FUNDAMENTALS OF COLLECTION DEVELOPMENT AND MANAGEMENT

ALA Editions purchases fund advocacy, awareness,
and accreditation programs for library professionals worldwide.

FUNDAMENTALS OF COLLECTION DEVELOPMENT AND MANAGEMENT

Third Edition

Peggy Johnson

ala editions

An imprint of the American Library Association

Chicago 2014

www.alastore.ala.org

PEGGY JOHNSON is a frequent speaker and trainer on collection development and management. She has published several books, including ALA Editions' *Developing and Managing Electronic Collections: The Essentials*, and numerous journal articles. She edited the peer-reviewed journal *Library Resources & Technical Services* for more than nine years and continues to edit *Technicalities: Information Forum for the Technical Services Professional*. She teaches as an adjunct professor in the MLIS program at St. Catherine University. Prior to retiring from the University of Minnesota Libraries, she served as associate university librarian. A past president of the Association for Library Collections and Technical Services, she received the ALCTS Ross Atkinson Lifetime Achievement Award in 2009. She has a master's degree from the University of Chicago Graduate Library School.

Printed in the United States of America

18 17 16 15 14   5 4 3 2 1

ISBNs: 978-0-8389-1191-4 (paper); 978-0-8389-1959-0 (PDF); 978-0-8389-1960-6 (ePub); 978-0-8389-1961-3 (Kindle). For more information on digital formats, visit the ALA Store at alastore.ala.org and select eEditions.

Library of Congress Cataloging-in-Publication Data

Johnson, Peggy, 1948–
[Fundamentals of collection development & management]
Fundamentals of collection development and management / Peggy Johnson. — Third edition.
pages cm
Includes bibliographical references and index.
ISBN 978-0-8389-1191-4 (alk. paper)
1. Collection development (Libraries) 2. Collection management (Libraries) 3. Collection development (Libraries)—United States. 4. Collection management (Libraries)—United States. I. Title.
Z687.J64 2014
025.2'1—dc23   2013049725

Cover design by Kim Thornton. Images © Shutterstock, Inc.

Composition by Dianne M. Rooney in the Janson Text and Helvetica typefaces.

♾ This paper meets the requirements of ANSI/NISO Z39.48-1992 (Permanence of Paper).

CONTENTS

WEB Supplemental materials, including reading lists and case studies from the first two editions, are available online at www.alaeditions.org/webextras.

PREFACE TO THE THIRD EDITION

My goal in writing this book remains the same as that for the first and second editions—*Fundamentals of Collection Development and Management* is intended as a comprehensive introduction to the topic for students, a primer for experienced librarians with new collection development and management responsibilities, and a handy reference resource for practitioners as they go about their day-to-day work. Coverage is intended to reflect the practice of collection development and management in all types of libraries. Although the focus is on libraries in the United States, references to practices and initiatives in Canada have been expanded. The history of collection development and management is provided to set the context for current theory and practice. I draw from the literature outside library and information management when pertinent.

When I wrote the preface to the first edition in the summer of 2003, I observed that the work of collection development and management was being profoundly changed by the Internet and increasing options for resources in digital format. This is even truer today. Nearly all aspects of collection development and management in all types of libraries are being reshaped by technology and the ubiquity of the Internet. These powerful forces on the work we do and how we do it are made more challenging by sociological, educational, economic, demographic, political, regulatory, and institutional changes in our user communities and the parent organizations and agencies that fund libraries. Library users' needs and expectations are evolving concurrently. I have sought to reflect this rapidly changing environment with updated examples and data.

This edition follows the same structure as the second edition. Chapter 1 presents an introduction to and an overview of collection management and development, including a brief history of the evolution of collection development and management as a specialty within the profession. Chapter 2 explores the organization and assignment of collection development and management responsibilities in libraries. An important section in chapter 2 discusses ethical issues associated with building and managing collections. Chapter 3 addresses formal library planning and two important library planning tools—collection development and management policies and library budgets. Chapter 4, "Developing Collections," introduces topologies for types of materials that librarians select and explores the selection process, selection criteria, the acquisition process, and acquisition options. Chapter 5 examines the collection management responsibilities of librarians after they have developed collections through purchases, subscriptions, leases, and licenses. Topics include weeding for withdrawal and storage; preservation and conservation; subscription review, renewal, and cancellation; and protection of collections from deterioration, theft, mutilation, and disasters. "Marketing, Liaison Activities, and Outreach," chapter 6, defines marketing, places it in the library setting, and explores the importance of and techniques for building and maintaining community relationships. Chapter 7 covers approaches to collection analysis and how to answer questions about quality and utility using quantitative, qualitative, and use- and user-based methods. Chapter 8 on cooperative collection development and management addresses this increasingly important topic in today's environment of constrained budgets and limited space to house collections.

The final chapter takes on the complicated topic of scholarly communication and the impact of the open-access movement. Although some may not consider the process of reshaping scholarly communication equally pertinent to all types of libraries and the librarians who work in them, I encourage you to read this chapter. The potential that open access offers and the policies that foster it should be of concern to all librarians.

All chapters have new supplemental reading lists, and these contain no sources published before 2008. Reading lists from the first two editions can be accessed as supplemental resources at www.alaeditions.org/webextras. The case studies that supplement chapters 2–9 also are new. Although fictional, these stories represent real challenges that librarians encounter regularly. I hope that practitioners as well as students will view them as catalysts for discussion. Case studies from the previous editions also can be accessed at www.alaeditions.org/webextras.

The glossary and appendixes have been updated. The appendixes are A, "Professional Resources for Collection Development and Management"; B, "Selection Aids"; and C, "Sample Collection Development Policy Statements."

A book, by its nature, is bounded and, although each chapter and many topics addressed here could be and often have been explored in far greater depth, I have been constrained by time and space. The supplemental reading lists are intended to offer readers sources through which they can explore topics of particular interest.

Many sources referenced may be found as preprints or postprints in digital repositories, as well as in the journals cited. All URLs provided in this book were valid as of late fall 2013. References to products, companies, projects, and initiatives are intended as examples only and not endorsements of particular options among many possibilities. Commercial offerings, business models, and companies change; thus, some information in this book may not reflect the current environment.

I depend on the expertise of professional colleagues and their generous assistance whenever I undertake a writing project. They may answer a single question or several, point me to a key resource, or review a few paragraphs or a chapter. As I revised this book, I tried to note everyone who helped me and I am delighted to thank them here; all errors and omissions in the text are solely my responsibility. In grateful appreciation, I thank (in alphabetical order): Natalie Bernstein, Paideia School, Atlanta, Georgia; Julia Blixrud, Association of Research Libraries; Elise Calvi, Indiana University Libraries; Katie Clark, University of Rochester River Campus Libraries; Kirsten Clark, University of Minnesota Libraries; Lynn Silipigni Connaway, OCLC; Lisa German, Pennsylvania State University Libraries; Heidi Hammond, St. Catherine University Masters of Library and Information Science program; Michelle Jeske, Denver Public Library; Brian Karschnia, St. Paul Public Library; Robert H. Kieft, Occidental College; Michael Levine-Clark, University of Denver Libraries; Judy Luther, Informed Strategies; Bonnie MacEwan, Auburn University Libraries; Eric Novotny, Pennsylvania State University Libraries; Jan Price, Metropolitan Council Library, St. Paul, Minnesota; Becky Ringwelski, Minitex, Minnesota; Nancy Sims, University of Minnesota Libraries; Betsy Simpson, University of Florida Libraries; Sarah Simpson, Tulsa City-County Library; Peter Suber, Harvard University Berkman Center for Internet and Society and Harvard University Library Office for Scholarly Communication; Barry Trott, Williamsburg Regional Library, Williamsburg, Virginia; Liza Weisbrod, Auburn University Libraries; and Karen Williams, University of Arizona Libraries.

I am exceedingly fortunate to have ready access to the excellent library collections at the University of Minnesota and St. Catherine University, but—as you learn in this book—no library collection is complete and resource sharing is vital. Efficient interlibrary loan is essential, and I am privileged to receive wonderful service from the endlessly patient interlibrary loan staff at the University of Minnesota Libraries: Melissa Eighmy Brown, Guy Peterson, Emily Riha, Alice Welch, and Cherie Weston.

I want to acknowledge the support and encouragement my parents gave me as I grew up, went to school, and learned my craft. With deepest thanks, I dedicate this book to Odell “Swede” Johnson and Virginia M. Johnson.

Introduction to Collection Development and Management

A book devoted to collection development and management should begin with a shared understanding of what this phrase means. For the purposes of this book, a *collection* consists of the materials in all formats and genres that a library owns or to which it provides remote access, through either purchase or lease. Collection development is the thoughtful process of developing or building a library collection in response to institutional priorities and community or user needs and interests. *Collection development* covers several activities related to the development of library collections, including selection, the determination and coordination of selection policy, assessment of the needs of users and potential users, budget management, identification of collection needs, community and user outreach and liaison, planning for resource sharing, and perhaps e-resources contract review and negotiation. Although *collection management* has been proposed as an umbrella term under which collection development is subsumed, this book distinguishes the two. In this construct, collection management covers decisions about weeding, serials cancellation, storage, and preservation and the activities that inform these decisions such as use studies and cost/benefit assessment. Also of concern in collection development and management are the organization and assignment of responsibilities for its practice.

This chapter begins with an introduction to concepts, followed by a capsule history of libraries and their collections, focusing on the United States. It concludes with an exploration of the evolution of collection development and management as a specialty within the profession. A brief look at the history of collection work, the libraries in which collections were developed, and external forces influencing collections is useful because contemporary practice builds on that of the past. Today's librarians work with library collections that have been created over time in accordance with earlier practices and conventions. In addition, many challenges faced by librarians have remained constant over time. Topics introduced in this chapter are explored in more depth in subsequent chapters.

Components of Collection Development and Management

Many librarians use the terms *collection development* and *collection management* synonymously or in tandem. For example, the professional organization within ALA's Association for Library Collections and Technical Services that focuses on this topic is called the Collection Management Section. The Reference and User Services Association's comparable section is called the Collection Development and Evaluation Section (CODES). The Medical Library Association has a Collection Development Section, and the Association for Library Service to Children has a Children's Collection Management Discussion Group. The professional literature also uses the terms interchangeably. Nevertheless, librarians generally have a common understanding of the practice and purpose of collection development and management, namely:

> The goal of any collection development organization must be to provide the library with a collection that meets the appropriate needs of its client population within the limits of its fiscal and personnel resources. To reach this goal, each segment of the collection must be developed with an application of resources consistent with its relative importance to the mission of the library and the needs of its patrons.[1]

Those who practice collection development and management are variously called selectors, bibliographers, collections librarians, subject specialists, liaisons or subject liaisons, collection development librarians, collection managers, and collection developers. In smaller libraries, the individual developing and managing collections may simply have the title of librarian or, in schools, school librarian or media specialist. Additional titles for those who build and manage collections also are used. This book uses these terms interchangeably to mean a library staff member who is responsible for developing, managing, and teaching about collections.

In many libraries, collections responsibilities are part of a suite of duties that librarians are assigned. Collection development and management responsibilities include the following:

- selecting materials in all formats for acquisition and access
- reviewing and negotiating contracts to acquire or access e-resources
- managing the collection through informed weeding, cancellation, storage, and preservation

- writing and revising collection development policies
- promoting, marketing, and interpreting collections and resources
- evaluating and assessing collections and related services, collection use, and users' experiences
- responding to challenges to materials selected
- carrying out community liaison and outreach activities
- preparing budgets, managing allocations, and demonstrating responsible stewardship of funds
- working with other libraries in support of resource sharing and cooperative collection development and management
- soliciting supplemental funds for collection development and management through grants and monetary gifts.

Although the assignment and importance of these responsibilities vary from library to library and librarian to librarian, they are found in all types of libraries. For that reason, this book does not contain separate chapters for various types of libraries.

All these responsibilities imply a knowledge of the library's user community and its fiscal and personnel resources, mission, values, and priorities along with those of the library's parent organization. Collection development and management cannot be successful unless integrated within all library operations; thus, the responsible librarians must have an understanding of and close relationship with other library operations and services. Important considerations for the collections librarian include who has access to the collection on-site and online, circulation and use policies, types of interfaces the library supports, and ease of resource discovery. A constant theme throughout this book is the importance of the environment, both internal and external to the library, within which collection management librarians practice their craft.

Historical Overview

Selection of materials for libraries has been around as long as libraries have, though records of how decisions were made in the ancient libraries of Nineveh, Alexandria, and Pergamum are not available. One can assume that the scarcity of written materials and their value as unique records made comprehensiveness, completeness, and preservation guiding principles. The library at Alexandria, which flourished between the third century BCE and the first or second century CE, held more than 600,000 scrolls, reportedly acquired through theft as well as purchase.[2] In the 800s, Al-Mamun, caliph of Bagdad, collected as many classical works from the Byzantine Empire as he could, had them translated into Arabic, and kept them in the House of Wisdom. Libraries served primarily as storehouses rather than as instruments for the dissemination of knowledge or sources for recreational reading. Comprehensiveness, completeness, and preservation have continued as library goals through the growth of commerce, the Renaissance, the invention of movable type, expanding lay literacy, the Enlightenment, the public library movement, and the proliferation of electronic resources.

Systematic philosophies of selection were rare until the end of the nineteenth century, although a few early librarians wrote about their guiding principles. Gabriel Naudé, hired by Cardinal Mazarin to manage his personal library in the early 1600s, addressed selection in the first modern treatise on the management of libraries. He stated, "It may be laid down as a maxim that there is no book whatsoever, be it never so bad or disparaged, but may in time be sought for by someone."[3] Completeness as a goal has been balanced by a desire to select the best and most appropriate materials. In 1780, Jean-Baptiste Cotton des Houssays, librarian at the Sorbonne, stated that libraries should consist only of books "of genuine merit and of well-approved utility," with new additions guided by "enlightened economy."[4] Appropriate criteria for selectivity have been a continuing debate among librarians and library users for centuries.

Academic Libraries

Libraries developed first in the American colonies as private collections and then within institutions of higher education. These early libraries were small for three reasons: relatively few materials were published in the New World, funds were limited, and acquiring materials was difficult. Even as late as 1850, only six hundred periodicals were being published in the United States, up from twenty-six in 1810.[5] Monographic publishing was equally sparse, with most works being religious in nature.

Academic libraries seldom had continuing budget allocations in their first centuries and, therefore, selection was not a major concern. Most support for academic libraries' collections came from gifts of books or donations to purchase them. Less than a tenth of the holdings of colonial American college libraries were added through direct purchase.[6] Most gifts were gladly accepted. Any institutional funds came from the occasional actions of the trustees or boards of regents rather than from recurring allocations. Student library fees were charged at several institutions, either on a per-annum or a per-use basis.[7] Even by 1856, when John Langdon Sibley became librarian of Harvard, the total fund for library acquisitions and binding was only $250 per year—about $6,366 in 2012 CPI dollars. In comparison, Harvard spent $45,220,000 on acquisitions and access in fiscal year 2012.[8] Even with funds in hand, acquiring materials was challenging. Everything had to be purchased on buying trips to book dealers in large East Coast cities and Europe.

Collections grew slowly. By 1790, Harvard's library had reached only 12,000 volumes. It had averaged eighty-two new volumes per year in the preceding 135 years. At the same time, the College of William and Mary's library collection numbered only 3,000, and it was the second largest. Academic libraries added, on the average, only 30–100 volumes per year before 1800. Most additions, because they were donations, were irrelevant to the educational programs of the time.[9] By 1850, only one U.S. academic institution had a collection larger than 50,000 volumes: Harvard College collections had reached 72,000 volumes.[10] At mid-century, total holdings for the approximately seven hundred colleges, professional schools, and public libraries in the United States were only 2.2 million volumes.[11]

Academic libraries reflected American education's priorities of the time: teaching rather than study, students rather than scholars, and maintaining order and discipline rather than promoting learning and research. Reflective thinking and theoretical considerations were unusual in any college discipline before the American Civil War. As a consequence, academic libraries had only limited significance in their institutions and still functioned as storehouses.

After the American Civil War, academic libraries and their parent institutions began a period of significant change. Libraries gained greater prominence as universities grew. The period from 1850 to 1900 witnessed a fundamental change in the structure of American scholarship, influenced by ideas and methods imported from German universities, which had become centers for advanced scholarship. The move to lectures and seminars as replacements for textbooks, memorization, and recitation and the increasing importance of research had far-reaching consequences for libraries. Passage of the Morrill Act in 1862, which created the land grant universities, introduced the concept that universities were obligated to produce and share knowledge that would advance society. A direct result was a tremendous increase in scholarly journals and monographs. The needs and working habits of the professionalized and institution-centered scholars were quite different from those of their predecessors. Scholars' attitudes toward the academic library experienced a basic reorientation, and the institutional academic library became a necessity. The scholarly profession was no longer confined to those who had the private wealth to amass extensive personal collections. A mounting flood of publications meant that even those few scholars with private means could not individually keep up with and manage all the new information available. They needed the institutional library to consult and to have access to the growing number of materials necessary for research. As the library became increasingly important to higher education, the process of creating collections gained a higher profile.

College libraries began to diverge from university libraries as their parent institutions' missions evolved in the second half of the 1800s. As universities expanded to support graduate and professional programs and major research initiatives, their libraries, in response, sought to develop comprehensive collections that would support both current and future programs and research. College libraries, on the other hand, retained a focus on supporting undergraduate teaching programs and the needs of undergraduates, a focus that continues today.[12] They did not seek to build the comprehensive collections that have come to characterize university libraries.

Well into the 1900s, most selection in both university and college libraries was handled by faculty members. When Asa Gray was hired as an instructor at the University of Michigan in 1838, he went first to Europe to acquire books for the library. The president at Ohio Wesleyan traveled to New York and Europe in 1854 to purchase library books.[13] German university libraries were unique in placing selection as the direct responsibility of librarians and staff, with less faculty input. A primary and early advocate of the role of librarians in developing library collections was Christian Gottlob Heyne, the librarian at the University of Göttingen in Germany from 1763 to 1812.[14] In 1930, faculty members in the United States still were selecting as much as 80 percent of total university library acquisitions, and librarians were choosing a modest 20 percent.[15] This ratio began to shift in the 1960s at universities and had reversed by the late 1970s, although faculty continue to have an important selection role in many smaller institutions. These teaching faculty often collaborate with librarians, who may have responsibility for some types of materials and portions of the collection. The change can be linked to an increasing professionalism among librarians, the burgeoning volume of publications, a growing number of librarians with extensive subject training, and the expanding pressure of other responsibilities, including research and publication, on faculty. As the responsibility for building library collections shifted from faculty to librarians—or to a shared responsibility—selection emphasis changed from selecting materials primarily to meet the needs and interests of specific faculty members to building a unified collection to meet both current and future institutional priorities.

The period between 1945 and 1970 has been called higher education's "golden age" and paralleled post–World War II economic expansion.[16] Unemployment was low for most of this period, and tax revenues at the local, state, and federal levels increased. Many of these dollars flowed into higher education, and libraries benefited directly. A series of federal programs, beginning with the Servicemen's Readjustment Act—the G.I. Bill—in 1944 subsidized student tuition.[17] The G.I. Bill, which allowed World War II veterans to attend college at no cost, resulted in an influx of funds that colleges and universities directed to new faculty positions and programs, and to infrastructure including libraries. The 1958 National Defense Education Act (NDEA) was a response to the Soviet Union's launch of Sputnik and fear that the United States was falling behind in technology and the sciences. The NDEA authorized funding for higher education loans and fellowships, vocational teacher training, and programs in the K–12 schools, including math, science, and foreign-language activities. In 1965, the Higher Education Act (HEA) was enacted to strengthen educational resources in colleges and universities and provide financial assistance for students. The HEA has been reauthorized at four-year intervals and is the basis for many of today's postsecondary education subsidies, including student loan and grant programs, direct funding for college and university libraries, and teacher training programs. Title VI of the HEA supports infrastructure building in colleges and universities for foreign-language, international, and area studies with often significant funding directed to building library collections in support of these initiatives.

The golden age of higher education was also a golden age for libraries. College and university library budgets grew rapidly. Rider made his famous prediction that research library collections would double every sixteen years. In 1953, Braugh wrote that the mission of Harvard's library was the "collection and preservation of everything printed."[18] The seemingly endless possibilities for growth broadened the librarian's collection responsibilities. Moving beyond individual book evaluation and selection, librarians began to view building coherent collections as an important responsibility. They began to seek and acquire materials from around the world. The scope of collections expanded to include Asia, Africa, the Middle East, and Eastern Europe as well as Western Europe.[19]

The emphasis during this period was on growth and handling it effectively. Collections theory began to focus on who should be selecting materials for the library, how selection decisions were made and the appropriate criteria, and alternatives to individual title selection for building collections. During the 1950s, vendors began offering services that freed librarians from ordering directly from publishers. Many of these service agencies began supplying materials through approval and blanket plans, freeing academic librarians to concentrate on identifying and obtaining more esoteric resources.

By the 1970s, budgets in academic libraries began to hold steady or to shrink. Fiscal constraints were coupled with increasing materials costs. In the 1980s, the escalating cost of journals led librarians to decry a "serials crisis." The Association of Research Libraries (ARL) began tracking serials and monograph unit costs, expenditures, and number of titles purchased against the CPI. Between 1986 and 2011, ARL, often a bellwether for all sizes of academic libraries, documented a 402 percent increase in serial expenditures.[20] Monograph unit costs increased 99 percent, those for monographs 71 percent. The result was only a 10 percent increase in the number of monographs purchased in ARL member libraries during the twenty-five years. These large academic libraries continue to invest a major portion (70 percent, on average) of their budgets in serials, including electronic resources, and a lesser portion in monographs.

The consolidation of publishers and vendors has changed the marketplace in which collection development librarians make their decisions. Six groups (Reed Elsevier, Taylor and Francis, Wolters Kluwer, Candover and Cinven, Wiley-Blackwell, and Verlagsgruppe George von Holtzbrinck) now control more than forty major commercial scholarly publishers, with Reed Elsevier controlling more than 30 percent of this market.[21] With mergers have come price increases: when Elsevier Reed purchased Pergamon, Pergamon's journals prices increased 27 percent; when Kluwer purchased Lippincott, Lippincott's prices increased 30 percent.

Initially, librarians hoped that electronic journals would provide an alternative to the high cost of serials facing libraries. The end of the 1990s introduced the Big Deal, in which commercial publishers bundled packages of e-journals for a single price with the promise that cost increases would be controlled if libraries accepted the package, often with conditions prohibiting cancellations for a specified number of years. Before long, academic librarians began to question the advantages of signing a Big Deal agreement because of the limitations on cancellations.

Academic librarians became preoccupied with journal pricing projections, serial cancellation projects, electronic publishing ventures that might affect pricing, and perceived unfair pricing practices. How best to allocate limited funds among different subject areas and formats and demonstrate financial accountability concerned collections librarians, and they began to look for guidance in how they could make responsible decisions with less money. The goal of autonomous, self-sufficient collections became less realistic. Collection development policy statements became more common as libraries sought guidance in managing limited financial resources amid conflicting demands.

Interest grew in increasing library cooperation. OCLC (Online Computer Library Center), established in 1967 for academic libraries in Ohio, opened its membership to all types of libraries regardless of location and facilitated the sharing of resources as well as bibliographic records. The Research Libraries Group was founded in 1974 as a "partnership to achieve a planned, coordinated interdependence in response to the threat posed by a climate of economic retreat and financial uncertainty."[22]

Library consortia became increasingly important as academic libraries sought to negotiate the best price for e-content. Most early efforts at securing discounted subscriptions came from academic library consortia, but consortia now may represent all types of libraries and be based on geography, type of library, subject specailization, or a combination of these.

Librarians questioned the older idea of building comprehensive collections in large libraries "just in case" a particular item might be needed and suggested that a more responsible use of budgets might be supplying materials to meet users' need "just in time." *Just-in-time* is a business phrase that describes a means of inventory control. The goal of just-in-time inventory management is to reduce the use of buffer inventories and to synchronize the movement of materials through the production process so that materials are delivered only just before they are needed. *Just-in-case* management is the opposite, meaning that large inventories of production materials are held on-site so they are always on hand whenever they are needed. Librarians often framed this as a debate between ownership versus access.

Increased use of interlibrary loan became an obvious option to building comprehensive local collections. In 1988, Line wrote, "Before World War 2, interlending was regarded as an optional extra, a grace and favour activity, to be indulged in sparingly; any research library considered it an admission of failure to have to obtain any item from elsewhere. Now every library, however large, accepts that it cannot be self-sufficient, and some of the largest obtain the most from elsewhere."[23]

Additional options for providing materials at the point of need have been embraced by many academic libraries. One option is to provide articles via

A

D