

National Cheng Kung University Library Operation Regulations for Acquiring Books and Other Materials

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Submitted to University Library Committee on Mar. 20, 2006
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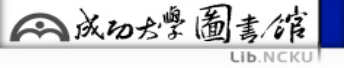
I. National Cheng Kung University Library (hereinafter referred to as the Library) has formulated its operation regulations in accordance with the NCKU Library Collection Development Policy, as its foundation for acquiring Chinese and foreign language books and other materials.

【Books Purchase Procurement】

II. Authorized Purchases with Department and Graduate Institute Funds.

1. Fixed Allocation (Note 1)

- a. The Library informs each department and graduate institute by mail that the budget for the current year's purchase of books is the balance of 10% of department and graduate institute books allocation fund or extra appropriation deducted from the budget for subscriptions to journals and databases.
- b. Departments and graduate institutes shall submit their recommended book list to the Acquisition & Cataloging Division of the Library for processing book recommendations. Then, the Library will take charge of the purchase, inspection and verification of expenditures according to purchasing procedures.
- c. If the purchase cost of the recommended books exceeds the book purchasing budget for the current year, the department and graduate institute should make up the difference or shift the order to the next fiscal year. If there is still a balance after purchase, the Library will notify the department and graduate institute to provide more recommendations of books by the end of September. After the deadline for recommendations has passed, the balance will be allocated and used by the Library.



- d. Departments and graduate institutes can check the status of their budget and the purchasing status of the recommended materials with the Acquisition & Cataloging Division of the Library at any time.

2. Extra Appropriation

- a. Departments and graduate institutes can increase their appropriation and authorize the Library to purchase books and materials. To allow for accounting operations of the University as well as time for purchasing operations, the appropriation for books and lists of recommended book should be provided by the end of September.
- b. Other appropriations apart from books funds must meet the expenditure management schedule and the recommended book lists must be submitted on time. Also, the Library can decide whether to accept the authorized purchase for extra appropriation or not according to its schedule.

3. Rush Purchases

- a. Rush purchases are limited to those books and materials which are urgently needed for teachers' teaching and research purposes or for official business of the University. Teachers of at least lecturer status can apply for a rush purchase, which will be paid for from the department and graduate institute funds and will be processed immediately upon receipt.
- b. If the rush purchase request for professors' course reserves is not proposed by the Collection Management and Circulation Services Division, it should be paid for from department and graduate institute funds.

4. Related issues for department and graduate institute or personal overseas book purchasing are processed according to the National Cheng Kung University Guidelines for Departments/Faculty Members Purchasing Academic Materials Abroad.

5. All books and journals purchased with department and graduate institute authorization are kept in the Library, and the Library is responsible for property management and circulation.

III. Purchase by Using Library Funding

1. Core Library Collection

- a. The Acquisition & Cataloging Division informs each department and graduate institute by mail to survey the need to renew standing orders for subscriptions. After gathering feedback from each department and graduate institute, deleting the suspended titles, the core library collection will be established.
- b. Department and graduate institutes can propose new subscriptions, and the Library will evaluate the need according to the funding and subject.
- c. Subscription of core library collection shall be for at least three years to develop a complete library collection.

2. Library Purchases

- a. Chinese books: The Library will regularly select and purchase new books which meet the NCKU Library Collection Development Policy and feature subjects from related websites, contracted book sellers, publisher's catalogs and etc.
- b. Reference materials: The materials must be the latest edition and in accordance with the NCKU Library Collection Development Policy. For continuous publications, the Library will draw up the list of standing orders according to library funding and reader's needs. Of those reference materials with paper and electronic versions, the version to be acquired will depend on the continuity and completeness of the publication, the budget and reader's needs.
- c. Multimedia materials: All multimedia materials are processed according to the National Cheng Kung University Guidelines for Collecting Multimedia Audio-visual Materials.
- d. Reference materials, multimedia materials, professors' course reserves, purchases for missing materials, renewals of library collection, and books for public affairs shall be recommended by the related divisions. The Acquisitions & Cataloging Division will submit the subscription according to the funds.
- e. Books in foreign languages and from Mainland China will be purchased according to recommendations from departments and graduate institutes and readers.
- f. The Collection Management and Circulation Services Division will regularly send a list of books high in demand to the Acquisition & Cataloging Division for it to decide if it is necessary to purchase additional copies according to the NCKU Library Collection Development Policy and the following principles.
 - (1) The additional copies purchased must meet the duplicate purchase principle of the NCKU Library Collection Development Policy, and qualify for high usage and academic value.
 - (2) The Library won't purchase additional copies if there are two copies in the collection already.
 - (3) The Library won't purchase additional copies if computer books have been published for over two years or a more recent edition has already been released.

3. Reader's Recommendation

- a. Applicable readers: faculty, staff, and students at the University.
- b. Processing Principles:
 - (1) Faculty, staff and students can recommend online by logging into the System of Suggest a Purchase of Library Materials.
 - (2) Books recommended by the same reader and approved by the Library for purchase in one semester are limited to five Chinese books and three foreign language books. Multimedia materials recommended by each reader in one semester is limited to the amount of NT\$3,000. The quantity or amount of reader's recommendations might be changed

according to the annual funds.

- (3) Purchase of reader's recommendations is subject to the NCKU Library Collection Development Policy and funds.
- (4) The Acquisitions & Cataloging Division shall process the reader's recommendation to purchase. The reader who recommends has priority to borrow the books, and will be notified by email when the materials are available for use.
- (5) Those materials beyond the limit of quantity and budget but qualified to be in the library collection, the Library may keep on the waiting list and do as many appropriate purchases as possible. The recommender, however, will not have priority to borrow the books.

IV. Donations of money: The Library accepts donations to purchase books and other materials.

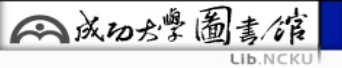
【Exchange and Gift】

V. Sources of Donated Materials

1. The Library accepts all government publications donated from government agencies.
2. The Library regularly selects new books and asks for gifts which meet the NCKU Library Collection Development Policy and featured subjects from related websites, publication catalogs, etc.
3. Donated books from library users.

VI. Principles for Accepting Donated Materials

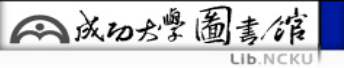
1. The donated materials must be in accordance with the NCKU Library Collection Development Policy.
2. Publications have to comply with copyright regulations. Audio-visual materials should be the public use edition or the public performance license has been granted.
3. Print-out master and doctoral theses as well as technical reports.
 - a. Except for NCKU master theses and doctoral dissertations, degree theses donated by other domestic organizations will not be accepted.
 - b. Technical reports will be accepted within the constraints of the NCKU Library Collection Development Policy.
4. Memorial albums of each academic year published by NCKU will be collected.
5. The Library keeps current science books (science and engineering books within the past five years, computer science books within the past two years). If the Library already has books on the same subject in its collection, the Library will decide to accept the donated books or not based on its novelty.
6. In general, gifts that are duplicates of items already in the collection shall not be accepted.



7. The Library does not accept institute introductions, guidelines for further study and test books, member address directories, laws, standards, regulations with incomplete content or proceedings with only agenda and summary, autobiographies merely for personal commemoration or not yet published, publications about propagation of religious doctrine, fortune telling, those violating ethics or with ridiculous statements, and those books that are not suitable to be included in the collection as evaluated by librarians.
8. The Library does not accept books with notes, remarks, underlining, damage or incomplete packages, etc., except valuable out of print books. Also, personal press cuttings and unbound documents are not accepted, except especially valuable materials.
9. The Library collection does not include books that apply to junior high school and elementary school students.
10. The Library only collects set books (such as with book 1 and book 2) when the full set is available.

VII. Principles for Processing Donated Materials

1. Those donated materials unqualified according to item 6 of the regulations, or which are not beneficial to teaching and research, the Library has the right to decline, eliminate, or forward to other libraries.
2. The Library has full discretion to deal with donated materials, and does not set up separate rooms or shelves for preservation. Donors cannot designate the way donated materials are dealt with. Special cases will be proposed to the Library Affairs Meeting to be approved on a case-by-case basis. The Library will specify donors of the gift materials.
3. If the donors provide the Library with contact information, the Library will send a letter of appreciation and acknowledgement after receiving the gifts.
4. When recognition of rare books and materials is required, the Library will invite representatives from relevant organizations, consultants and experts to evaluate them together.
5. Donated books can be mailed or delivered to the Library. For donation of a large volume of books, please check the Library online catalog first to eliminate duplicate copies, or make a donated books list for the Library to select. Then, the Library will discuss with the donor about how to obtain the donated materials.
6. Reward for Donation:
 - a. Donated materials added to the Library collection will show the name of the donor at the end of the book.
 - b. The Library Affairs Meeting will decide the reward and appreciation acknowledgement for high-priced and valuable books accepted by the Library, or materials donated as a special project. The Library will get the donors' approval in advance and announce their names on the Library's website. At the same time, the Library will also follow the NCKU donation operation procedures to submit reports and request the University to grant the donors a letter



(certificate) of gratitude.

VIII. Operation Principles for Exchange or Gift

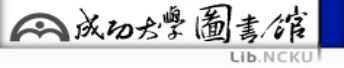
1. Materials for exchange should comply with the NCKU Library Collection Development Policy, and the Library should exchange materials following the principle of equal quantity or equal value.
2. Exchange and donated materials to other libraries
 - a. Publications made by the Library.
 - b. Publications provided to the Library as presentation copies by each department and graduate institute of NCKU.
 - c. Donated materials that are not included in the Library collection.
3. The sender will handle the delivery expense.

【Deposit Materials】

- IX. NCKU postgraduates and doctoral candidates must hand in one copy of thesis (paperback)/dissertation (hardback), and also upload the electronic file of the thesis/dissertation according to the National Cheng Kung University Guidelines for Collecting Digitalized Theses.
- X. The Library will investigate and collect two copies of publications from departments and graduate institutes of NCKU. One is reserved in the NCKU Publications Area, and the other is open for use.
- XI. All the degree theses, dissertations and publications of NCKU faculty (only those who didn't obtain their degree from NCKU), and the representative publications of promoted faculty will be submitted to the Library for collection and will be reserved in the NCKU Publications Area.

【Self-purchase by Department and Graduate Institute】

- XII. The Library administers the University's book material assets. Those purchased through departmental budget or professor's research expense must be submitted to the Library to carry out receipt procedures and property verification.
- XIII. The delivered materials should meet the NCKU Library Collection Development Policy and adhere to the law on copyright and related rights. Audio and visual materials should be standard edition for public use and the public performance license have been granted except those purchased for professor's personal research projects. Software resources or computer programs, however, should be submitted to the Property Management Division for asset verification instead of to the Library.
- XIV. Books delivered for registration should not have notes, head notes and underlining or defaced condition, missing pages, water stains, insect bites and other damage.
- XV. The person in charge from each department and graduate institute must verify unit and total



price are in complete accord with the invoice amount before delivering them to the Acquisitions & Cataloging Division for receipt procedure. They are requested to arrange the materials on the book cart according to the list of items, and note the number of volumes.

XVI. Details not stated clearly in the Regulations are subject to governance of the NCKU Library Collection Development Policy. If there are any occasions of disagreement or controversy, the Acquisitions & Cataloging Division will invite relevant organizations to reach a collaborative decision, or otherwise submit the matter to the Library Affairs Meeting for deliberation and resolution.

XVII. The Regulations come into effect upon the approval of the Library Affairs Meeting and then further filed to the University Library Committee. Amendments to the operational directions should follow the same procedure.

Note

1. According to the 3rd Academic Affairs Division Meeting for the First Semester in 1998, colleges without a library branch should preserve a certain percentage of library funding to authorize the Library to purchase books, journals, etc. Current percentage is 10%.

*These rules were translated from the original Chinese. In the event of any discrepancies between the two versions, the Chinese always takes precedence.