



LIS

COLLECTION DEVELOPMENT GUIDELINES

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1 Purpose

The acquisition and maintenance of the library's collection is a primary function of the library's strategic goals, to develop balanced information resources and services to fulfil academic expectations in the delivery of knowledge resources. The Collection Development Guidelines (CDG) provide guidance on procedures for the acquisition of resources (print and electronic) to support teaching, learning and research at the North-West University

2 Scope and Content

The Guidelines include the selection, acquisition, processing, retention, preservation, weeding, and discarding of all material formats within the scope of the accepted academic structure of the North-West University (NWU).

These guidelines identify all matters relating to collection development and management practices and procedures for the NWU Library and Information Services (LIS). Further, the guidelines:

- Assist in the determination of priorities when financial resources are limited
- Provide a basis for the fair allocation of resources to all departments, based on the information budget formula, and
- Ensure relevance and continuity in collection maintenance and development.

3 Definitions

- **“Collection”** means different types of information resources serving different needs.
- **“Information resources”** means:
 - Printed:
 - Books
 - Periodicals (Journals, Magazines and Newspapers)
 - Theses and Dissertations
 - Monographic series
 - Compact discs (CD - Audio and Non-Audio)
 - Digital Video Discs (DVD - Audio and Non-Audio)
 - Videos
 - Audiotapes
 - Records
 - Electronic:
 - Books
 - Journals
 - Reference works
 - Theses and Dissertations
 - Databases
- **“New acquisitions”** means information resources that have just been received and added to the collection.
- **“Reference collection”** means information resources that are used for quick information provision (i.e., dictionaries, encyclopaedias, etc.).
- **“Selector”** – means the person requesting the purchase of material -
- **“LMS”** means the NWU libraries' Library Management System.
- **“SANLIC”** means South African National Licensing Consortium
- **“Special collections”** means, information resources that present a historical perspective of a field, such as Africana, Theses and Dissertations, Rare books, Government publications, etc.

4 Suppliers

The following general criteria shall be applied in approving suppliers for both printed and electronic information resources, also for locally and internationally available resources:

- Relatively reduced pricing on a comparative basis cheaper supplier, with good discounts.
- The physical state of print resources should be of high quality (e.g., quality of pages, binding, how physically intact individual items are, etc.)
- Delivery within 6-8 weeks of ordering
- Reliable and trustworthy
- Suppliers that respond favourably to urgent requests
- Suppliers that hold the University's subjects of interest and focus areas
- Timeous reporting on outstanding orders
- Contribution to the big body of knowledge, standards and practice.

- No orders will be placed from predatory publishers.

5 Allocation of Information resources budget

5.1 Monographs

The Library determines budget allocation to Faculties. The Deans determine the allocation to Departments.

Determining the Book budget is done according to a formula using the following variables:

5.1.1 Distribution of Book budget

- Research output – 30%
- Average book price – 15%
- Number of subject groups/schools – 15%
- FTEs – 30% (20% for undergraduates and Honours and 10% for Master's and PhD)
- Historical expenditure (previous year only) – 10%

5.1.2 Additional funds and Faculty Librarians' fund

0.06% of the IR budget will be allocated to ILL requests. The percentage amount will be doubled for new programs. The Additional fund also includes courier and customs costs and bank charges based on the previous year's expenditure.

The Faculty Librarians' Fund is 0.60% of the IR budget. Allocation of these funds are guided by factors such as Dependency on books and User statistics per faculty (patron activity according to faculty) and consider INHOUSE use statistics.

These calculations are done before allocating the book budget among the eight (8) faculties.

5.2 Electronic Resources and Periodicals

The budget for Electronic Resources and Periodicals is determined by obligations calculated by the Administrative Officer based on a preliminary quote from suppliers

6 Acquiring information resources

6.1 Printed information resources

6.1.1 Print Books (including audio-visual materials)

6.1.1.1 Selection criteria

The following criteria shall be used to select relevant information resources:

- Generally, where a choice must be made between different formats for the same resource, consideration must be given to:
 - The price/relative cost (in relation to the available budget and other available resources)
 - ownership or access
 - anticipated level of use
 - availability of preferred format by the selector; and
 - space restrictions.
- Authority of Authors: Purchase information resources written by reputable authors.
- Currency: Purchase the most recent publications/editions, except when the selector requests a specific edition.
- Relevance to the curriculum and appropriateness to the user
- Timeliness and lasting value of a resource
- Strength of present holdings in the same or similar subject area
- Demand/frequency of ILL requests for titles on the same or similar subject
- Quality: Information resources that are of high quality in content (style of writing, eligibility, etc.) and physical format
- Durability:
 - Weigh the cost of paperback versus hardback
 - The number of copies requested; and
 - The potential number of users who will use a resource in question, will indicate the potential wear and tear of a resource.

- Availability: Purchase second-hand copies if the required copy is out of print. (Inform the selector accordingly to get his/her approval for acquiring a second-hand copy)
- Urgent recommendations are given preference and must be ordered within 24 hours of receipt of the request.
- Any information resources requested by patrons that are only available on other campuses.

6.1.2 Print Journals

6.1.2.1 Subscription criteria

The Library aims to establish a balanced collection of journals for every Faculty/School to support teaching, learning and research.

Evaluation of subscribed renewals is done by faculty on an annual basis.

Justification for new requests shall be considered based upon the following criteria:

- Support curriculum development
- Support of research interests of NWU
- Support of current awareness for Faculties and students
- Support the collection development process
- Cross-disciplinary usefulness
- Scholarly versus popular requests by library users
- Whether a periodical has a local, regional or national value
- Whether a subject area needs to be expanded to balance the collection
- Accredited journals
- Budget considerations, the subscription price and annual expenses of the requesting Department
- Back-issues of periodicals can be considered, provided there is demand for them and funds allow
- The standing of publishers
- Reputation of contributors/authors of articles
- Whether the title is available in electronic format
- Establish if the print/online combination is available and compare the cost with that of purely print and purely electronic

6.1.2.2 Cancellation criteria

Cancellations will apply based on the following circumstances:

- If department/school requests cancellation
- Continually low usage statistics despite marketing efforts (exceptional cases should be taken into consideration e.g. if the enrolment figures for a specific programme which uses a title in question are low)

Special consideration must be given to titles that have interdisciplinary content or when the NWU is the only subscriber in South Africa, or when the title is deemed an essential title for the broader NWU community.

6.2 Electronic information resources

All e-resource trials are coordinated by the Senior librarian: Electronic Resources Management & Periodicals, to ensure that no duplication occurs.

All evaluations/recommendations are documented by the Senior librarian: ERM & Periodicals on the NWU central system (LMS), and must indicate whether sufficient funds are available, whether the publishers' licenses meet our requirements and whether there is a SANLiC deal available.

Trial periods are always to be scheduled during a time suitable for all campuses and are trailed by all prospective users. This is to ensure that there is optimal trialling of the product.

In case the budget is not sufficient to accommodate new subscriptions for electronic resources, only the relevant Faculty librarians undertake the trials and add requests to the library's wish list if deemed relevant.

6.2.1 Databases

6.2.1.1 Criteria for selection

The same criteria as those outlined for books and journals apply to the selection of electronic databases, together with the following:

- Available budget for databases specifically
- Subject coverage: is it relevant to the research focus of the NWU
- Academic worth

- Indexing: Where content is indexed, completeness of indexing
- Quality of academic language
- Uniqueness of content
- Overlap analysis: that is determining whether the content is not already available freely or in currently subscribed databases
- Functional criteria:
 - Search platform – ease of use, help functionality, use of search strategies
 - Full-text availability
 - Compatibility with reference manager products (i.e., EndNote, etc.)
 - Can multiple results be checked
 - Can result lists be emailed or printed
 - Support from vendor/publisher
 - Branding and customisation

6.2.2 eBooks

The selection criteria for electronic books are the same as for print titles. Preference is given to e-book purchases upon availability for library use. The library purchases an e-book unless the selector states otherwise. The library buys one e-book and one print per campus for prescribed books.

e-Books that are freely available on the web could also be added to the collection depending on the relevance of the content and the stability and reliability of the hosting site. The library will purchase the online version if it's available for library use. The e-books will be the library's preference

6.2.2.1 Types of Books for which electronic format would be preferred:

- Reference works
- Books with added functionalities in e-format
- Texts which frequently undergo revisions
- Textbooks/handbooks (If a library model is available)
- Subject collections

6.2.2.2 Selection criteria

- Price
- Available funds (unspent book budget may be earmarked for eBooks/e-collections)
- Ensuring that the e-title is for library use -- most of the textbooks are still not available for use in/by libraries and can only be downloaded on personal tablets, cell phones etc.
- Ownership vs subscription - perpetual access
- Multiple/simultaneous users (Unlimited access) unless specified differently by the recommender and taking pricing into consideration
- Availability of MARC records
- Fully integrated into the library catalogue
- No DRM (Digital Rights Management)
- No limit on emailing, printing, and downloading
- Indexed and searchable on chapter level
- Usage statistics
- No time limits
- Off-campus access (Proxy server)

6.2.3 eJournals

6.2.3.1 Individual subscriptions

6.2.3.1.1 Selection criteria

- Same criteria as for print journals
- New subscriptions should be online only, depending on the price difference and price/value of the cancelled title.
- Preferably provide access via IP range
- Contain all the content available in print versions
- Meet acceptable visual standards if offering images, scientific and mathematical symbols, and formulae
- Be published in a timely manner

6.2.3.1.2 Cancellation criteria

- On request of department/school

- Low usage
- No cancellation when title forms part of a subscribed package
- During a review of the Library's resource coverage for a specific subject area, when duplication is discovered
- During course or program assessments if a resource no longer supports the needs
- When serious access problems occur, such as technical issues

6.3 Licensing

All e-resources have licenses that need to be scrutinised to ensure that there is compliance with the different terms and conditions. Licences are sent to Legal Services at the Institutional Office for approval to be signed on behalf of the NWU by an authorised person (depending on the value of the contract).

Special restrictions (e.g., no ILL or restrictions regarding downloads, etc.) must be passed on to the Senior Librarian: ERM & Periodicals to add to resource record in LMS.

Careful consideration should be given to non-SANLiC licenses.

6.3.1 Licensing conditions

- Databases and platforms must be EzProxy compatible.
- Perpetual access rights to the period paid for (the subscription period) after cancellation.
- Archival access rights related to perpetual access should provide for the hosting of archival material by the vendor or publisher.
- Authorised users should be clearly defined especially regarding remote access, walk-in users, alumni, etc.
- Electronic Course Reserves should be allowed.
- ILL should be allowed.
- Support and ongoing training by Supplier/Publisher.
- E-resources will only be purchased if supported by the available infrastructure.
- Sufficient funding for purchasing the database and sustaining the subscription must be available.
- Preference to be given to a user-friendly search interface, including ease of use, advanced search facilities, the efficiency of retrieval and speed.
- Coverage, including interdisciplinary coverage, number of peer-reviewed titles and overlap with existing database subscriptions.
- Usage statistics should be available for download (preferably in COUNTER-compliant format)

7 Collection management

7.1 Duplicates (print & electronic)

- Fiction: Not more than Two (2) copies per title; per campus
- Non-Fiction: Not more than Two (2) copies per title; per campus
- One-Volume Reference: Not more than Two (2) copies; per campus
- Multi-volume Reference: One (1) set per campus
- Prescribed Books: Not more than three (3) per campus
- Donations: Not more than Two (2) copies; per campus

7.2 Replacements

7.2.1 Books

Replacement of damaged or lost books is based on the following criteria:

- Recent and expected demand
- Availability of more up-to-date editions
- Academic interest
- Historic value of the item
- Number of other copies available, and their condition
- Relevance to current curricula or research needs
- Existing coverage of the subject within the collection
- Availability of other information resources of value on the subject.
- Cost and effort to replace out-of-print titles.
- Cost and effort to repair damaged books.

7.2.1.1 Calculation of book price

- Price for replacement of books lost by patrons will be calculated by using the price of publication on Nielsen's Bookdata plus a handling fee of R150.
- If the price cannot be found on Nielsen's then Loan services will use R650 as a baseline/standard fee.
- Patrons can supply a copy, but it must be in good condition (not highlighted, no pencil/pen notes), but still must pay the R150 handling fee.

7.2.2 Journals

Replacement of damaged or lost journal issues is based on the following criteria:

- Check if the damaged issue or volume is not available in electronic format
- Establish the current level of demand for the damaged volume or issue
- Establish if the back copies are available, at what cost
- Relevance to current curricula or research needs
- Existing coverage of the subject within the collection
- Cost of back issue or volume
- Historic value

7.3 Preservation

Preservation of all materials and those of long-term value is crucial to the future of the NWU Library systems. A long and useful life, in some cases, the purchase of high-quality information materials is the best insurance that materials will have a long and useful life. Repair and rebinding are done judiciously and weighed against the possibility and costs of replacement.

7.4 Gifts/Donations/Self-publications

The library accepts gifts of materials or money for the purchase of materials with the understanding that the selection criteria described in this policy will determine whether an item is added to the collection. Monetary gifts are accepted for the purchase of materials in a subject or format but not a specific title. Gifts that are accepted by the library become the property of the library to be used or disposed of following established policies and guidelines.

Self-publications: Authors can donate a copy which will be displayed to see if it generates any interest. If the contents are academic in nature, the faculty must decide if we should purchase copies from the faculty book budget. Faculty librarians can also give input on which academic department to recommend, and/or purchase from the faculty librarian budget.

The number of copies of donations is guided by point 7.1 of the guidelines, exceptions must be approved by the manager IR.

7.4.1 Donations procedure

The library acknowledges the great value of gifts/donations from natural and juristic persons in a form of books to the library's collection development and the importance of recognizing those donations thereof. These donations are received by the Loan Services personnel and the following procedures apply:

- Upon receipt of a donation, a donor will be required to sign the declaration form.
- The completed declaration form and the donated item/s will be referred to the acquisition's component for further processing.
- The item/s will be evaluated based on the provisions in 6.1 and 7.1 of the Collection Development Guidelines.
- Should the item/s pass this evaluation process, they will be referred to the cataloguing component for further processing. If items are found not to be collection worthy, they will be re-donated to the community library, students or recycled. Items that pass the test will be catalogued and added to the library collection.
- The library will not accept material that is in poor condition or likely to need expensive repair, duplicates, not unless heavily used and items that are defaced or annotated.
- Donations to the Library will be acknowledged by a letter from the Acquisitions Senior Librarian or IR Manager

8 Collection evaluation

Continuous review of the collection is as important as selection itself. Careful withdrawal of some items is necessary to keep the library's collections vital and up-to-date. Items may be withdrawn because of poor physical condition; low use; too many multiple copies of the same title; when multiple titles on the same subject are no longer needed; or the contents are superseded by a new or revised edition.

Care is taken to ensure that no title of enduring value is withdrawn. Before an item is withdrawn, procedures should be followed. Withdrawn materials may be disposed of by being handed over to local schools and other stakeholders, such as various organisations, etc.

8.1 Electronic information resources

All subscriptions to electronic information resources are evaluated annually, before renewal.

Trials must be arranged to evaluate the electronic resources before any decision is made.

8.1.1 Databases

The same criteria considered for the selection of databases are observed during the evaluation. In addition, cost-per-use (CPU) information is also part of this process.

8.1.2 eJournals

The same criteria considered for the selection of print journals and databases are observed during the evaluation exercise of e-Journals.

9 Related guidelines

9.1 [Weeding Guidelines](#)

9.2 Gifts and Donations Policy (incorporated into the Finance Policy)

9.3 Circulation guidelines regarding study collection

10 Guidelines to be integrated later

N.B. The following policies will be integrated into the Collection Development Guidelines as soon as they are completed

10.1 Information Resources for the disabled

10.2 Special Collections

10.2.1 Books

10.2.2 Print Journals

10.2.3 NWU Theses and Dissertations

From 2021 the library receives an electronic copy only from the Higher Degrees Office.

10.2.4 Theses and Dissertations from other Universities

10.2.5 Other types of Information Resources.

11 Revision

The Guidelines will be revised annually, and/or, should there be major changes in strategic and operations requirements

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