

# PRINCIPLES AND GUIDELINES

FOR AUSTRALIAN HIGHER  
EDUCATION LIBRARIES

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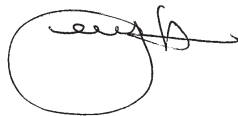
# FOREWORD

At the heart of the mission of CAUL is: *to enhance the value and capacity of Australian university libraries*. The **Principles and Guidelines for Australian Higher Education Libraries, 2016** provides a framework for describing and assessing the role and functioning of contemporary university libraries. Developed after extensive consultation with leaders within Australian higher education, the Principles and Guidelines acknowledge the leadership and professional expertise necessary for the delivery of high quality services and resources for research, teaching and learning. It is envisioned that the Principles and Guidelines will offer a multitude of uses: for example, internal and external review, accreditation, focussed self-assessment to guide continuous improvement.

The **Principles and Guidelines for Australian Higher Education Libraries** will enable the proactive assessment of university library performance across a range of priority areas:

- Strengthening learning, teaching and research outcomes
- Fostering the creation and dissemination of new knowledge
- Growing a dynamic, sustainable and accountable organisation.

Importantly, the Principles and Guidelines will assist in providing insight as to how the university library contributes towards achieving institutional effectiveness and performance.



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September 2016

# INTRODUCTION

CAUL has developed a contemporary set of good practice principles and guidelines to provide a quality framework for Australian higher education libraries.

This framework was developed to acknowledge the continuing evolution of university libraries and the unique professional skills and capabilities held within libraries that contribute to institutional and national higher education performance outcomes.

University libraries repeatedly demonstrate their capacity to predict and respond to opportunities that emerge from new technologies, education and research reform and transformation, and the creation of new information management standards. These innovations are reflected in publications such as the annual **NMC Horizon Report: Library Edition** where Australian university libraries are featured for their leadership in establishing digital literacies programs, collaborative and technology-enabled learning spaces, 3D printing, maker-space zones, open access university library presses, and sophisticated services promoting and optimising Australia's research impact.

New standards of professional expertise have enabled ubiquitous access to information, collections, learning objects, and research outputs regardless of location – reflecting the increasing dispersion and globalisation of Australian higher education - and for transforming the way that students and the academy engage with information. The considerable investment in the refurbishment and creation of library buildings across the country underscores the contribution and importance of library spaces and services as centres for learning.

The importance and value of higher education libraries is reflected in external reference points such as the Tertiary Education Quality and Standards Agency Act 2011, **Higher Education Standards Framework (Threshold Standards) 2015**, the **TEQSA Guidance Note: Information Resources** and the national **Quality Indicators for Learning and Teaching** benchmarking process. The CAUL Engagement Framework supplements the Principles and Guidelines through agreed communication and advocacy initiatives.

The principles and guidelines were developed after extensive consultation with stakeholders. This was critical in ensuring that the principles are externally focused, acknowledge the aspirations for university libraries by various stakeholders, and that they are aligned to institutional priorities.

The principles and guidelines provide CAUL members with a framework to assist with planning and strategic alignment, and articulating:

- What is a contemporary university library?
- The alignment of library activity with that of the university
- How libraries add value through their professional skills and capability
- How university libraries are distinguished from other services and facilities – their visibility, impact and independence
- How university libraries can influence and support government and university policy development and decision-making.

# DEVELOPMENT OF THE PRINCIPLES AND GUIDELINES

The desktop research undertaken as part of this CAUL project identified two examples that have influenced the development of the CAUL principles and guidelines: the ACRL Standards for Libraries in Higher Education<sup>1</sup>, and Museums Australia's<sup>2</sup> National Guidelines for Australian Museums and Galleries.

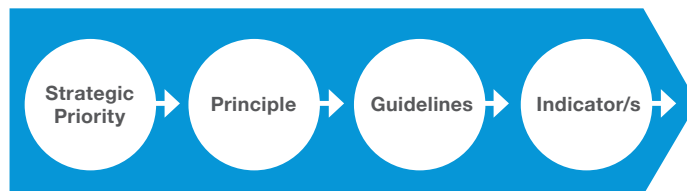
A further model of interest is that of the Canadian Library Association's Guidelines of Practice for School Library Learning Commons in Canada<sup>3</sup>. Their standards are mapped to an organisational 'maturity' model that involves a growth continuum from 'exploring' to 'established' to 'leading'.

The desktop research was supplemented by 30 one-on-one interviews with a diverse range of University library stakeholders (university librarians, senior university academic and administrative staff, affiliated library and university bodies and peak bodies representing students), and their insights have shaped the development of the Principles and Guidelines. Consistent themes arising from the stakeholder interviews highlighted the importance of the libraries' client-centred approach, their provision of access to information, their ability to optimise its usability, and to collaborate within the university and beyond the university.

The proposed CAUL Principles and Guidelines are driven by a focus on the university's mission and how libraries enable that mission by:

1. Strengthening the university's learning, teaching and research outcomes (includes enriching the student learning experience and preparing students for successful, adaptive careers in emerging occupations/professions)
2. Fostering the creation and dissemination of new knowledge and strengthening research outcomes (includes enriching research planning, productivity and impact)
3. Growing a dynamic and accountable organisation (i.e. the library - its services, spaces, collections and staff) which adds value to the university.

The following structure has been used for the Principles and Guidelines.



**Strategic priorities** have been informed by the review of a sample of Australian universities' strategic plans and stakeholder interviews. These confirm that libraries need to be able to demonstrate their value to their parent organisation's mission and that 'the organisation's mission must be the driver of library standards'<sup>4</sup>.

Hence the strategic priorities focus on common university strategic priorities:

- Learning, teaching and research outcomes
- The creation of new knowledge
- Managing the university's assets in a sustainable and effective way (i.e. the library, its resources and spaces).

For each strategic priority, a series of principles and associated guidelines have been provided, for example:

## STRATEGIC PRIORITY 1: Strengthening learning, teaching and research outcomes

PRINCIPLE	GUIDELINES
<b>PRINCIPLE 1.1</b>	<b>GUIDELINE 1.1.3</b>
The library understands, anticipates and responds to the university's diverse stakeholders and their information needs	Stakeholder feedback and evidence inform planning, and help to shape library strategy

1. ACRL, Standards for Libraries in Higher Education. (2011). Chicago: Association of College & Research Libraries. Retrieved 8.9.16 from <http://www.ala.org/acrl/standards/standardslibraries>

2. Museums Australia, National Standards for Australian Museums and Galleries Version 1.4, (2014). Retrieved 8.9.16 from [http://museumsaustralia.org.au/userfiles/file/Members%20Resources/NSFAMG\\_v1\\_4\\_2014.pdf](http://museumsaustralia.org.au/userfiles/file/Members%20Resources/NSFAMG_v1_4_2014.pdf)

3. Canadian Library Association, Standards of Practice for School Library Learning Commons in Canada (2014). Retrieved 8.9.16 from <http://apsds.org/wp-content/uploads/Standards-of-Practice-for-SchoolLibrary-Learning-Commons-in-Canada-2014.pdf>

4. Comment provided by a non-university librarian interviewee

Given the rapidly changing university environment and the diversity of Australian universities and their libraries, the **Guidelines** are by necessity broad. They can be applied as appropriate to each organisation, and will be refined by CAUL in response to changes in the environment over time.

A range of **Sample Indicators for the Guidelines** will be developed over time with input from CAUL members.

Libraries will develop and select indicators most appropriate to their individual universities' context and environments.

By applying the Canadian Library Association's Guidelines of Practice for School Library Learning Commons in Canada's<sup>5</sup> development approach to the CAUL Guidelines, the Principles can be further refined through the introduction of 'maturity' or growth indicators, for example:

## STRATEGIC PRIORITY 1: Strengthening learning, teaching and research outcomes

PRINCIPLE	GUIDELINES	SAMPLE INDICATORS		
		EMERGING	EVOLVING	LEADING
<p><b>Principle 1.1</b> The library understands, anticipates and responds to the university's diverse stakeholders and their information needs</p>	<p><b>Guideline 1.1.3</b> Stakeholder feedback and evidence inform planning, and help to shape library strategy</p>	<p>Stakeholder feedback and evidence is collected</p>	<p>Stakeholder feedback and evidence is collected, collated, analysed and emerging issues identified</p>	<p>Emerging issues data from stakeholder feedback is used to shape action plans that address the issues identified.</p> <p>Feedback on action plans is provided to stakeholders</p>

5. Canadian Library Association, Standards of Practice for School Library Learning Commons in Canada (2014), retrieved 8.9.16 from <http://apsds.org/wp-content/uploads/Standards-of-Practice-for-SchoolLibrary-Learning-Commons-in-Canada-2014.pdf>

## DEFINITIONS

Where possible the terminology used in these Principles and Guidelines is that used in the Higher Education Standards Framework.<sup>6</sup>

Key terms used throughout the **Principles and Guidelines for Australian Higher Education Libraries** are:

### Appropriate

Appropriate encompasses two dimensions:

1. Culturally appropriate, suitable for people with a disability, suited for diverse stakeholders and their diverse contexts
2. Institutionally appropriate, suits the university's strategic priorities, size, scale, scope, location/s, mode/s of delivery, and nature of courses and research conducted.<sup>7</sup>

### Fit for purpose

Well-equipped or well suited for a designated role or purpose.

### Guidelines

Guidelines demonstrate the different dimensions of a Principle. Indicators can be developed for Guidelines to illustrate the type of evidence that might demonstrate that a guideline is being met.

### Indicator

Indicators provide evidence of how a guideline might be met. Indicators may vary according to the type of library and the focus of the parent university.

### Information resources

'Library and information resources' refers to all physical and digital materials including educational resources that provide information relevant to curricula and research, including infrastructure such as electronic databases, that are made available by a provider to support the higher education objectives of its operations.<sup>8</sup>

### Knowledge creation

Interactions between tacit and explicit knowledge which lead to the creation of new knowledge.<sup>9</sup>

### Principle

Core principles are provided for each Strategic Priority. Principles are high level statements that guide practice. Guidelines are provided for each Principle.

### Stakeholder

The term 'stakeholder' is broader than the term 'user' and has been used deliberately. Users are current while 'Stakeholders' encompass 'current', 'past' and 'future users'. Some stakeholders may never be 'users' but are still important to libraries and their future.

### Strategic priority

Strategic priorities are high-level statements that reflect strategic priorities in university Strategic Plans. They are intended to show the role a library plays in helping a university achieve its mission. Each strategic priority is underpinned by a set of principles.

### Value creation

Creating value for the institution, stakeholders and employees.

### Value proposition

Value proposition refers to the benefit provided by a library to a university. That benefit or 'value proposition' considers cost to the university and return-on-investment to the university.

6. Higher Education Standards Framework (Threshold Standards) 2015 <http://www.legislation.gov.au/Details/F2015L01639>

7. Extracted from the Tertiary Education Quality and Guidelines Agency Act 2011 <http://www.legislation.gov.au/Series/C2011A00073>

8. [http://www.teqsa.gov.au/sites/default/files/InformationResourcesGNFinal\\_0.pdf](http://www.teqsa.gov.au/sites/default/files/InformationResourcesGNFinal_0.pdf)

9. Nonaka, I. & Takeuchi, H. (1995). *The Knowledge-Creating Company*. New York: Oxford University Press

# STRATEGIC PRIORITIES, PRINCIPLES AND GUIDELINES

## STRATEGIC PRIORITY 1: Strengthening learning, teaching and research outcomes

PRINCIPLE	GUIDELINES
<b>PRINCIPLE 1.1</b>	
The library understands, anticipates and responds to the university's diverse stakeholders and their information needs	<b>1.1.1</b> The library is involved in information management strategies, policy and planning processes, including curriculum development, at an Institutional level.
	<b>1.1.2</b> The library has a framework for engagement with stakeholders in culturally appropriate ways and a quality assurance methodology and processes to regularly seek and, where appropriate, act upon feedback and advice from stakeholders to ensure that student, teaching and research needs are addressed and emerging needs are identified.
	<b>1.1.3</b> Stakeholder feedback and evidence inform planning and help to shape library strategy.
	<b>1.1.4</b> The library is actively engaged in the university's learning, teaching and research activities, collaborating with teaching and research staff to meet information needs and leverage library expertise to enrich learning and research.
	<b>1.1.5</b> The library builds and maintains relationships with relevant peak information bodies and networks nationally and internationally to ensure best practice.
	<b>1.1.6</b> The library actively engages with relevant organisations (e.g. publishers, preservation agencies, copyright agencies) to advocate for and ensure university and stakeholder information needs are met.
<b>PRINCIPLE 1.2</b>	
The scholarly resources that stakeholders need are discoverable, accessible, relevant and usable	<b>1.2.1</b> The library provides access to a sufficient mix, breadth and depth of content and scholarly resources that are fit for purpose and support digital scholarship.
	<b>1.2.2</b> The library optimises access to a range of content by ensuring this is discoverable, accessible and unconstrained by place and time.
	<b>1.2.3</b> The library collaborates with other organisations to enable Information resources to be obtained for library users in a timely cost-effective manner
	<b>1.2.4</b> The library describes, manages, stores and provides access to the university's teaching and learning resources, such as reading lists, Open Educational Resources (OERs) and examination papers.
	<b>1.2.5</b> The library manages its collections (including archival collections) efficiently, effectively and in culturally appropriate ways to meet stakeholder and university requirements.



PRINCIPLE	GUIDELINES
<b>PRINCIPLE 1.3</b>	
Expert professional advice and tailored programs and activities meet stakeholders' needs	<p><b>1.3.1</b> The library is embedded in and enriches the student and research lifecycle.</p> <p><b>1.3.2</b> All students have access to library learning programs and activities consistent with the requirements of their course of study, their mode of study and the learning needs.<sup>10</sup></p> <p><b>1.3.3</b> The library provides accurate, expert and professional advice on appropriate information access, use, reuse and management of the university's published and unpublished information resources and collections.</p> <p><b>1.3.4</b> The library provides accurate, expert professional advice via multiple accessible methods and channels so that stakeholders can effectively meet their information needs.</p> <p><b>1.3.5</b> Library staff are appropriately skilled, responsive and client-centred.</p> <p><b>1.3.6</b> Library staff are accessible to students seeking individual assistance with their studies<sup>11</sup></p> <p><b>1.3.7</b> The library provides educational programs and training to enable stakeholders to build contemporary research, academic and digital literacy skills.</p> <p><b>1.3.8</b> The Library enables ethical scholarship by supporting academic integrity.</p>
<b>PRINCIPLE 1.4</b>	
Library spaces are fit for purpose, adaptive, and facilitate learning, teaching and research endeavours	<p><b>1.4.1</b> Virtual and physical library spaces are provided to enable anywhere, any time learning, teaching and research.</p> <p><b>1.4.2</b> The library's learning environment, whether physical or virtual, and associated learning activities support academic interactions among students outside of formal teaching<sup>12</sup></p> <p><b>1.4.3</b> Physical and virtual spaces are underpinned by appropriate, robust, reliable IT infrastructure.</p> <p><b>1.4.4</b> Library spaces support the learning outcomes articulated by the university and are accessible and well maintained.</p>
<b>PRINCIPLE 1.5</b>	
Technologies that facilitate learning and knowledge creation are accessible and relevant	<p><b>1.5.1</b> The physical and virtual library has an appropriate and supported range of current technologies to enable access to resources for learning, teaching and research programs and activities.</p> <p><b>1.5.2</b> The library engages in developing students' digital literacy skills to enable students to successfully live, learn and work in a digital world.</p>

10. Item 3.3.5 – Higher Education Standards Framework (Threshold Standards) 2015 [www.legislation.gov.au/Details/F2015L01639](http://www.legislation.gov.au/Details/F2015L01639)

11. Item 3.2.5 – Higher Education Standards Framework (Threshold Standards) 2015 [www.legislation.gov.au/Details/F2015L01639](http://www.legislation.gov.au/Details/F2015L01639).

12. Item 2.1.3 – Higher Education Standards Framework (Threshold Standards) 2015 [www.legislation.gov.au/Details/F2015L01639](http://www.legislation.gov.au/Details/F2015L01639)

## STRATEGIC PRIORITY 2: Fostering the creation and dissemination of new knowledge

PRINCIPLE	GUIDELINES
<b>PRINCIPLE 2.1</b>	
The Library increases the discoverability, use and impact of the university's research outputs through information leadership, collaboration and the application of information management expertise	<b>2.1.1</b> The library enables the strategic research priorities of the university by enriching the research lifecycle through appropriate services that are clearly articulated and communicated to researchers.
	<b>2.1.2</b> The library is integral to government research assessment programs and other relevant programs, benchmarking and initiatives.
<b>PRINCIPLE 2.2</b>	
The library has a key role in measuring and increasing the university's research visibility and impact	<b>2.2.1</b> The library collaborates within the university to provide expert advice and a range of programs and activities which enrich and increase research visibility and impact <sup>13</sup>
	<b>2.2.2</b> The library optimises research dissemination through expert advice and appropriate services.
	<b>2.2.3</b> The library takes an advocacy and leadership role in collaborating with researchers, research institutions and publishers to raise awareness of the principles, practice and benefits of open access publishing. <sup>14</sup>
<b>PRINCIPLE 2.3</b>	
The library takes a leading role in managing the university's scholarly information and record of its research outputs	<b>2.3.1</b> The library manages the university's research outputs (including theses) and publication data effectively and in accordance with Government and university requirements.
	<b>2.3.2</b> The library has and maintains a system for accurate and up-to-date recording of the research outputs of staff and research students <sup>15</sup>
<b>PRINCIPLE 2.4</b>	
The library contributes to the university's research priorities by developing researchers' knowledge and inquiry skills	<b>2.4.1</b> The library provides advice, programs and activities for stakeholders to enable them to efficiently and effectively discover, evaluate, engage with and manage scholarly information.
	<b>2.4.2</b> The library provides appropriate scaffolded training and skills development to build stakeholders' research skills.

13. CAUL Engagement and Influencing Strategy

14. Council of Australian University Librarians, Statement on Open Scholarship (Revised October 2015). Retrieved 8.9.16 from <http://www.caul.edu.au/content/upload/files/scholcomm/openscholarship2014.pdf>

15. Item 4.1.3 - Higher Education Standards Framework (Threshold Standards) 2015 [www.legislation.gov.au/Details/F2015L01639](http://www.legislation.gov.au/Details/F2015L01639)

## STRATEGIC PRIORITY 3: Growing a dynamic, sustainable and accountable organisation

PRINCIPLE	GUIDELINES
<b>PRINCIPLE 3.1</b>	
The library is effective, sustainable and accountable, engaged with and responding to the university's needs	<b>3.1.1</b> The library has a published strategy that guides operational planning and budgeting, and aligns with the university's strategic plan and mission.
	<b>3.1.2</b> The library's policies, practices and processes are designed to accommodate stakeholder diversity <sup>16</sup>
	<b>3.1.3</b> The library identifies and assesses risks, and has strategies in place to mitigate and manage these in accordance with university frameworks.
	<b>3.1.4</b> Decision making is evidence-based, and decision-making processes are transparent and inclusive.
	<b>3.1.5</b> The library has strategies in place to identify and rapidly respond to emerging trends (e.g. changing user demand, emerging technologies etc.).
<b>PRINCIPLE 3.2</b>	
The library's culture, diverse skills sets, knowledge and experience contribute to institutional effectiveness and the achievement of the university's mission	<b>3.2.1</b> Individuals have the required knowledge, discipline expertise, skills, attributes, qualifications, capabilities, work experience and/or professional development, for the diverse role/s they perform to meet the needs of the university.
	<b>3.2.2</b> Professional development opportunities are available to enable existing staff to develop new knowledge and skills and stay current with emerging trends, tools, technologies and resources.
	<b>3.2.3</b> The library is client-centric and future-focussed. Library culture is characterised by professionalism, collaboration (within the university and externally) and innovation.
<b>PRINCIPLE 3.3</b>	
The physical and virtual library is accessible to and safe for stakeholders	<b>3.3.1</b> The library actively communicates and promotes its programs, activities and resources.
	<b>3.3.2</b> Collections, programs, services and activities are easy to access in-person and remotely.
	<b>3.3.3</b> The library has systems in place to ensure the safety of its clients and its assets.
	<b>3.3.4</b> The library conserves, maintains, protects and documents its assets.

16. Item 2.2.1 - Higher Education Standards Framework (Threshold Standards) 2015 [www.legislation.gov.au/Details/F2015L01639](http://www.legislation.gov.au/Details/F2015L01639)

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