

SIMON FRASER UNIVERSITY

S.75-2

MEMORANDUM

SENATE

From SENATE LIBRARY COMMITTEE

Subject LIBRARY COLLECTIONS POLICY -  
FOR INFORMATION

Date DECEMBER 23, 1974

SIMON FRASER UNIVERSITY

S.75-2

MEMORANDUM

To Harry Evans Secretary to Senate	From P. Stigger Chairman Senate Library Committee
Subject Library Collections Policy	Date December 18, 1974

The attached statement of the Library's Collections Policies and Procedures has been approved by the University Librarian and has been examined by the Senate Library Committee and on its advice is being forwarded to Senate for information.

*Philip Stigger*

PS:dcr  
Attachment

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July 1, 1973

SUBJECT:        COLLECTION POLICIES AND PROCEDURES

GENERAL

The following pages contain the complete statement of the  
Collection Policies and Procedures as approved by the  
University Librarian on July 1, 1973.

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## 1. Introduction

1.1 The Library has two principal ways of providing the published resources required by the University community:

- a) purchasing materials to be added to its own collection
- b) borrowing from other libraries through Inter-Library Loan.

The policies and procedures presented here are concerned exclusively with purchased materials and are used by Collection Librarians to guide them in their decisions to purchase, store and discard materials.

1.2 A publication is purchased when it appears that most of the following criteria will apply.

- a) It relates to courses and programmes offered at the University.
- b) It will be useful to a substantial number of faculty and students rather than to a few individuals.
- c) It is of strong general interest and has sufficient intellectual content to be of concern to an academic readership.
- d) It is not an acquisition that needlessly duplicates a resource at the University of British Columbia or other nearby institutions.

## 2. General Collection Policies

### 2.1 Support of Teaching Programme

The first priority in the development of collections is to provide the information resources needed for the University teaching programme. Since most courses are undergraduate there is emphasis on the selection of current publications, both monographic and serial, over a broad range of subjects. The Library accomplishes the objective of supporting courses by developing the General collection (2.1.1), the Reserve collection (2.1.2), and non-print collections (2.1.3).

#### 2.1.1 The General Collection is the open-shelf collection.

As a major information resource of the University, it must support both teaching and research (2.2.2). Since providing materials for the teaching programme is the first collections objective, the Library uses most of the book budget to acquire current and retrospective publications on the subjects of the courses. Unless there is demonstrated demand for multiple copies (2.5.1), only one copy of each title is added to this collection so that the broadest possible coverage of the subject matter is obtained. The General Collection contains materials that are letterpress and microform, current and retrospective, serial and monographic.



2.1.2 The Reserve Collection, a closed stack collection, exists to provide all students fair and reasonable access to their required reading materials without excessively duplicating holdings. While not attempting to provide all the materials needed by students, through the establishment of this service, the Library recognizes there is a valid demand for multiple copies (2.5.1) created by the teaching programme. It accommodates this demand by:

- a) acquiring multiple copies of readings required or recommended by the faculty member giving a course, and
- b) lending this material under loan regulations especially designed to insure that each copy of each book receives maximum use.

The Reserve Desk supervisor, in discussion with faculty members, determines the number of copies to be bought. This decision is based on the expected enrolment and, if deemed relevant, past usage statistics. In any case, the ratio of one copy per ten students is rarely exceeded.

2.1.3 The Library has the responsibility to build non-print media collections as well as print collections. Non

print media are defined here as any physical format used to disseminate information that is not print or microphotographic copy of printed matter. Standard examples are audio tape, slides, video tape, films, magnetic tape, and punched cards. Characteristically, most non-print media are used to aid teaching (machine readable forms are an exception); they often have a high unit cost; they require expensive special equipment to be used; and, they present unique problems in regard to cataloguing, storing, and servicing. For these reasons, and the fact that in most disciplines non-print media at an academic level are not extensive, the Library policy is to limit purchases to items where there is a clearly demonstrated need.

The Collections Librarians keep themselves informed about the current "publishing" of non-print media and select materials, usually in consultation with faculty, giving full consideration to the impact a purchase will have on the budget and, as a result, on the acquisition of printed materials. In all cases non-print material is acquired only if it meets the same criteria applied to printed sources.

## 2.2 Support of Faculty and Graduate Research

2.2.1 Research collections are defined in this policy as materials which are used primarily by faculty and graduate students to complete projects for the purpose of scholarly publication or the fulfillment of a requirement for a paper, thesis, or dissertation. The content of these materials is often more specialized, detailed, and extensive than is required by undergraduates writing essays. They are also frequently out-of-print and in languages other than English.

2.2.2 As most of the book budget is required to support the teaching programme, the development of research collections takes second priority, and as a result, faculty and graduate students have to rely heavily on Inter-Library Loans and the collections at the University of British Columbia. Nevertheless, in so far as possible, the Library does attempt to build research collections. After budgetary provision has been made for current publications and the renewal of serials subscriptions germane to the teaching programme, allocations are made to acquire research materials.

Material for this purpose is generally expected to meet the following criteria:

- a) It should relate to the graduate programmes of a Department.
- b) It should be useful to more than one member of the faculty, or graduate student, or more than one research project.
- c) It should be useful also in a more limited way to undergraduates in their research efforts even though the material is to be acquired primarily for faculty and graduate research.
- d) It should not duplicate a resource at the University of British Columbia or other institution in the Province if it is available by extended inter-library loan or can be consulted by visiting that library.

2.2.3 Though materials in Special Collections and Archives are used frequently by undergraduates, they are viewed by the Library as being fundamentally a research collection. A full statement of the policies on this collection was approved by the University Librarian on July 17, 1972 (Library Policy 2.3).

Though some materials are shelved in Special Collections only for preservation purposes, the collection is basically in two parts:

- a) Special Collections, the core of which is a collection of post-war experimental and avant-garde poetry known as the Contemporary Literature Collection.
- b) Archives, which acts as the archives for the University (approved by the Board of Governors, 1968) and which contains archival records which are the property of the Municipality of Burnaby.

It is the policy of the Library to continue the development of these collections, as specified in Library Policy 2.3, in as vigorous and definitive a manner as financial constraints permit.

2.2.3.1 Manuscripts are collected as part of both Special Collections and Archives. Their content must relate strictly to designated areas of specialization within these collections, and they are selected only after full consideration with faculty. The Library has adopted a detailed policy on the acquisition, processing, and use of manuscripts (cf. Library Policy 2.3.1).

### 2.3 Support of Non-Credit Activities

In some instances, non-credit courses or activities do require published resources that can only be supplied by the

Library. After having met the requirements of the credit courses and research at the University, the Library will acquire materials to support non-credit courses within the limits of its budget. Librarians will make every effort to keep themselves informed about the collections needed for these activities and select titles accordingly.

#### 2.4 General and Current Interest Materials

At any point there are topics of current and, often, general interest to the University community that do not necessarily relate to the courses then being offered. Publications concerned with significant political and social events, emerging disciplines, and new areas of study and investigation are usually required by academic readers for their personal intellectual growth as well as for possible use in a course reading list. The purchase of these publications is not allowed to diminish Library support of courses and major research objectives. An attempt is made, also, to avoid a duplication of services offered by the local public libraries (2.7.2).

#### 2.5 Heavily-Used Materials

2.5.1 The need for multiple copies is accommodated, for the most part, by the Reserve Collection (2.1.2). However, a small number of extra copies are added to the General Collection for the following reasons:

- a) If there is considerable public discussion about a new publication, and there is reason to believe the University community shares this interest, an additional copy or copies may be acquired.
- b) At the end of each semester the Collection Librarians review loans records and order additional copies of the few most requested titles if they feel that interest in these books will persist for several semesters.
- c) Since Special Collections materials do not circulate and are not shelved in the open stacks, selected titles are duplicated and the second copy is added to the General Collection.
- d) Because three specialized Reference Service areas are maintained it is occasionally necessary to have added copies of some general and basic reference publications.

2.5.2 Replacement copies are obtained in most cases when a heavily used book is damaged, lost, or stolen. However, as seldom used books too may have to be replaced for these reasons, each title identified for re-order, is reviewed by the appropriate Collection

Librarian to determine if it is still required. Replacements are not usually ordered if there are other copies already in the collection, or if the Library has a more recent edition. If a replacement is to be ordered, an attempt will be made to secure the same edition, but in some cases it may be desirable to order a later edition.

2.5.2 Single copy titles are placed on temporary reserve when three recalls have been submitted in one semester. Materials requested this frequently are reviewed by Collection Librarians and, possibly, duplicated for the General Collection or the Reserve Collection.

## 2.6 Low-Use Materials

2.6.1 Generally, materials are placed in low-use storage when the following conditions apply:

- a) There has been no more than one request over a period of three years.
- b) The material is shelved in an area that urgently needs space for in-coming high-demand current materials.

In most cases, material in storage can be delivered to the reader within twenty-four hours or less. After



being placed in storage the demand for specific titles is carefully observed, and they are returned to the open shelf if it increases. Materials for which there is zero demand over a three-year period are considered for withdrawal from the collection (cf. 2.6.2) or are retained in storage for another three-year period of observation.

2.6.2 A publication is withdrawn from the collection when most of the following conditions apply:

- a) It has not been used in at least three years on the open shelf.
- b) It has not been requested from low-use storage more than once a year.
- c) It is also available at the University of British Columbia, the University of Victoria, or other library in the Province; and it has been confirmed that that library will not withdraw its copy and is willing to make it available to S. F. U. readers.
- d) It is available via Inter-Library Loan from other Canadian and United States libraries.
- e) It is no longer related to existing courses or research activity because of changes in the University calendar or the faculty membership.

2.6.3 Serials subscriptions are reviewed for cancellation when the conditions described above (2.6.2) apply. In addition, it may be necessary to cancel subscriptions to lesser-used serials because of budgetary constraints (cf. 3.2).

Collection Librarians will confer with Department Library Representatives about titles, monographic or serial, that are being considered for withdrawal.

2.7 Cooperation With Other Libraries in Collections Development

2.7.1 TRIUL (Tri-University Libraries) is an informal organization of the three university libraries in British Columbia. One of its major committees is concerned with comparing the make-up and growth of the three collections. The committee attempts to establish the general outlines of a coordinated collections policy, to eliminate needless duplication of acquisitions costing approximately \$500 or more, and to rationalize specific areas of collections, e.g. government publications, microforms, serials, etc..

TRIUL is concerned also with improving access to the Provincial university collections by faculty, graduate, and undergraduate students.

The S.F.U. Library participates in TRIUL in order to increase the number of unique titles in the major academic collections, to eliminate unnecessary duplication, and to make all area resources more readily available to the S.F.U. community.

- 2.7.2 Public library services of the lower mainland are available to all members of the academic community. The Library generally avoids the duplication of kinds of material available from those collections, e.g.: detective fiction, how-to books, etc..

### 3. Policies on Specific Collections

#### 3.1 Monographs

Traditionally the largest component of an academic collection has consisted of monographs with serials (3.2) forming the next most sizeable segment.

The emphasis on monographs within libraries, of course, is a reflection of the importance they have in academic writing and publishing. Until there is some significant change in the balance between monographic and serial publishing, the Library will continue to build a letterpress collection with proportions of approximately 80% monographs and 20% serials.

The one exception to this rule is the science collection, where there has always been greater reliance on serials than monographs (cf. 3.2). Science monographs will comprise approximately 40% of that collection.

### 3.2 Serials

Though serial publications represent a relatively small portion of the letterpress collection (approximately 20%) they require a large portion of the book budget. This is because most subscriptions have to be renewed annually, and as a rule these costs inflate dramatically.

Though the Library is committed to keeping primary emphasis on the collecting of monographs (cf. 3.1) it must also provide a serials collection that gives adequate support to teaching and research. A policy is required, therefore, to keep these two areas of the collection in balance. This is achieved in the following ways:

- a) Subscriptions to new serials are approved on a highly selective basis; in most subjects related to the programmes offered at the University the serials collection now (1973) provides the basic periodicals, and new subscriptions are required only to secure the more important titles that are published; the adoption of additional programmes by the

University, however, does necessitate the acquisition of titles that are fundamental to the new discipline.

- b) Each proposed new subscription is reviewed by the Collection Librarian, the Collection Division Head, and the Assistant University Librarian for Collections and Public Services before a decision is reached.
- c) The serials lists of the University of British Columbia and the University of Victoria are used to determine if a subscription from S.F.U. would duplicate their holdings; each university library informs the other universities about subscriptions to newly published serials it is considering. In many instances duplication is desirable, but this exchange of information is used to reduce it to a minimum.
- d) The use of serials within different disciplines is monitored on a continuous basis; a list of low-use titles is prepared from time to time by Collection Librarians for faculty advice on possible cancellation. Funds freed by cancellations may be used for important new subscriptions.
- e) As a guideline, an attempt is made to keep the allocation for new subscriptions to approximately 1.5 - 2% of the total book budget; when more funds are needed than provided by the allocation, every effort is made to cancel subscriptions that are not being used before the allocation is increased.

### 3.3 Reference Works

A reference collection is a non-circulating collection of publications that is designed to supply concise, factual data or assist readers in the bibliographical identification of journal articles and other publications. It contains such materials as guides and manuals, bibliographies, indexes and abstracts, encyclopedias, dictionaries of special terms, handbooks, etc..

A reference collection is maintained in each of the Collection Divisions: Humanities, Science, and Social Science. In addition, large bibliographical compilations such as the catalogues of the Library of Congress and the British Museum are shelved in the Acquisitions Division, where they are required to process SFU accessions.

### 3.4 Government Publications

Government publications are defined as publications (including non-print media) issued directly or under the sponsorship of any office of a legally organized government regardless of level. The Library is committed to the development of such a collection in support of the teaching and research objectives that prevail at SFU. To assist in the achievement of this goal, the Library requested, and was granted, full depository status for the publications of Information Canada (effective August, 1969). Because of this the Library receives one free copy of

most English or bi-lingual publications distributed by the Queen's Printer. The Library also collects provincial and municipal documents as well as publications from other countries and international organizations. Emphasis is on Great Britain, United States, and the United Nations. (cf. Library Policy no. 2.4 for a detailed policy on the government publications collection.)

### 3.5 Microforms

Microforms are documents that have been micro-photographically copied on film, fiche, or paper. They require special reading equipment and are usually physically separated from other library collections because the storage and service requirements are not compatible with conventional printed materials.

The selection of microforms is guided by the same general collection policies used in the selection of letterpress publications. They are collected by the Library because, in most cases, the material has been out-of-print and can be acquired in no other form. Theses and dissertations (cf. 3.8), being mostly typescript, are frequently available on microfilm only.

Generally the Library acquires letterpress rather than microform when there is a choice. However, many newspapers and periodicals are obtained in this form, rather than paper copy, to save shelf space and to have a more easily preserved record.

### 3.6 Curriculum Collection

This collection is developed and maintained by the Library as a physically separate collection unit to support the Professional Development Programme of the Faculty of Education. The following materials are systematically acquired for this collection:

- a) all textbooks listed in the British Columbia List of Prescribed Texts
- b) textbooks used in other provincial, state, or city school systems - purchased selectively
- c) course outlines from all Canadian provinces and selected American cities.
- d) major works in children's literature
- e) learning kits, film strips and loops, etc. - purchased selectively.

### 3.7 Maps

The Map Collection acquires and catalogues topographic and thematic maps relevant to the University curriculum. There is general world coverage in small scales and coverage in large scale for Canada, United States, Africa, some Latin American countries, and selected European countries. Thematic maps with emphasis on these areas are collected particularly in climatology, biogeography, geomorphology, demography, resources, and urban and regional planning.



### 3.8 Theses and Dissertations

Generally, it is not Library policy to acquire M. A. theses or Ph. D. dissertations as permanent additions to the collection. It is expected that these materials will usually be purchased by the reader through Inter-Library Loan. In exceptional cases a thesis or dissertation may be acquired when its subject deals with a high collecting priority, and if the quality of the work is outstanding. Normally these materials will be acquired in microform although xerographic copy will also be considered if frequent use of the material is anticipated.

## 4. Communications With Faculty and Students

### 4.1 How the Library Knows What to Collect

To accomplish its goal of acquiring the published materials that are needed by faculty and students, the Library must have up-to-date knowledge of what subjects are being taught and researched. It must also have accurate information about new programmes and courses that are to be offered in the near future so that it can gather the necessary materials before they are requested.

To insure that it receives complete and accurate information, the Library maintains a staff of professional librarians, designated throughout this policy as "Collection Librarians", each of whom is assigned responsibility for the development of specific subject collections.

Each Collection Librarian is responsible also for establishing communication with faculty departments, undergraduates, and graduate students. These communications are accomplished as follows:

- a) Liaison is maintained with the Faculty Library Representative to keep informed about departmental requirements; this channel is also used to keep the faculty department informed about library developments.
- b) Collection Librarians are encouraged to discuss library resources with all faculty who make primary use of the materials; this kind of contact also provides the Library information on the research interests of individual faculty members.
- c) Each Collection Librarian is required to spend approximately one third of his/her time at the public reference desk answering the questions of students and faculty; this is a major source of information on the resource needs of undergraduates and graduate students, but it also provides additional information on faculty requirements.
- d) Each Collection Librarian invites graduate students who are using the materials under his/her responsibility to discuss their research needs.
- e) All Inter-Library Loan requests are reviewed by Collection Librarians to determine if materials are being borrowed often enough to justify purchasing them for the SFU collection.

- f) At the end of each semester, Collection Librarians review the usage of the Reserve Collection to determine if some titles should be duplicated and to keep themselves informed of the bibliographic coverage of each course.

#### 4.2 University Committees

In addition to the personal contacts with students and faculty described in 4.1, the Library administration is represented on the membership of several academic committees and it regularly receives the minutes of the Academic Planning Committee, Faculty Curriculum Committees, and the Senate Committee on Undergraduate Studies. The University Librarian is an exofficio member of Senate, and Collection Librarians participate on various academic committees (e. g. Canadian Studies Committee).

4.2.1 The Senate Graduate Studies Committee, of which the University Librarian is a member, is the major source of information on the development of graduate courses and programmes. This committee requires that the Library report on the state of its resources in regard to new programme proposals before it makes a decision (cf. 4.3).

4.2.2 Though the Senate Library Committee has been established by Senate to advise the University Librarian on library matters generally, it specifically concerns

itself with collections development when it reviews the proposed allocation of the book budget submitted by the Librarian each year.

#### 4.3 Resource Surveys

A resource survey is a thorough comparison of S.F.U. holdings with standard and authoritative bibliographies in a given subject area to determine the strengths and weaknesses of the collection. The results of the survey are used to guide future selection.

Such a survey is most often done in response to a request from the Senate Graduate Studies Committee (cf. 4.2.1) when it is considering a new programme proposal. However, at times they are also done in response to a faculty or department request, or if any of the Collection Librarians and/or the Library administration feel it is desirable to examine an area of the collection closely.

#### 4.4 Usage Analysis

Since the Library has an obligation to acquire materials that are needed by the University community and, conversely, avoid purchasing those that are not needed, it is necessary to study how the collections are being used on a continuous basis.

The following data, which is occasionally supplemented by a use-study in a specific collection area, is periodically gathered and reviewed:

Records of monograph loans and recalls

In-house shelving statistics

Reserve Collection loans

Inter-Library Loan requests

Lost and missing books

From this review, Collection Librarians obtain the following information:

- a) Specific subject areas are identified in terms of a scale ranging from most used down to unused.
- b) Individual titles of the most heavily used materials are cited.
- c) Individual titles that have not been used over a period of several years are also cited.
- d) Titles to be replaced.

This information guides Collection Librarians when they are selecting new accessions, and it is used by them to make decisions on the duplication, storage, or withdrawal of specific titles.

## 5. Book Budget and Allocations

### 5.1 Maximizing Book Funds

By a continuous close scrutiny of salaries and operating costs, the Library attempts to use as much of its budget as possible to develop the collections. However, funds must also be provided for processing costs, reference services, and adminis-

tration. The Library, therefore, recognizes that it is responsible for maintaining the most efficient procedures possible so that salary and operating expenditures do not unreasonably constrict the book budget.

## 5.2 Responsibility for the Preparation of the Book Budget

The University Librarian has overall responsibility, within the Library staff, for the preparation of the book budget. As part of his responsibility for planning the total Library budget he determines the size of the book budget in relation to salary and operating costs.

The Assistant University Librarian for Collections and Public Services is responsible for the preparation of allocations within the book budget (cf. 5.3). This responsibility is executed by coordinating recommendations from Collection Librarians, Faculty Library Representatives, and the Senate Library Committee. Collections usage data, departmental enrolment, etc., are considered in the process of making allocations.

The Senate Library Committee annually reviews and advises the University Librarian on the proposed book budget and the allocations.

## 5.3 Allocations

The book budget is allocated in the following ways:

- a) The total budget is divided into two parts, one for monographs and one for serials.
- b) The serials portion is then sub-divided into allocations for renewals, new subscriptions, backfiles, and government publications; except for government publications, serials funds are not allocated to subject disciplines; the money for renewals, new subscriptions, and backfiles is distributed among the Humanities, Sciences, Social Sciences, and Library general accounts.
- c) The monograph portion is sub-divided by academic subject; further sub-divisions are made within a subject allocation for current and retrospective materials, government publications, and non-print media.

New allocations are added to the book budget as required by the development of curriculum.

#### 5.4 Miscellaneous

- 5.4.1 Photocopied materials that are to become permanent additions to the S.F.U. collection are charged to the appropriate book budget allocation. The only exception to this policy is theses and dissertations by S.F.U. students which are paid for by the student or the Department.

5.4.2 Replacement costs for lost, missing, or damaged materials are charged to the appropriate allocation of the book budget. Revenue from readers who have been charged replacement costs goes into a special account established for this purpose, and then funds can be transferred to other allocations or used directly from this account to replace materials.

5.4.3 Reserve books are charged to the Mark Collins Fund until the annual grant from the fund is exhausted. Only then are Reserve books charged to the subject allocations.

6. Responsibilities of the Assistant University Librarian for Collections and Public Services

6.1 Implementation and Revision of Collection Policy

The Assistant University Librarian for Collections and Public Services is responsible for the implementation and continuous supervision of this policy, as well as its future revisions.

6.2 Summary of Collecting Objectives by Subject

The Assistant University Librarian for Collections and Public Services is responsible for preparing and maintaining an up-to-date summary of collecting objectives in terms of the various academic disciplines. A statement of these objectives, at any time, will be available upon request.