Library Services • 2 Head Librarians: User Services • Head Librarian: Technical Services • 4 Principal Faculty Librarians • SAIAB Librarian		Library (Operational level). Meet regularly to manage and implement: • Policy (new & revised) • Recommend & draft new policy & guidelines • Evaluate & recommend subscription purchases & renewals, cancellations, access vs. ownership • Monitor & review IR grant expenditure

• Principal Librarian, Acquisitions • Principal Librarian, Cataloguing • Principal Librarian, Digital Library Services • Principal Librarian, ICT and Systems Management • Librarian, E-Resources & Digital Repository Administration	regularly • Draft annual Information Resource budget • Identify & prioritise local content for digitisation projects • Provide guidance & input to LC Collection Development Sub-committee

4. Access to collections

4.1 Rhodes University Library is committed to fair access to its collections. The bulk of the print collections are on open shelves and available for loan. Exceptions are the Library's Special Collection which is only available for in-house usage to protect and preserve the items, and the Library's Reference collections which need to be kept in the Library for ready- reference purposes.

4.2 Bibliographic access to the Library's print monograph and serial collections, and electronic books, is provided through the OPAC (Online Public Access Catalogue). Due to staffing capacity books not on the OPAC (approximately 20% of books catalogued before 1990) are generally only catalogued when requests are made for loans.

The Library aims to provide catalogue records according to international standards. Where available records are downloaded from OCLC's WorldCat database, minimal editing of the records is performed to ensure that the material is made available to the Library's users as quickly and cost-effectively as possible. The Library's catalogue is part of a shared database of the SEALS Consortium. Duplication of existing records is avoided and the guidelines provided in the SEALS Principles of Cooperation for Cataloguing are followed. Quality control is practised, including authority control. The Dewey Decimal Classification Scheme is used to classify the major part of the print collections.

4.3 The Library subscribes to a number of electronic resources, including databases, journals and e-books. Most of these electronic resources are accessible to the University community anywhere on the campus and most from off-campus locations as well. Users wanting to access these resources from off campus need to be registered with the Library and have set up an OPAC login under My Library Record.

4.4 High demand materials are temporarily kept in the Short Loan Collection. The materials are available for a one-hour loan period during the Library's opening hours and may be booked for overnight loan. The Library also makes some high usage materials available on a 48-hour loan basis and these are housed alongside the Short Loan collection. High usage material can also be placed on the open shelves with a Limited Loan status (2-week loan) or High Demand status (2-week loan, non-renewable).

4.5 The Library is not able to purchase all research material, especially where demand is limited to a small number of users. The majority of print materials are available in South Africa to be borrowed through the Inter-Library Loans service (ILL). Document delivery of print versions of articles accessed through electronic databases that the Rhodes University Library does not subscribe to is sometimes feasible, depending on licence agreements.

4.6 The Library's holdings are regularly added to OCLC's WorldCat and Sabinet's SACat databases. This facilitates resource sharing and document delivery to other libraries participating in the Inter-Library Loan service, nationally and internationally.

4.7 Staff and senior postgraduate students have access to other academic libraries in South Africa based on the Committee for Higher Education Librarians in South Africa's (CHELSA) Memorandum of Understanding between South African University Libraries. This provides for the mutual rendering of certain library and information services with a view to the cost-efficient use of resources for purposes of maintaining and improving library and information services for higher education and research in South Africa. One of the agreements is that on production of a letter of introduction and surety from the parent institution, a staff member or senior postgraduate student will be allowed to use the facilities of another tertiary institution's library in South Africa. If the student lives in the institution's environs, she/he will be allowed to borrow material from that institution's library. Under this agreement, staff and students who have access to other academic libraries are subject to the rules and regulations of the host institution.

5. **The Cory Library for Historical Research**
   A grant for the purchase of monographs for the non-circulating collection housed in the Cory Library is recommended by the Collection Development & Management Team, based on the previous year's expenditure, publishers' increases and inflation. The recommendation is considered by the Library Committee's Collection Development Sub-committee, together with the departmental monograph grants, as part of the annual Information Resources Budget process. The Library Committee gives final approval on the allocation of the grant.

6. **Rhodes University Research Institutes, Centres and Units**
   The Rhodes University Institutes Centres and Units, a list of which is available on the University webpage, are assigned to the Principal Faculty Librarians who provide liaison services. An approved percentage of the Library Monograph Grant shall be made available as an Institute, Centre and Unit Fund Grant. Requests for monograph purchases are submitted to the Faculty Librarians. Requests for new subscriptions will be submitted through the Faculty Librarian to the Library Committee Collection Development Sub-committee for consideration.

7. **Review of the Collection Development & Management Policy and Guidelines**
   This document is kept current through regular review by the Library Committee Collection Development Sub-committee, guided by the Director: Library Services.

Section B: Guidelines

8. Collection development: selection guidelines

8.1. General criteria for selection of all materials
The following criteria are considered when selecting resources for the Library:
- All resources, regardless of format, are selected according to the general criteria. Resources selected may be in a wide range of formats, including print, electronic and audio-visual formats
- Where a choice must be made between different formats for the same material, consideration is given to cost, ownership or access, anticipated level of use, availability in preferred format, and space requirements
- Resources should be relevant to the teaching, research and scholarship at the University and support the institution's strategic and cultural priorities
- Subject content should be at an appropriate academic level
- The quality of research and the accuracy and currency of the content of any new resource should be verified
- New resources should balance the collection or fill identified gaps in the collection.
- Flexibility to develop collections for new programmes and to expand existing collections to meet curriculum changes should be maintained
- Since most of the University Library resources are purchased in foreign currency, decisions to purchase are influenced by the ongoing fluctuations in the exchange rates
- While mindful that we live in a multi-lingual society, preference is given to English language works, except for materials needed for the study of other languages and literatures taught at the University
- Duplication of any resource should be avoided, except in certain circumstances listed in the policy on duplication (see guidelines on Duplicates, Section B 9.2).

8.2 Library materials and collections

8.2.1 Audio-visual material
The Library acquires a wide range of audio-visual material, including sound recordings, in a variety of formats including DVDs, audio CDs and CD-ROMs.
In addition to being subject to the general criteria, selection of audio-visual material will also be subject to the following criteria:
- Preference is given to resources based on newer technology, for example, DVDs are favoured over video cassettes.
- Availability of equipment to support the format and the potential redundancy of the format and its supporting equipment needs to be considered when selecting audio-visual material.

8.2.2 Electronic resources
(See also 8.2.15 Subscriptions)
The Library subscribes to a large number of electronic databases, e-journals and e-books, spending a substantial amount of the Information Resources budget on these important online resources to support teaching, learning and research at the University. Increasingly

the international trend is towards access to, rather than ownership of, information resources.

In the case of journals preference will be given to electronic over print format. Where access to the full-text articles of a journal is available through an online publisher database that the Library subscribes to, the print title subscription is cancelled. With regard to monograph acquisitions, investigations need to be made into e-book options and serious consideration given to purchasing an e-book version, if available, in place of the print copy. This is especially important in the case of monographs that will be in high demand by student users, in order to reduce the Short Loan collection, and facilitate easier access to the content.

Purchasing principles and evaluation criteria:

Due to the high cost of these resources the Library, in consultation with academic departments, will arrange trials and evaluate the resources before any purchases are made. The following principles and criteria will guide the evaluation and purchase of the resources:

- Cost of the resources, and availability of funding, especially with regard to the maintenance of ongoing subscriptions
- License conditions - access, including number of simultaneous users, campus and remote access (preferably IP-authenticated); option to select collections and/or titles; archival policy; provision of perpetual access
- Provision of purchasable back files
- Preference will be given to resources that adhere to international standards, e.g. open URL compliant
- Provision of usage statistics, which comply with international standards i.e. COUNTER compliant
- Support and ongoing training provided by the vendor
- Content, including interdisciplinary coverage, number of peer-reviewed titles and overlap with existing database subscriptions
- Preference to user friendly search interface, including ease of use, advanced search facilities, efficiency of retrieval and speed.

An annual assessment of electronic resources to which the Library subscribes will be conducted by the Faculty Principal Librarians, using the above criteria, to make decisions regarding renewal or cancellation.

8.2.3 Government publications

Publications of the South African national legislature, provincial legislature of the Eastern Cape and government departments are collected, when sent to the University Library as gifts. The pre-1994 publications are housed at the Cory Library and from 1994 onwards at the Main Library. Preference is given to providing online access to Government publications, where available. Access is provided through the Library's subscribed databases, e.g. SAGazettes and links on the Library's website to free online Government publications.

8.2.4 Loose-leaf publications
Publications in loose-leaf format will be collected and updates are treated as subscriptions.

8.2.5 Maps
Academic departments that require topographical maps for teaching and research purposes, such as Geology and Geography, are responsible for purchasing and housing their own maps.

8.2.6 Microforms
Microforms will be considered only if no other format is available.

8.2.7 Monographs
A monograph is a publication, regardless of format, which requires a once-off payment. Books and audio-visual material are regarded as monographs.
The following criteria apply to the purchase of books:
- The availability of an e-book format will be investigated and, where feasible will be purchased
- The most recent edition of a publication will usually be purchased
- The paperback edition of a publication is normally purchased, if available, unless high usage is anticipated in which case the hardcover edition will be purchased.

8.2.8 Music scores
Music scores in the form of sheet music and other formats required for the academic programme of the University's Department of Music will be collected. Newly purchased scores will be bound and catalogued, but due to budgetary and staffing constraints donations of old scores and backlogs of scores not on the OPAC will be processed only when required by users.

8.2.9 Newspapers
The Library has a number of subscriptions to daily and weekly South African newspapers. These are housed in the Cory Library except for the past five years of the Eastern Cape papers, which are kept in the Library on level 1. The English-language Eastern Cape daily papers, the local Grahamstown bi-weekly (the Grocott's Mail) and the weekly Mail & Guardian are bound.

8.2.10 Out-of-print materials
The Library will not normally purchase out-of-print materials. However if the materials are urgently required for the University's academic programme, the Library will attempt to purchase them within reasonable limits, both in terms of price and staff time.

8.2.11 Prescribed and recommended material
The Library recognizes that the cost of many prescribed and recommended books makes it prohibitive for some students to purchase these books. The Faculty Librarians will liaise with academic departments to obtain lists of prescribed and recommended books.

The Library will generally purchase only one copy of current prescribed and recommended titles and place them along with other high demand materials in the Short Loan collection or make them available either on 48-hour loan or limited loan (2 week period).

8.2.12 Reference collection

The Reference collection contains materials in both print and electronic format and includes atlases, bibliographies, dictionaries, directories, encyclopaedias, statistical compilations and yearbooks, as well as core academic subject reference works. Preference is now given to electronic format when available.

8.2.13 Short Loan collection

The Short Loan collection contains material that is in high demand for undergraduate and post-graduate programmes for a specific period (usually one semester). The loan period is limited to one-hour and the material is used within the University Library, although overnight bookings and loans are available. Preference is given to providing e-access to journal articles, where available, rather than photocopies. If photocopies are placed in the collection, a copyright clearance certificate must be obtained and provided with the material. Academics are encouraged to place material on Short Loan timeously for assignments. Material is normally from the University Library's collections but personal books belonging to academic staff may be placed in the collection temporarily on request.

8.2.14 Special collection

The Library has a small special collection, which is housed in a closed access store. The collection is a non-circulating one and users will be assisted by the Faculty Librarians to retrieve the material. Use in the Library will be under supervision of staff members who will provide guidance to users on how best to handle the materials.

The collection mainly consists of Nineteenth and early Twentieth Century books published in the United Kingdom and Europe that have been donated to the Library since its inception in 1904. The Library also has a small collection of Nineteenth Century periodicals. Africana material is mainly housed in the Cory Library for Historical Research.

8.2.15 Subscriptions

(See also 8.2.2 Electronic resources)
Subscriptions include periodicals (print and electronic), newspapers, electronic databases, standing orders (monographic series), proceedings, transactions and updates to loose-leaf publications. In the case of monographic series, preference is given to purchasing the volumes as once-off purchases unless a regular publishing cycle has been established.

Subscriptions are ongoing financial commitments. Subscription prices have risen substantially over the past couple of decades and are also heavily influenced by the ongoing fluctuations in the exchange rate. The Library has a limited subscription budget which cannot keep pace with either publisher increases or the devaluation of the Rand. Subscriptions therefore require a higher degree of selectivity and will be evaluated on an

annual basis. In addition to being subject to the general criteria, selection of new subscriptions will also be subject to the following criteria:

- Relevance to research, teaching and learning curriculum of the motivating department
- Potential multi-disciplinary usage
- Current holdings in the subject area, and the assessed usage of these (to the extent that usage can be measured)
- Cost of the subscription
- Cost effectiveness of ownership versus access
- Accessibility via Inter-Library Loans or document delivery
- Recognised impact factors as a criterion of scholarly impact and usefulness

The annual review of subscriptions will consider year-on-year price increases, cancellations and changes from print to electronic format. Requests for new subscriptions must be fully motivated by the academic Head of Department or the appropriate Dean of Faculty, using the form provided in Appendix C, and submitted by June of each year to the appropriate Faculty Principal Librarian. All requests will be carefully scrutinized by the Library Committee's Collection Development Sub-committee at their July meeting. A "buy one, cancel one to more or less the same value" policy may be applied, but even such a policy may not be stringent enough depending on price increases and the devaluation of the Rand.

8.2.16 Theses and dissertations
All Rhodes University theses and dissertations are statutory acquisitions. The University requires Master's and Doctoral students to submit two loose-leaf print copies and an electronic version (in PDF format) of their theses. The University's rules governing the submission of theses are available in the University Calendar, under the General Rules. The Library is responsible for binding the print copies, one of which is an archival copy (housed in the Cory Library) and the other a loan copy.

The electronic version is archived in the University's open access digital repository, with the option of restricting access for a period of up to two years, in which case only the metadata (bibliographic information) will be available and the print copy only will be available during this period. Retrospective digitization of theses, where no electronic version is available, will be considered when or if funds become available. All reasonable attempts will be made to contact the author to get permission to create and make available a digital copy. In the event of the print loan copy being lost, the Library will make a digital copy available, where possible.

8.3 Material the Library generally will not purchase:
- Expensive materials that are likely to be infrequently used
- Application software
- Maps
- Laboratory and instructors manuals
- Study guides and solutions manuals

- Second hand items offered by private individuals

9. Collection management and maintenance - general guidelines

9.1 Location and organisation of materials

Information resources purchased with Library funds or donated as gifts become part of the Library's collections. The Head Librarian: User Services & Research Support Services, with the Faculty Principal Librarians, will determine the location of the materials depending on subject coverage, and in some cases format.

The monographs and current print periodicals are housed on open stacks and arranged in Faculty sections. The periodical volumes of titles that the Library no longer subscribes to (in print or cancelled altogether) are housed in an open access Periodicals Store, on level 1 of the Library. The Library also has offsite storage for monographs in low demand.

The Library Services has two branch libraries: the Law Branch Library and the Sound Branch Library. Relevant materials are housed in these branch libraries. In addition materials ordered on the Ichthyology Department's Monographs grant are housed in the SAIAB (South African Institute for Aquatic Biodiversity) Library, along with subscriptions requested by the Department. Guidelines for limited library materials, for example materials to support laboratory and practical work, to be housed in academic departments and the Education Faculty's Teacher Resource Centre are provided in Appendices D and E.

9.2 Duplicates

Duplicates are not normally purchased and not encouraged due to budget and space considerations. The Library recognizes that duplicate copies may be needed to meet special teaching and learning requirements and provides the following criteria for their purchase:
- Heavy and continuous usage, once placed on Short Loan, 48-hour Loan or High Demand (2-week loan limitation)
- No more than 5 copies will be purchased and the number of copies will be dependent on student numbers requiring use of the title
- Requests will require supporting justification and must be approved by the relevant Faculty Principal Librarian

9.3 Replacements

The Library will not automatically replace all materials that have been lost or withdrawn because of damage or wear. Replacement will be based on the following considerations:
- Current level of demand for the title
- Number of copies held, and their condition
- Relevance to current curricula or research needs
- Existing coverage of the subject within the collection
- Availability of more up-to-date or better materials on the subject
- Cost and effort to replace out-of-print titles

9.4   Acquisitions for new courses and research programmes

Departments are encouraged to order monograph materials for new courses and research programmes on their annual department's monograph grants, and to use the Fisher Bequest Fund for requesting the purchase of more expensive materials. Should a department's annual grant not be sufficient to cover the purchase of the materials required, applications should be made to the relevant Faculty Principal Librarians for the purchases to be made on the Library's General Grant. Requests for subscriptions to new journals will need to be motivated and processed as outlined in section B 8.2.15 above. Subscription requests have to be approved by the Library Committee's Collection Development Sub-committee.

9.5   Disinvestment

Disinvestment (also referred to as weeding or deselection) of materials forms an integral part of the maintenance of an excellent academic library collection. Disinvestment is a process regularly undertaken by the faculty librarians, in consultation with the academic departments most directly concerned with their possible future use. The following criteria will be used as guidelines for the disinvestment of monographs and periodicals:

Criteria for monographs:
- superfluous multiple copies
- superseded editions of materials that are not considered classics nor needed for historical purposes
- material superseded by, or cumulated in, more comprehensive publications
- material containing outdated or inaccurate information
- material not suitable for academic libraries
- worn out, badly marked or irreparably damaged volumes
- material that has not circulated for more than ten years may be deselected, based on consideration of the long-term usefulness of the work
- text books and instructional material more than ten years old

Criteria for serials:
- superseded editions of annuals and yearbooks
- incomplete or short runs of titles that the Library no longer subscribes to, depending on the availability of the Library's holdings through stable electronic databases or Inter-Library Loans
- titles that the Library no longer subscribes to where the holdings are available on JSTOR (stable and secure access guaranteed)
- titles containing information that is not useful in the long-term, for example newsletters and trade magazines. These titles will usually only be retained for one or two years and the period retained will be indicated in the OPAC record for a particular title.

Materials deselected from stock will be placed on book sales, normally held annually in the Library, along with gifts not taken into stock. Library materials are not donated to schools, public libraries or charitable organisations, though gifts not required will be considered for donation.

9.6 Gifts and donations

Gifts of materials that meet the same selection criteria used to purchase Library materials (see section B 8.1) are welcomed. All gifts will be evaluated by the relevant Faculty Principal Librarian, using the selection criteria outlined in Section B point 8 of the Guidelines, in consultation with academic staff where necessary.

The Library reserves the right to reject materials that do not meet these criteria. Material not needed will be disposed of by sale, donation or discard, or, if requested, returned to the donor. The Library does not appraise gifts for tax, inheritance or any other purpose. Letters of acknowledgement are sent to donors where appropriate or necessary.

Gifts should be delivered to the Library by the donor or posted to the Library at the donor's expense.

9.7 Short Loan collection

Academic staff members are required to inform the Library the period of time that is required for the materials they want to place in the Short Loan Collection. This is usually one semester and at most for the academic year. Library staff will remove the material regularly at the end of the semester and/or academic year, either returning it to the open shelves or, in the case of personal or photocopied material, to the relevant individual or department. The Library considers the placement of materials in the Short Loan Collection a collaborative relationship between the Library and academic staff and procedures to be followed are attached in Appendix F.

9.8 Loan of Research Grant material

Material purchased on Research Grants (see section A 2.4) will be made available to the academic or researcher, whose grant was used for the purchase, on an extended loan basis (normally one year, renewable) as long as the person is in the employ of the University.

9.9 Binding

The Library Services Division receives a limited annual budget to cover the costs of binding or mending Library materials. Materials to be bound are selected by the Faculty Librarians, to ensure that the budget is used effectively and efficiently. The librarians follow internal guidelines, compiled by the Library's Collection Development and Management Team, when selecting materials for binding.

9.10 Classification and reclassification

The Library uses the latest edition of the Dewey Decimal Classification (DDC) Scheme to classify the majority of its print collections. Exceptions include the Rhodes University thesis collection, music scores and the periodicals to which the Library no longer subscribes, i.e. closed holdings titles, or titles that are no longer received in print (these periodicals are arranged alphabetically by title).

Due to staffing capacity the Library generally will not re-classify material that is affected by changes in the updated DDC schedules. This will result in some instances in materials

being placed in different locations and shelf browsing should not be relied on by users to locate materials on the same subject (OPAC browsing by subject or keyword is preferable and users should ask for assistance if required).

9.11   Inventory Control and shelf maintenance

Re-shelving of loan material is coordinated by the User-Access Services section of the Library.   Returned material is re-shelved by trained postgraduate students who are Circulation Assistants.

Shelf-reading is the responsibility of the Faculty Team members and according to the work plans is scheduled as a daily activity, with Librarians & Assistant Librarians tasked to spend an hour each on this activity every working day. During vacation periods each entire faculty collection should be checked for correct placement.

Missing items: Items which should be in place on the shelves, but are not there, should be sought actively. Users complete search slips, available at the Faculty counters, and there are internal procedures in place for staff to follow to search for missing items.

Inventory Control: An agreed portion of each faculty collection will be checked each year, by using the Innovative Interfaces Inc. inventory control system, Circa. This should be scheduled after a thorough shelf-reading exercise has taken place during a long vacation period.

9.12   Evaluation and assessment

The regular review of the Library's collection is essential for the maintenance of a research collection that is relevant to the information needs of the Library's users and University community. The Faculty Librarians will be responsible for carrying out the evaluation of the relevant sections of the collection in consultation with the academic departments. The review applies to both the print materials and electronic resources. Subscriptions to individual titles and databases will be reviewed on an annual basis, due to the high cost of these resources and the need to contain the subscription budget.

The evaluation of the collection will be based on both quantitative (statistics collated by staff) and qualitative (feedback from users) measures. In its evaluation the Library will be guided by the *Measures for Quality in South African Higher Education Institution Libraries* (http://www.chelsa.ac.za/index.php/quality), guidelines provided by the Committee for Higher Education Librarians of South African (CHELSA).

Reports on the evaluation of the collection will be submitted to the Library Committee's Collection Development Sub-committee and to the Library Committee as part of its reporting function.

Reference:

Neal, James. 2011. Stop the madness: the insanity of ROI and the need for qualitative measures of academic library success. Paper presented at the 2011 ACRL Conference, Philadelphia, Pennsylvania. Last accessed 12 May 2011
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APPENDICES

Appendix A

Information Resources Budget Management Cycle

- Library Committee agrees the Library Services Division Budget 1st draft (3rd Quarter)
- University Budget process (4th Quarter)
- University Budget approved by Council (December)
- Grant funds made available to Library by Finance Division (February)
- Library Committee Collection Development Sub-committee recommendations approved by first Library Committee (February/March)
- Grant letters to Heads of Departments (after first Library Committee meeting)
- IR Grant Information Sessions for HoDs, Departmental Liaison Staff & Faculty Librarians (late March)
- New book & selective re-ordering from previous year (1 Feb to 30 September)
- LC Collection Development Sub-committee reviews next year's journal & database subscription budget (June-July)
- Journal & database subscription cancellations for next year (August) & bulk renewals (September)
- Last book orders accepted from departments (30 September)
- Last book orders placed with suppliers/publishers (31 October)
- Outstanding orders & commitments cancelled (from 1 December)
- Remaining funds transferred by Finance Division to Retained Income account (15 December)
- Orders returned to Faculty Librarians to consult departments in respect of selective re-ordering in new financial year.

Appendix B

Library Committee: Collection Development Sub-committee - Terms of Reference

1.   Sub-committee Membership & functioning

Membership	Responsible for appointment	Time Frame
• 2 Library Committee members (1 to Chair) • 6 Faculty Representatives • Research Office representative	Library Committee Faculty Board Meetings Director: Research	4th meeting of the year 4th meeting of the year Confirm by 30 November

• Director: Library Services • Deputy Director: Library Services • 2 Head Librarians: User Services • Head Librarian: Technical Services • Principal Faculty Librarians • SAIAB Librarian		

1.1   The Sub-committee members are appointed for a one (1) year period (renewable);
1.2   The Library Director's office is responsible for tabling a request, in terms of the approved time frame, to the Library Committee, Faculty Boards and Research Office to appoint their representatives;
1.3   The names of the representatives will be confirmed, in writing, by the Director: Library Services to the Chair by 30 November;
1.4   The Library Director's Office, in consultation, with the Chair is responsible for:
- • compiling and distributing the agenda, minutes and supporting documents
- • notifying the members of meeting dates & venues
- • communiqués to the RU user community
1.5   The Library Committee agenda will have a standing item for the Chair to   report.

2.   Frequency of meetings

2.1   End of January – allocation of Departmental Book Grant
Early June – planning next IR budget especially subscriptions
November – report back on the University Budget Committee recommendation for the IR budget
2.2   Extraordinary meetings
Where issues of an urgent matter arise eg IR budget cuts at short notice, the Chair will request the Library Director to convene a meeting(s) as required.

3.   Strategic purpose of the Sub-committee is to ensure that:

3.1   The sub-committee performs at a strategic level to ensure that Collection Development at Rhodes University remains a collaborative partnership between the user community (represented by the appointed members) and the Library Services Division;
3.2   The collection remains relevant to the academic project and research enterprise of the institution;
3.3   The collection is built and maintained according to sound governance practices and cost-effective information resources management guided by the knowledge and expertise of professional Librarians;

3.4   The building of good relations is maintained across the Rhodes University user community, particularly academic and research staff across all Faculties, Institutes and the Research Office, by the Library Services Division in performing its operational collection development & management responsibilities.

4.   Sub-committee objectives

4.1   Review the Collection Development & Management Policy and make recommendations to the Library Committee and ultimately, Council, as required;

4.2   Consider the extent to which global and national trends might impact information resources funding;

4.3   Consider and recommend the annual provisional Information Resources Budget to the Library Committee at its 3rd meeting, after which it is tabled at the University Budget Committee & Council;

4.4   Evaluate and make recommendations to the Library Committee, as required to support the Director: Library Services, with respect to funding to build and sustain the research collection at appropriate levels.

4.5   Consider and recommend the allocation of the annual Departmental Book Grants to the 1st meeting of the Library Committee;

4.6   Identify and advise on the varied needs of the Faculties and Institutes in terms of building a collection to reflect and support these needs;

4.7   Identify specialist areas of collection development including new/existing multi- and inter-disciplinary research initiatives, research focus areas in departments /Faculties as well as research programmes;

4.8   Advise on subscription collections management with respect to new purchases and/or cancellations in terms of subject coverage and funding implications. This includes individual periodical titles (print and electronic) and multi-disciplinary electronic databases;

4.9   Ensure regular feedback by Faculty representatives to their Faculty Boards;

4.10   Evaluate and make recommendations in respect of project proposals for the digitization of local collection content.

Approved by Library Committee, October 2010

Appendix C

New subscription motivation form

New journal subscription motivations: 2012 for 2013

Motivations for subscriptions to new journals will be considered by the Library's Collection Development and Management Team's meeting on 7 July, before being presented by your Faculty Principal Librarian to the Library Committee Collection Development Sub-committee at a meeting on 22 July.
Please read the guidelines on subscriptions, from the draft Collection Development and Management Policy and Guidelines (Section B.8.2.15), before completing the motivation. Assistance will be provided by the relevant Principal Librarian – the sections in italics will be completed by the Librarian.

Name: Position (e.g. Senior Lecturer):	
Department:	
Title of journal:	
Publisher, place of publication, and start date:	
Format – e-version available? Print (or print and e-) only?	
E-version already available on RUL subscribed database? Which database(s)?	
Is this title relevant to the teaching curriculum of your department?	
Is this title relevant to your research, or research in your department? How many researchers are likely to use it, and how frequently?	
Is the title multi-disciplinary in its coverage? Which other departments may be interested in it? (Supporting letters from HoDs of these departments will assist the motivation)	

Does the Library currently subscribe to any other periodicals in this field/topic? If yes, is the title well used? Why does RUL need to subscribe to this title as well?	
Is this journal accredited?	
Cost of subscription (in original currency):	
Frequency of publication:	
Inter-Library Loan availability in SA? (Principal Librarian to check & provide names of libraries)	
Title that can be/has been cancelled, in place of this new subscription:	
Cost of subscription of the title to be cancelled:	
Supported by HoD: Name: Signature:	
Supported by Faculty Principal Librarian:	
Signed by applicant: Date:	

Appendix D

Guidelines for Library material to be housed in departments

1. <u>Materials that are kept in departments should meet the following criteria</u>:
    a. Regularly required for consultation by students for laboratory work and/or practical's
    b. Not required for loan by students (also excluding Short Loans)
    c. Not regularly required for consultation by students outside of office hours (in which case it should be housed in the Library's Reference collections)
    d. Monographs only (print periodicals to be kept in the Library)

2. The <u>types of material</u> that can typically be kept by departments are:
    - Manuals
    - Handbooks
    - Diagnostic tools
    - Instructor or teacher guides

3. <u>Conditions under which materials can be kept in a department</u>:
    a. Locked in a room or cupboard when not in use
    b. Use supervised by relevant staff member
    c. Reference material not to be made available for loan (online versions should be purchased where possible to facilitate access across campus)
    d. System for recording loans, if required by staff or in exceptional circumstances by students, to be implemented and maintained by secretary or other staff member
    e. Annual stocktake implemented by relevant Faculty Librarian.
    f. Missing material to be reported to the Library and replaced against departmental book grants. Replacement copies will be kept in the RU Library.
    g. New editions and up-to-date replacements for titles held by the department will be ordered at the Department's request against their Book Grant. Where available the online version will be investigated as the preferred option to allow for optimal access across the campus.
    h. Old editions and out-of-date materials are to be returned to the Library (for storage or possible discard, in consultation between the Principal Faculty Librarian and department)

4. <u>Library Materials in use by academic staff</u>
    These items must be issued on the RUL Millennium system to the staff member.

Note: These guidelines do not cover the Branch Libraries i.e. Law Library, Sound Library (Music Dept) and Education Faculty's Teacher Resource Centre (separate guidelines provided

for Education's TRC). The SAIAB Library operates under a Memorandum of Understanding with the University.

Revised: October 2010

Appendix E

Guidelines for Library material to be housed in the Education Faculty's Teacher Resource Centre

Following on from the RU Library Review Recommendations by Senate in 2009, and meetings held between the Education Faculty and Library in the first part of 2010, it has been decided that the following library materials should remain in the Teacher Resource Center in the Education Faculty:

- Textbooks
- Children's fiction, including Readers
- Teacher Resource Packs
- Classroom based books that deal with professional practice
- Dictionaries (pupil dictionaries and language dictionaries for Reference)
- Multimedia/AV material (for classroom use)

Also housed in the TRC will be teaching aids such as posters, puzzles and games. This type of material will be purchased by the Education Faculty, and will not be processed by RU Library.
Education periodicals will be housed in RU Library, besides for a small number of titles that provide teacher resource material (titles listed below). Books and multimedia materials recommended for purchase by the Education Faculty, which are subject specific, including education theory, are to be housed in the RU Library.
The Principal Librarian for Education will decide on the location of new library material, based on these guidelines, and will consult with the Education Faculty's Library Liaison staff member and the TRC staff member when the need arises.

Compiled: September 2010

Appendix F

Short Loan Service Guidelines

The aim of the Short Loan Service is to provide access to materials (books, articles and chapters of books) that are in high demand for short periods of time to ensure that they are accessible to a large group of users. The collection consists of reading material which is recommended by academic staff. The Short Loan Service is considered to be a co-operative agreement between the Library and academic staff.

Procedures for Library staff:

Faculty Teams
- The Faculty Principal Librarians will send notices to academic staff at least six weeks before the start of term for placement and withdrawal of short loan materials.
- The notices will indicate the deadline as being at least two weeks before the beginning of term and will also state that, should lecturers miss the deadline, materials will be placed and/or withdrawn on a 'first come first served' basis. The turnaround time will be 48 hours.
- All Short Loan requests will be treated as urgent.
- Faculty Principal Librarians must place an order for books to be purchased to be placed on Short Loan one month in advance for local material or 2 months in advance for an overseas publication. The order must be marked as 'urgent for Short Loan', with the name of the lecturer and the course name and course code indicated, to speed up the process of placing the new book onto Short Loan from the Cataloguing section.
- Faculty Principal Librarians must place an order for a book immediately if a photocopy of a chapter of a book is placed on Short Loan.
- Books requested for Short Loan are removed from the open shelves by the relevant Faculty teams and handed over to the Librarian: User Access Services on carefully labeled trolleys to be placed on Short Loan.
- Faculty Principal Librarians will supply a list of materials to be removed from Short Loan to the Librarian: User Access Services six weeks before a term starts.

Librarian: User Access Services
- The Librarian: User Access Services will process the materials brought to her/him by the Faculty teams on the Millennium course reserve module, and place the materials on the Short Loan shelves, within 48 hours of receipt of the materials.
- Lists of materials to be removed from Short Loan also need to be attended to within 48 hours of receipt, but priority must be given to placing new material on Short Loan. All withdrawals must be attended to at least one week before the beginning of a term.

Technical Services Section

- Books that have to be purchased to be placed on Short Loans section must be treated as urgent by the Acquisitions staff.
- The material must be treated as high priority on receipt by the Acquisitions and Cataloguing staff.
- New material required for Short Loan must bypass the New Books Display and be handed to the relevant Principal Faculty Librarian once the processing of the material has been completed.

Procedures for lecturers:

- Lecturers identify materials which are likely to be in high demand.
- A Short Loan Request form, available at the Loans Desk or from the Faculty Principal Librarians, for materials to be placed on Short Loan must be completed. Requests for Law Branch Library Short Loan must be handed in directly to the branch library. [Note: The Lecturers' Short Loan Request Form will also be available online on the Library's website].
- The Short Loan Request form must be sent or handed to the relevant Faculty Principal Librarian.
- Forms must be received by the due date set by the Library (i.e. at least two weeks before the beginning of a term) otherwise the requests will join a queue and will be attended to on a 'first come first served' basis. The turnaround time for these requests will be 48 hours.
- Books that have to be purchased to be placed in the Short Loan section must be requested via the relevant Faculty Principal Librarian well in advance of the course starting, i.e. at least one month if it is a locally available book or 2 months if it is an overseas publication.

Material types:

Books
Books selected by lecturers as in high demand are placed on Short Loan. There are two types:
- One hour loan
- 48 hour loan

Personal copies of books (or other materials)
Personal copies of books may be placed on Short Loan, but this is done at the lecturer's own risk. While the Library will take all reasonable measures to take care of personal items, we cannot take responsibility for loss or theft of, or damage to, personal items.

Journal articles
Journal articles that are available via electronic databases that the Library subscribes to, or has free access to, may not be placed on Short Loan.

Photocopies
- A chapter of a book may be placed on Short Loan if the Library does not have the book in stock. However an order for the book must be placed immediately with the relevant Faculty Principal Librarian.
- Photocopies of journal articles, where not available online, will only be placed on Short Loan once DALRO permissions have been obtained by the lecturer or academic department.
- Full bibliographic details of the source item for all photocopies must be provided by the lecturer.

Loan periods and borrowing conditions
- 1-hour loan – users borrow items in extremely high demand for one hour and they have to use the items in the Short Loan Reading Room.
- Overnight loan – Short Loan items may be taken out overnight (from 21h45 during weekdays and from 17h15 on Fridays); they must be returned by 09h00 the next day, or on Sundays by 13h30.
- 48 hour loan – items in high demand may be borrowed for two days only, with the option of renewal if there is no hold for the item.

Materials not accepted for Short Loan
- Past exam papers
- Course readers
- Compilations of articles
- Tutorial notes or lecturers' notes – lecturers are encouraged to make use of RUconnected.

Copyright
Short Loan materials must comply with copyright laws and regulations. Rhodes University does not have a blanket DALRO licence. Applications for DALRO permission must be handled by the lecturer or department. Information on DALRO requirements may be found on their website (www.dalro.co.za).