

Charles Darwin University Library and Information Access

Collection Development Framework

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1. Context

CDU Library is the primary scholarly information service provider for the University. The Library provides and promotes access to information resources and services integral to the scholarly endeavours of students, staff and researchers of the University, the community and region.

The development of the library collection, in all formats, is an inclusive process involving CDU staff and student users. This document is intended to clarify the framework and guidelines for purchase and provision of access to resources in all formats for the Charles Darwin University community.

The information industry is transforming rapidly, impacting upon the creation, use, maintenance and preservation of scholarly resources. Exponential growth in the volume of electronically published resources is paralleled by a significant volume of print publishing. The Library must provide effective navigation and access to increasing numbers of electronic and physical collections and services.

The challenge faced by the Library to provide access to scholarly information at the point of demand is great. The wide geographic dispersal of our clients and their increasing expectation that access to resources should be available from anywhere and at any time makes it imperative that as much as possible is provided in electronic format.

It is also important to acknowledge that information resources have a useful lifespan and the sheer volume of information clients have to contend with in the modern world can be an impediment to learning. Our collection needs to reflect and support the teaching, learning and research activities of the University, and as these change, so will our collection. At the Library we understand the transient nature of much of our collection. Recognising this, the Library aims to support the scholarly information needs of our clients, through the provision of a high quality relevant collection of resources. Resources that are superfluous to the University's teaching, learning and research activities will be removed to make way for new more essential purchases.

CDU research outputs, other university publications and information resources in areas of special interest to the Northern Territory may be considered as suitable for longer term preservation.

This document will be reviewed at least annually by the Information Resources Development Working Group to ensure currency and fit to purpose. This review will happen at least once in every year and recommend actions to the Library Executive Team.

2. Purpose

The Library Collection Development Framework guides the provision of relevant scholarly information directly supporting the learning, teaching, research and scholarship endeavours of the University.

3. Definitions

3.1. General

3.1.1. Library

The Library is CDU Library and Information Access (LIA), and comprises the staff and services delivered from our three campus libraries at Casuarina, Palmerston and Alice Springs.

3.1.2. Clients

Clients is anyone with access to some set of library services. Clients include library members, associate members, the general public, libraries and others.

3.1.3. Library members

Library members are clients that are current members of the Library such as staff and students of CDU, members under reciprocal arrangements and authorized persons under the CDU / NT Government partnership agreement. All current CDU students and staff are automatically library members. This does not include associate members of the Library such as community members or Alumni. Library members have access to all library resources. For a full list of our membership types please visit the library website <http://www.cdu.edu.au/library>.

3.1.4. Associate members

Associate members are clients such as community members or Alumni. Associate members have access to most library services, but with some exceptions e.g. no access to licensed online resources. For a full list of our membership types please visit the library website <http://www.cdu.edu.au/library>.

3.1.5. Information resources

Information resources are information services or containers the Library can provide access to that is useful to support the provision of library services to clients.

3.1.6. Physical resources

Physical resources are information resources in physical form. Books, print journals, CD-ROMs, DVDs etc.

3.1.7. Online resources

Online resources are information resources in digital form accessed online. These may be licensed or free resources.

3.1.8. Free resources

Free resources are information resources that are freely available with no

need for a contract or purchase. When the library provides access to free resources, it will undertake reasonable steps to ensure access is provided within copyright and any other embargoes and restrictions that might apply. Some examples of free resources are open access research, materials published under creative commons licenses, materials communicated from government websites where the right to copy them is explicitly given.

3.1.9. Licensed resources

Subscription resources are resources that have an ongoing financial commitment such as periodicals, e-book platforms, reference materials and where a contract is normally provided.

3.1.10. E-Book

An online resource that mimics a book in layout and content.

3.1.11. Periodical

An item which is published on a regular basis, such as journals, magazines, and newspapers.

3.1.12. eSpace

The CDU institutional Repository. Further information is available at <http://www.cdu.edu.au/library/repository/repository.html>

3.1.13. Executive Team

The Executive Team (ET) is comprised of the Director LIA, the Associate Director Client Services and the Associate Director Resources and Technology. Responsible for approving collection development recommendations from the IRDWG.

3.1.14. Liaison and Information Literacy Librarian (LILL) team

This team of subject librarians is principally responsible for making collection development recommendations.

3.1.15. Library Representatives (LR)

These are academic or research staff and are nominated from each teaching and research area. They provide the main contact point between a LILL and Library members in their subject area.

3.1.16. The Library Resources and Technology (RT) team

These are the technical services and technology support staff and are principally responsible for providing collection development services to support the decisions of the LILL team.

3.1.17. The Library Information Resources Development Working Group (IRDWG)

This comprises the LILL team, Research Services Coordinator, Electronic Resources Coordinator and the Associate Director Resources and

Technology (chair). It provides a forum for significant collection development recommendations to be developed with direct input from stakeholder groups. IRDWG reports recommendations to ET for consideration.

3.1.18. Information Resources Allocation

The Information Resources Allocation (IRA) is the annual budget provided by the university to LIA for the provision of access to information resources.

3.1.19. Course Accreditation and Re-accreditation Process

The Course Accreditation and Re-Accreditation Process (CARP) at CDU facilitates the effective and efficient accreditation and re-accreditation of CDU Academic Programs. A component of CARP is the timely analysis of information resources needs to support courses against what LIA currently provides and making recommendations for any identified collection development needed.

4. Collection development principles

4.1. Library

- 4.1.1.** The Library is the gateway to scholarly information supporting teaching, learning and research at CDU.
- 4.1.2.** The Library discovers, acquires, preserves and provides flexible access to scholarly information to meet client needs.
- 4.1.3.** The Library provides and promotes a range of services for clients, both on campus and from remote locations that support teaching, learning and research at CDU.
- 4.1.4.** Library collections are actively managed during their entire lifecycle to ensure they remain relevant to current CDU needs. This development is guided by the university Course Accreditation and Re-Accreditation process (CARP).
- 4.1.5.** The Library participates in collaborative and collective arrangements with library services, vendors, publishers, government or industry partners where these further the interests of CDU.

4.2. General

- 4.2.1.** The Library upholds the equal and equitable rights of citizens to information regardless of age, race, gender, religion, disability, cultural identity, language, socioeconomic status, lifestyle choice, political allegiance or social viewpoint.
- 4.2.2.** The Library adopts an inclusive approach in developing and implementing policies regarding access to information and ideas that are relevant to the library and information service concerned, irrespective of the controversial nature of the information or ideas.
- 4.2.3.** The Library ensures that Library members have access to information from a variety of sources and agencies to meet their needs and that information needs are met as independently of location and ability to pay as much as possible.
- 4.2.4.** The Library supports developments in the information management industry that increase public access to, and re-use of, information independent of capacity to pay such as Open Access publishing and Creative Commons licences.
- 4.2.5.** The Library caters for interest in contemporary issues without promoting or suppressing particular beliefs and ideas.
- 4.2.6.** The Library protects the confidential relationships that exist between it and its clients.
- 4.2.7.** The Library resists attempts to restrict access to information and ideas while at the same time recognising that powers of censorship are legally vested in state and federal governments.
- 4.2.8.** The Library observes laws and regulations governing access to information and ideas but advocates amendment of those laws and regulations which inhibit library and information services meeting the obligations and responsibilities outlined in this framework.

5. Collection development practices

5.1. Expenditure

- 5.1.1.** The Library will expend IRA funds for information resource acquisition in subject areas recognising the level of need.
- 5.1.2.** The Library will maintain an appropriate balance between resources expenditure on print and electronic collections. Normally the amount spent on periodicals will not exceed 70% of the total budget.
- 5.1.3.** The library will expend funds on some tools and services that simplify and streamline discovery and access to resources as well as expenditure on information content alone.
- 5.1.4.** All requests for expenditure on new periodicals and online resources subscriptions will be submitted to the IRDWG accompanied by supporting documentation explaining the rationale for selection.
- 5.1.5.** All information resources will be ordered and purchased by the Library RT staff, using preferred Library suppliers and taking advantage of the significant discounts that have been negotiated with suppliers. In exceptional circumstances, alternatives may be negotiated.
- 5.1.6.** If any CDU academic or library staff member wishes to purchase material directly, for subsequent reimbursement by the Library, prior approval must be obtained from the Associate Director, Resources and Technology.
- 5.1.7.** As the following expenditure points are met or exceeded for a School account the relevant LR should be advised.
 - 5.1.7.1. 50% expended
 - 5.1.7.2. 75% expended
 - 5.1.7.3. 100% expended

5.2. Access and licenses

5.2.1. Access

- 5.2.1.1. Print and electronic collections are made accessible to all Library members wherever possible. In some cases, embargoes, copyright or other legal restrictions and license agreements or other conditions may restrict access to a resource.
- 5.2.1.2. The Library will, where possible and appropriate, offer online access to resources in preference to providing print. The wide geographic dispersal of our clients and their increasing expectation that access to resources should be available from anywhere and at any time makes it imperative that as much as possible is provided in electronic format.
- 5.2.1.3. The Library aims to provide walk-in access for clients to all information resources where possible.
- 5.2.1.4. The Library will use technology effectively to discover, manage and simplify access to scholarly resources both available electronically online and in physical collections.
- 5.2.1.5. The Library endeavours to ensure appropriate access to Library resources is provided for Library members, associate members and the public with special needs.
- 5.2.1.6. The Library aims to make all information resources discoverable online.
- 5.2.1.7. The Library aims to make information resources discovery and access as simple and user friendly as possible.

5.2.2. Licenses

- 5.2.2.1. The Library will monitor licensing conditions of information resources and consider changing providers whenever more suitable access becomes available.
- 5.2.2.2. CDU licensing preferences:
 - 5.2.2.2.1. The Library should be able to provide access to all Library members.
 - 5.2.2.2.2. The Library should be charged for access to licensed resources on a per-use, concurrent use or equivalent full time student number basis.

- 5.2.2.2.3. The Library should be able to negotiate perpetual access to resources where needed.
- 5.2.2.2.4. The Library should be able to provide access to the small number of walk in associate members and public users we have.
- 5.2.2.2.5. The Library should be able to provide materials for document supply to other libraries on a cost-recovery basis.
- 5.2.2.2.6. The Library should be able to provide access to small numbers of staff in organisations engaged in research and commercial partnerships with CDU.
- 5.2.2.2.7. The Library should always be able to provide access to resources online-only where a suitable online resource exists and relevant academic and library staff deem this appropriate.
- 5.2.2.2.8. The Library should be able to easily gather meaningful statistics on the usage of online resources especially access to full-text versus other hits. Usage of standard instruments such as COUNTER and SUSHI are highly regarded.
- 5.2.2.2.9. All library sites are treated as a single site for online resource access purposes.

5.3. Selection

5.3.1. General

- 5.3.1.1. Library members are able to recommend information resources for selection into collections.
- 5.3.1.2. LILL team members, in consultation with academic staff are responsible for:
 - 5.3.1.2.1. Ensuring the Library collections reflect and support the teaching, learning and research needs of CDU, through a rigorous selection process.
 - 5.3.1.2.2. Monitoring the expenditure of the Information Resources Allocation (IRA) within their assigned areas.
- 5.3.1.3. RT staff will ensure advice of new and relevant resources is regularly distributed to the LILL team to inform the selection process.

5.3.2. Essential and recommended text books

- 5.3.2.1. The Library will purchase a maximum of two print copies of the prescribed text for each campus library where the subject is taught.
- 5.3.2.2. The Library will purchase one print copy of recommended texts for each campus library where the subject is taught.
- 5.3.2.3. The Library will try to provide access to one e-book copy of texts where a suitable e-book exists.
- 5.3.2.4. The Library will not place resources on E-Reserve where we can provide an e-book.

5.3.3. Licensed resources

- 5.3.3.1. The IRDWG will review all requests for licensed resources.
- 5.3.3.2. In the case of licensed resources such as e-books and others purchased via a software platform or single license, the IRDWG may support the regular purchase of resources from the platform without need for review by the IRDWG of each individual resource.
- 5.3.3.3. All requests for resources must be accompanied by a completed licensed resource request form for assessment. All requests will be considered individually, and may require the cancellation of resources

of similar value.

5.3.3.4. Licensed resources available electronically are preferred. Print subscriptions will not be considered unless a compelling need for the print format can be demonstrated.

5.3.3.5. Where possible duplication of licensed resources will be eliminated.

5.3.3.6. The Library will try to negotiate license agreements that are aligned with our preferred licensing conditions.

5.3.4. Free resources

5.3.4.1. Free resources are able to be selected and included by the LILL team with no need for further consultation.

5.3.5. Expensive physical resources

5.3.5.1. When committing more than \$500 for a single physical resource, the relevant LR must be advised.

5.3.5.2. The Library may place additional access restrictions on expensive physical resources of value greater than \$1000.

5.3.6. Donations

5.3.6.1. No donated material will be accepted, where the donor wishes to be identified, unless the donor has signed the donations 'Waiver Form' permitting the Library to retain or dispose of the material as it sees fit.

5.3.6.2. Anonymous donations are accepted with the condition that the Library reserves the right retain or dispose of it as it sees fit.

5.3.6.3. To be accepted, donated resources must be assessed by the relevant LILL, as supporting the teaching, learning or research needs of CDU. The relevant LILL will make the ultimate decision on the selection of all books and single physical resources.

5.3.6.4. All offers of periodical donations must be forwarded to the IRDWG for consideration. Periodical donations will only be accepted where they are relevant to the business development, teaching, learning or research needs of the university.

- 5.3.6.5. Incomplete, inactive print periodicals or back issues will usually only be accepted where they fill in gaps in the existing collection.

5.3.7. Legal deposit

- 5.3.7.1. The library is not bound by any Legal Deposit agreements.
- 5.3.7.2. The Library may work cooperatively with other organisations such as the Northern Territory Library to assist them to meet their legal deposit obligations.

5.4. Collections

5.4.1. Main

- 5.4.1.1. Print books and single physical resources will not be placed in special collections unless specifically requested.

5.4.2. Periodicals

- 5.4.2.1. Print periodicals will not be placed in special collections unless specifically requested.

5.4.3. Short term loan

- 5.4.3.1. When physical resources are in high demand, a copy may be requested for location in any of the Library Short Term Loan collections. Wherever possible an electronic version will also be purchased and provided online.

5.4.4. E-Reserve

- 5.4.4.1. If no suitable electronic version of high demand materials is able to be appropriately provided through other means, sections of the resources may be scanned and made available via the Library E-Reserve service where allowed by copyright.

5.4.5. Reference

- 5.4.5.1. The Reference Collection provides access to specific and current information e.g. dictionaries, encyclopaedias, handbooks and guides.
- 5.4.5.2. Reference resources available electronically are preferred where appropriate to the need.

- 5.4.5.3. Where Reference resources are only available in print format, copies for each campus Library will be purchased as necessary.

5.4.6. Special

- 5.4.6.1. Special Collections provide access to rare material or material of special significance to CDU interests and the Northern Territory community.
- 5.4.6.2. The Library at its discretion may make special collection resources available online in eSpace where copyright and access restrictions permit.
- 5.4.6.3. Some special collections resources are restricted from general use due to fragility of the material or cultural and other embargoes. Access to these resources will be at the discretion of the Director LIA within copyright and other legal requirements.
- 5.4.6.4. Resources in special collections are not available for loan via document delivery.

5.4.7. Theses and research outputs

- 5.4.7.1. The Library will only accept theses where thesis access forms have been completed by the author.
- 5.4.7.2. The Library will manage and provide access to CDU theses in print and / or electronic collections.
- 5.4.7.3. Masters Degree theses (Research) or higher will always be made accessible via the Library.
- 5.4.7.4. Bachelor (Honours) theses may be added to the Library collection, when a signed request from the relevant Head of School to the relevant LILL is received.
- 5.4.7.5. Theses may have embargoes restricting access. The library will respect any embargoes on theses and endeavour to ensure appropriate access control is provided.
- 5.4.7.6. Theses held by the Library will be placed in eSpace and made available to the international research community via the Australian Digital Theses programme where copyright and access restrictions permit.
- 5.4.7.7. CDU research papers and other published research outputs will be placed in eSpace and made available to the international research

community where copyright and access restrictions permit.

5.4.7.8. Theses and research outputs are normally candidates for long term preservation and the Library will endeavour to ensure appropriate preservation regimes are in place.

5.4.7.9. The Library creates one microform version of all print theses and will continue to do so until digital preservation is proved sufficiently sustainable and robust at CDU.

5.4.8. Exam papers

5.4.8.1. Past examination papers will be made available online for library members to access once all examinations using them are closed, and after copies are received in the library and they have been converted to suitable electronic form.

5.5. Document delivery and supply

5.5.1. Document delivery

- 5.5.1.1. The Library will provide document delivery to academic and research staff, postgraduate (research) students and those studying coursework master degrees to supplement collections.
- 5.5.1.2. General CDU staff may also request document delivery services at the discretion of the Library.
- 5.5.1.3. Document delivery may be made available to other library members on a fee for service basis at the discretion of the Library.
- 5.5.1.4. When recently published books or single physical resources are requested by library members the Library may purchase a copy.
- 5.5.1.5. If a book or single physical resource of any age is requested regularly and available at reasonable commercial cost the Library may purchase a copy.

5.5.2. Document supply

- 5.5.2.1. The Library will participate in local and national inter-lending agreements with other libraries where it is appropriate.
- 5.5.2.2. The Library also lends material to other libraries. The scope of material available to loan from the collection is at the discretion of the library.

5.6. De-Selection

5.6.1. General

- 5.6.1.1. De-selection of library resources is essential to ensure an active, scholarly library collection. De-selection provides quality control for the collection by elimination of outdated, inaccurate, and worn-out resources and resources that are outside the teaching and research profile of the university.
- 5.6.1.2. The LILL team, in consultation with academic staff, are primarily responsible for evaluating and maintaining quality of the collection and recommending resources for de-selection.
- 5.6.1.3. The LILL team in consultation with academic staff are able to de-select all information resources except licensed resources in all collections except special collections without further consultation.
- 5.6.1.4. The IRDWG is responsible for considering and recommending to ET de-selection of all licensed resources.
- 5.6.1.5. The RT team are primarily responsible for providing de-selection of the resources identified by the LILL team from library services.
- 5.6.1.6. Resources may be regularly assessed for outdated or inaccurate information and removed if deemed necessary. The profiling of library resources in the CARP process will provide one mechanism for ensuring a regular review of resources in active subject areas takes place.
- 5.6.1.7. Resources which cannot be repaired or rebound or for which the cost of preservation exceeds the value of the information contained are de-selected.
- 5.6.1.8. Any client can recommend a resource be considered for de-selection, and the request will be directed to the appropriate LILL for consideration.
- 5.6.1.9. Physical resources missing for more than 18 months will be replaced or written off (note: missing status in the library catalogue for a period of 1 year is equivalent).

5.6.2. Books and single physical resources

- 5.6.2.1. At the discretion of the Library a single, 'last copy' of print physical resources eligible for removal may be retained, unless held at another

Australian library and available via Document Delivery.

- 5.6.2.2. Superseded editions of print physical resources will always be de-selected unless they continue to provide valuable, relevant information.
- 5.6.2.3. Updated editions of guidebooks, handbooks, almanacs and directories etc will normally be de-selected on receipt of a new issue.
- 5.6.2.4. Physical resources that have usage statistics available, which have not been used for five years or more may be de-selected without further consultation.

5.6.3. Print periodicals

- 5.6.3.1. Print periodical titles identified as only useful in the short term, such as newsletters and trade magazines may have automatic de-selection patterns established such as "Current year only".
- 5.6.3.2. To save space, print periodical resources which are replaced by microfilm may be de-selected.
- 5.6.3.3. Duplicate issues of print periodicals may be de-selected when a volume has been bound.
- 5.6.3.4. Print periodicals may be recommended to IRDWG for de-selection due to budget constraints.
- 5.6.3.5. Print periodicals may be recommended to IRDWG for de-selection due to an appropriate online version becoming available.

5.6.4. Licensed resources

- 5.6.4.1. Licensed resources with usage data available, which have low usage data may be recommended to the IRDWG for de-selection.
- 5.6.4.2. Licensed resources may be recommended to IRDWG for de-selection due to budget constraints.
- 5.6.4.3. One copy of licensed resources may be recommended to IRDWG for de-selection due to duplication of access via suppliers.

5.7. Preservation

5.7.1. General

5.7.1.1. The Library will endeavour to ensure that resources in all forms that are of special significance to CDU and the Northern Territory community have appropriate preservation and access measures in place.

5.7.1.2. The Library may choose to preserve resources by donation or sale to appropriate cultural organisations demonstrably able to ensure their preservation.

5.7.2. Damaged physical resources

5.7.2.1. The LILL team will appraise physically damaged resources and recommend suitable action:

5.7.2.1.1. Replacement: for relevant and commercially available resources.

5.7.2.1.2. Repair: for relevant material not commercially available.

5.7.2.1.3. Copy: obtain a copy from another library for relevant material not commercially available.

5.7.2.1.4. Removal: for low use or low relevance physical resources.

5.7.3. Missing physical resources

5.7.3.1. The LILL team will appraise missing resources and recommend a suitable course of action:

5.7.3.1.1. Replacement: for relevant and commercially available resources.

5.7.3.1.2. Copy obtained from another library: for relevant material not commercially available.

5.7.3.1.3. Removal: purge the records for low use or low relevance physical resources.

5.7.4. Binding

5.7.4.1. Print periodical volumes identified by the IRDWG as suitable for binding will be rebound after all volume issues have been received.

5.7.5. Licensed resources

5.7.5.1. Licensed resources identified by the IRDWG as suitable for long term access will have perpetual access clauses negotiated in licensing agreements. Assurance of security of long term access by participation in organised preservation schemes such as Portico, LOCKSS, and

CLOCKSS will be highly regarded.

5.7.6. Local digital collections

- 5.7.6.1. Local digital resources identified as suitable for long term access will be placed into preservation collections with defined terms of reference.
- 5.7.6.2. eSpace is the preferred system for managing local digital collections online.

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