

REGULATIONS, GUIDELINES

95. Collection strategy and collection policy of the University of Vienna

Preamble

Collections which are used for academic research (generation of new academic findings) and/or research-led academic teaching and studies have a high non-material and often also material value. At the same time, however, collections cause significant (in some cases hidden) costs, in particular for their storage, preservation and for making them available for use.

This collection strategy and this collection policy aim to ensure responsible handling of the resources available to the University of Vienna (which comprise collection objects and also other resources such as working time, room resources and budget resources). The handling of the property and assets of the University of Vienna in the form of collections, and also of collections, collection inventories and collection objects which are owned by third parties but are in the possession of the University of Vienna, therefore needs to be determined by deliberately made decisions of responsible decision-makers.

Collection strategy

University-wide documentation of the collections

With the aim of responsible handling of the resources available to the University of Vienna and to facilitate the use of collections in research and teaching, in particular also by increasing the visibility of the collections, the responsible service unit (University Library and Archive Services service unit) carries out university-wide documentation of the collections (collection directory).

The ownership of the collection, the collection inventories and collection objects in particular must also be documented in the collection directory.

In addition, in the collection directory it has to be documented for every collection whether it is an actively used or a not actively used collection.

Actively used collections

General responsibility for the collections lies with the University of Vienna. Direct responsibility for the tasks of actively used collections is borne by the heads of the respective organisational unit within the framework of the resources available to

them. These have to determine a collection manager as a contact person for every actively used collection.

Among the actively used collections there are actively used open collections (i.e. actively used collections where the collection work is not completed and there are regular additions and, if appropriate, removed items) and actively used completed collections (i.e. actively used collections where the collection work is largely completed).

Actively used collections including their documentation/indexing must be regularly and properly maintained. It must be possible for all academics at the University of Vienna to use them.

The costs arising in connection with the collection are covered by the budget of the respective organisational unit (the running costs from the basic budget; particular measures or particular required investment are the subject of the regular target agreements between the organisational unit and the Rectorate).

Only those collections which are appropriately ordered, documented and indexed are included in the collection directory. If it is determined that a collection recorded in the collection directory is not appropriately ordered, documented and indexed and if the respective organisational unit does not rectify this within an appropriate, short period which, if necessary, shall be determined by the Rectorate, the collection character shall cease to apply and the collection shall be removed from the collection directory.

The University of Vienna (including its organisational units and subunits) shall not incur any expenses for collections which are not recorded in the collection directory.

Not actively used collections

Direct responsibility for the tasks of not actively used collections is borne by the head of the responsible service unit (University Library and Archive Services service unit) within the framework of the resources available to her/him.

Not actively used collections including their available documentation/indexing have to be stored by the responsible service unit (University Library and Archive Services service unit) so that no damage occurs to the collection and to ensure that it remains possible to reactivate the collection at a later point in time for active use again. Not actively used collections do not have to be kept accessible.

The costs arising in connection with the collection are covered by the budget of the responsible service unit (University Library and Archive Services service unit) (the running costs from the basic budget; particular measures or particular required investment are the subject of the regular target agreements between the service unit and the Rectorate).

Handling of objects which are part of a collection

The organisational units are advised by the responsible service unit (University Library and Archive Services service unit) with regard to the preservation and care of collections.

Collection policy

This collection policy regulates (in addition to the corresponding stipulations which are already contained in the collection strategy) tasks and responsibilities of collectors and collection managers, heads of organisational units and the Rectorate and also the University Library and Archive Services service unit.

Inclusion of collections in the collection directory

Employees of the University of Vienna who create academic collections, carry out academic collection work and/or look after academic collections are obliged to report this fact immediately through official channels to the service unit which runs the collection directory (University Library and Archive Services service unit). Here the ownership of the collection, the collection inventories and collection objects must also be documented (and, if necessary, must be stipulated in an agreement between the collector/collection manager and the University of Vienna).

If items or groups of objects are assumed to be worthy of preservation and if it is advisable to include these in already existing collections/in the collection directory, all employees of the University of Vienna are required to indicate this immediately to the collection coordinator.

The allocation of a collection to the actively used or not actively used collections is, in cases of doubt, carried out in consultation between the head of the respective organisational unit and the head of the responsible service unit (University Library and Archive Services service unit). For collections where a clear allocation either to the actively used or the not actively used collections is not possible, possibilities of cooperation between the respective organisational unit and the responsible service unit (University Library and Archive Services service unit) can be explored.

Use of resources

The use of university resources to create a collection (by establishing a new collection or obtaining a collection existing elsewhere) always requires the approval of the head of the respective organisational unit and, furthermore, can be subject to additional conditions, such as the conclusion of an agreement between the collector/collection manager and the University of Vienna regarding the precise details of the collection work. This also applies to the use of additional resources (e.g. rooms, storage space, material resources) of the respective organisational unit.

Tasks and responsibilities of the collection managers

The head of the organisational unit has to determine a suitable employee of the academic or general university staff as the collection manager as a contact person for every actively used collection and has to announce this employee by name to the University Library and Archive Services service unit.

The head of the organisational unit can entrust the collection manager with carrying out certain tasks on his/her behalf, in particular granting decision-making authority for specific purposes (cf. the list of examples of tasks below). The regulations of the University of Vienna with regard to the power of representation to make transactions including the four-eyes principle and the determined threshold values must be observed. This means collection managers, within the framework of their service or employment relationship and the resources available to them, can be entrusted with the following tasks in particular: indexing (recording, documentation, inventory), academic handling, support of users and inquirers, handling of loan items, inventory maintenance, safekeeping including protection against loss, damage and improper use and impairment by external influences.

Tasks and responsibilities of the organisational units

General responsibility for the collections lies with the University of Vienna. Direct responsibility for the tasks of actively used collections, in particular also for the regular proper preservation and the proper care of the collections including their documentation and indexing, is borne by the heads of the respective organisational unit within the framework of the resources available to them. In any case, when necessary for the protection of the collection, the collection may be used only under supervision.

The collection coordinator at the University of Vienna has to be granted access to the collections.

For documentation purposes, the University Library and Archive Services service unit has to be notified in good time of the following:

- Essential inventory changes (in particular essential acquisitions, exchanges, sales, eliminations or losses)

Such a notification given to the University Library and Archive Services service unit does not mean being released from any obligation to notify the Accounting and Finance service unit within the framework of the inventory management (and vice versa).

For the purpose of enabling advice regarding the preservation and care of collections, the University Library and Archive Services service unit must be notified in good time of the following:

- Damage putting the inventory at risk and impairments to collection objects putting the inventory at risk
- Extraordinary conservation and restoration projects as well as presentation projects and measures for safekeeping (e.g. acid-free storage boxes)
- Extensive spatial modifications or relocations

For the purpose of protecting against losses and against uncertainties regarding ownership, every physical location change of collections, collection inventories and individual collection objects (e.g. on account of loan, permanent loan, leasing, donation, sale) must be documented (preferably by means of the contract concluded in writing by the authorised decision maker, as a rule the head of the respective organisational unit, alternatively by a written notice or electronic database entry). Similarly, for the purpose of protection against uncertainties regarding ownership, every physical access must be documented (e.g. loans to the University of Vienna, donations to the University of Vienna, purchases). An electronic copy of this documentation must be delivered in good time in each case to the University Library and Archive Services service unit unless this (e.g. in the case of collections with lively borrowing activity and an ordered borrowing and reminder system) abstains from this.

Eliminations may be made only on the basis of a decision of an authorised decision maker, as a rule the head of the respective organisational unit. Furthermore, eliminations of a larger scale and other asset-related or budget-related decisions of a larger scale must be incorporated in an agreement between the organisational unit and the Rectorate.

Tasks and responsibilities of the University Library and Archive Services service unit

The University Library and Archive Services service unit carries out tasks related to university-wide documentation and the advice of the organisational units. For this purpose, the head of the service unit appoints a collection coordinator. She/he is responsible for the university-wide documentation of the collections, the coordination of corresponding measures for the proper safekeeping of the collections and the advisory support of the collection managers. The collection coordinator provides help with the inclusion, inventory and data collection of the collection property. She/he advises the respective organisational units/subunits and supports the collection managers with relocations of collections within the university and also with the acquisition, loan, exchange and exhibition activities in Austria and abroad. For this purpose, corresponding sample contracts are available on the intranet of the University of Vienna.

This guideline of the Rectorate comes into force on 1 March 2013.