

UCT LIBRARIES COLLECTION DEVELOPMENT IMPLEMENTATION GUIDELINES AND PROCEDURES

1. Purpose statement

The purpose of the Collections Development Implementation Guidelines and Procedures is to define the processes and procedures used in the selection of materials for the collections of the UCT Libraries in a consistent manner that is relevant to the University's strategic goals. The Libraries' collections are defined as a mix of print and non-print resources and services that provide access to owned and licensed resources.

2. Terms of Reference

The Collections Development Implementation Guidelines and Procedures are required to provide guidance to the Collections Development Sub-Group of the Library Working Group on the procedures applied by library staff in collecting and providing access to materials in a variety of print and non-print formats, including books, journals, and electronic resources, manuscripts and other original research materials, film, photographic and sound archives, and digitized materials.

These Guidelines are subject to the approval of the Collections Development Sub-Group of the Library Working Group, appointed to advise the Executive Director of Libraries on strategic control of collection development. Under the Terms of Reference of the Library Working Group, the Collections Development Sub-Group consists of the Executive Director of Libraries (Chair), Library staff nominated by the Executive Director, and three members of the Library Working Group, appointed by the Library Working Group, together with any members it wishes to co-opt. The Sub-Group advises on strategic collection development, acting as a sounding board for more strategic elements of library policy, particularly elements related to high level budgeting and resource allocation, meeting as and when requested by the Executive Director of Libraries.

3. Definition of terms

“Donations” – means gifts of library materials, including books, manuscript and archival materials.

“Serials” - means publications issued in successive parts bearing numerical or chronological designations and intended to continue indefinitely.

“Deselecting” – means the quality control of the collection in which outdated, and worn-out materials are removed, or moved to lesser-used storage.

4. Procedures

4.1 General Guidelines for Selecting Materials

- Relevance to the University's strategic plan.
- Relevance to the curriculum.
- Currency and accuracy of information.
- Timeliness of material.
- Reputation and authority of the author, issuing body, and/or publisher.
- Availability of other material on the subject in the library, or in other libraries.
- Recommendation in standard reviewing sources.
- Presentation (style of writing and readability) and treatment (including level).
- Special features (e.g. details, logical and accurate index, bibliography, footnotes, pictorial representations, diagrams, maps, and drawings).
- Appropriate medium, suitability of form to content.
- Format of the material, with an emphasis on acquiring digital formats whenever appropriate.
- Cost-effectiveness of owning versus access.
- Inter-disciplinary needs.
- Demand; frequency of inter-library loan (ILL) requests for material on the same or similar subjects.
- Price/relative cost of material in relation to the budget and other available material.

4.2 Donations

Gifts of library materials to the Libraries are encouraged. Manuscript and archival material and all formats of material related to the heritage of South Africa and the continent are especially welcome. Gifts are added to the collection based on evaluation of their relationship to collection needs. Donors should contact the Deputy Director: Technical Services if they have materials they wish to donate or questions about the appropriateness of a gift.

The Libraries will acknowledge a donation but cannot provide an appraisal or estimate of the value of the donated material. The Libraries retain the right to dispose of donated material as they deem fit. Gift materials that are not added to the collections are returned to the owner, if requested. Otherwise they may be donated to other libraries, schools or charities; sold to benefit the Libraries; or discarded. Manuscript collections are covered by terms agreed between the donor and UCT Libraries in a formal deed of gift.

4.3 Serials (Periodicals/Journals)

Where an electronic version available at a reasonable price, it will be preferred over the print version, because it provides broader, faster, and timelier access to a greater number of users.

Requests for new titles should be fully motivated by academics with the subject librarian. New subscriptions will be considered with the greatest care. In most cases a new subscription will have to be offset by the cancellation of an existing one. However, cancellations should also have the support of affected academics. .

In addition to the general guidelines, the following criteria are used when selecting serials:

- The academic program(s) that will benefit from the subscription, and the program'(s)' relative size and academic level.
- The journal's reputation.
- Whether the journal is considered to be a core journal; for example, if it is indexed in Web of Science or IBSS.
- Whether the electronic journal is subject to a publication embargo date.
- ISI and other recognised impact factors as a criterion of scholarly impact and usefulness.

4.4 Digital Resources

- Content should be relevant for more than just a few users.
- Overlap with existing titles should be kept to a minimum.
- There should be minimal requirement for special set up or software installation on specific PCs.
- Electronic resources should be networked.
- The electronic resources should be continuously updated (rather than one-off purchases of data), except for archival material.
- A preference is given to multi-campus off and on campus access using EZProxy to manage access rather than being limited to particular campuses, specific groups of users or individual PC's.
- Any copyright and licensing restrictions must be considered.
- Availability of various file formats, i.e. Word, PDF, or XML.
- Interoperability with bibliographic utilities such as RefWorks.
- The vendor to supply COUNTER-compliant usage statistics where possible.

4.5 Electronic Books / Reference Works

The following guidelines should be considered for the purchase of online books and reference works.

- Guaranteed ownership in perpetuity.
- Low or no cost annual hosting fees.
- Availability of remote access via IP authentication.
- Availability of usage statistics, preferably COUNTER-compliant.
- Administrative access to usage statistics at any time (not just "statistics by request").

- Ability to download and read offline.
- Multiple simultaneous users.

4.6 Other Material Types

4.6.1 Theses

The Libraries act as custodian of the master's and doctoral theses submitted in fulfillment of degrees awarded by the University. Honours theses are collected selectively by the Libraries, as arranged between an academic department and a specific library.

Theses from other South African universities can be ordered via Interlibrary Loan. Theses from foreign universities are collected very selectively, as published monographs are preferred.

4.6.2 Textbooks and laboratory manuals

The Libraries do not normally buy textbooks or laboratory manuals. However, recommended works may be bought for Short Loan. The content will determine whether textbooks should be purchased for the collection. Instructor's manuals are also not purchased by the Libraries.

4.6.3 Short Loan materials

The Short Loan Collection consists mainly of heavily-used material. Books or journal articles may be placed on Short Loan for a specific period of high demand. Demand and the type of material determine the loan period.

Multiple copies of a title may be bought, depending on anticipated usage and overall value to the collections.

Academics are encouraged to place books timeously on Short Loan.

4.6.4 Replacements

Books: The Libraries are responsible for making decisions regarding the replacement of lost, damaged or missing library materials. The librarian will determine whether to replace a specific book guided by the general guidelines for selecting and de-selecting books.

Serials: Acquisitions staff will identify lost, damaged and missing serials and will take steps to replace these materials. Decisions to replace annual, biennial and irregular serials will be handled according to the policy for monographs.

- Does the material being replaced meet general library collection policy?
- Does the frequency of use justify replacement?
- Is the periodical readily available elsewhere in the region or nationally, or even internationally?
- Are the electronic full-text sources available to library users?

4.6.7 Paperbacks

The paperback version of a book, rather than the hardback, will usually be bought if it is available.

4.6.8 Purchases for the Libraries by academics

Buying opportunities may arise while academics are at conference or overseas. The Libraries will reimburse such purchases only if they fall into the collection development guidelines and the Libraries have formally authorised the individual concerned to select materials for the collection.

The relevant forms and original documents showing proof of payment need to be submitted to Acquisitions before reimbursement will be considered.

4.6.9 Films

For reasons of preservation and ease of use, films will be acquired in the digital videodisc (DVD) format whenever available. Permission in writing must be obtained for the streaming of films.

4.7 Collections Maintenance

The continuous review of library materials is necessary as a means of maintaining an active collection of current interest to users, as well as ensuring that valuable and useful research materials are kept.

Weeding, or de-selection is quality control of the collection in which outdated, inaccurate and worn-out materials are eliminated. The space available in each of the libraries also makes de-selection necessary. Librarians are responsible for conducting an ongoing de-selection effort in their areas of collection responsibility and for maintaining the quality of the entire collection. Re-location to a remote storage area is also an option.

Some general guidelines for de-selecting print materials include the following:

4.7.1 Books:

- Duplicates are de-selected within ten years of publication date except in cases of continued high demand.
- Superseded editions are routinely deselected from the collection.
- Materials which cannot be replaced, repaired or rebound or for which the cost of preservation exceeds the usefulness of the information contained are deselected.
- Currency of information is extremely important in some fields such as health sciences, technology and business.
- Older materials must be regularly de-selected so that outdated information is removed.
- Material that has not been used (based on circulation and browsing statistics) may be de-selected after 10 years of inactivity. The long-term usefulness of the work will determine whether lack of use is a valid criterion for de-selection, or relocation to remote storage.

4.7.2 Serials:

- Incomplete and short runs of a title may be withdrawn, particularly when the title is not received currently.
- Titles containing information that is not useful in the long-term, such as newsletters and trade magazines, usually have automatic discard patterns established such as "Latest two years only retained".

5. Related Policies, Guidelines and Procedures

- University Collections' Stewardship Policy to Promote the Management and Use of Physical and Digital Research Collections. (in draft).
- Special Collections and Archives: Collection Development Guidelines