



## Verification of South Bank collections

### Overview

As per the Queensland Government's *Non-Current Asset Policies for the Queensland Public Sector – Accounting for Library Collections*, SLQ's Queensland Memory and Information Collections are capitalised collections which are to be physically verified in a rolling three-year stocktake process.

#### 1. Verification outcomes

In addition to complying with Government and Audit requirements, verification via stocktake and counting contributes to the maintenance and accessibility of physical collections, and confirms the holdings on which valuations are based. Specifically, stocktake:

- reconciles catalogue data with location of physical items
- ensures One Search provides an accurate record of the Library's holdings for clients and staff
- ensures accurate SLQ holdings in the National Bibliographic Database (ie Trove)
- alerts staff to collection items which are missing or unsighted
- supports/informs the collection valuation process by ensuring the accuracy of holdings.

As a verification tool, a collection count:

- confirms accuracy of Voyager data
- indicates collection areas that require more detailed examination if the count differs by 5% or more from Voyager data.

#### 2. Verification process

The process comprises four methods:

Method	Process	Used for ...
Barcode capture	Scanned barcodes for a Location are compared against catalogue data for the Location	Collections with scannable barcodes
Manual check against shelf list – Items	Collection items 'on shelf' in a Location are compared against system-generated list of items in shelving sequence for the Location	Collections which do not have scannable barcodes
Manual check against shelf list – Titles	Collection titles 'on shelf' are compared against system-generated list of titles in shelving sequence for the Location	Collections which do not have item level descriptions
Collection count – Items	Count of titles or physical units in a Location sequence is compared against catalogue statistics	Information Collection and some Original material collections

In addition, some collection maintenance projects also qualify as verification; for example,

- relocating items to a different storage area requires catalogue updates and item relabelling to reflect the new location
- assigning scannable barcodes to an existing collection, unsighted items will be identified by a catalogue report.

As a result of verification processes, corrective action is taken when:

- items are found 'on shelf' but not in the correct location, or not in the catalogue
- items identified in the catalogue, but not sighted 'on shelf'.

Shelf checks are undertaken for unsighted items. Subsequent follow-ups become part of Collection Access' missing processes.

Successful verification is also supported by a number of other activities undertaken to ensure reliable identification and accessibility of physical collections:

Loans Policies	Provide the parameters to support the movement of collection items for client, staff and exhibition use <ul style="list-style-type: none"> <li>• <u>Lending Policy – Loans for exhibition</u> (on SLQ website)</li> <li>• <u>Lending Policy – Loans to libraries</u> (on SLQ website)</li> <li>• <u>Lending Policy – Loans of music items to clients</u> (on SLQ website)</li> <li>• <u>Staff Loans Policy</u> (on SLQ intranet)</li> </ul>
Voyager circulation	Voyager is used to manage all movement of items between storage areas and points of use, whether onsite or offsite. Notifications of items not returned to storage when expected are generated and actioned.
Desk Audits	Periodic audits of staff areas are undertaken to: <ul style="list-style-type: none"> <li>• confirm that items not in storage have been recorded as loans</li> <li>• retrieve items whose return to storage is overdue.</li> </ul>
Security tagging	Security tags are applied to items in the Information Collection and parts of the John Oxley Library collection. This enables detection if items are removed from the building without authorisation.

### 3. Verification reporting

Progress updates for the SLQ stocktake cycle are provided as follows:

SLQ Executive Team (ET)	Quarterly
Auditors	End of financial year, and as requested

Progress is reported as a percentage of the total number of titles or items. Further explanation of data management is in Appendix 1.

Data used to report stocktake progress and variance is sourced as follows:

#### 3.1 Barcode capture

- Scanned barcodes for a Location are compared against catalogue data for the Location
- ICT generate: *Report of items that were not on the Stocktake file – this report takes into consideration items that are currently on loan*; report provides 'Number of items not on stocktake file'
- CA searches for listed items; items not found are recorded on patron record with followup via *Missing process*

Data for quarterly report:

Data	Source
No of items	number of items per Location Code from Voyager CAT59a for month in which stocktake was completed
Missing from shelf on completion	number of items charged to relevant stocktake patron record after initial CA check
% variance	missing items as a percentage of the total number of items

### 3.2 Manual check against shelf list - Items

- Collection items 'on shelf' in a Location are compared against system-generated list of items in shelving sequence for the Location
- Staff tick/cross descriptions on list to indicate status of items.
- CA checks status of 'crossed' items (which will include items on loan); items not found are recorded on patron record with followup via *Missing* process

Data for quarterly report:

<i>Data</i>	<i>Source</i>
<i>Items on shelf</i>	number of items on shelf per Location Code from Voyager CIRC10 for month in which stocktake was completed
<i>Missing from shelf on completion</i>	number of items charged to relevant stocktake patron record after initial CA check
<i>% variance</i>	missing items as a percentage of the total number of items

### 3.3 Manual check against shelf list - Titles

- Collection titles 'on shelf' are compared against system-generated list of titles in shelving sequence for the Location
- Staff tick/cross descriptions on list to indicate status of titles
- CA checks status of 'crossed' items; titles not found are recorded on patron record with followup via *Missing* process

Data for quarterly report:

<i>Data</i>	<i>Source</i>
<i>Titles on shelf</i>	number of titles on shelf per Location Code from Voyager CAT59a for month in which stocktake was completed
<i>Missing from shelf on completion</i>	number of titles charged to relevant stocktake patron record after initial CA check
<i>% variance</i>	missing titles as a percentage of the total number of items

### 3.4 Collection Count - Items

- Count of titles or physical units in a Location sequence is compared against catalogue statistics

Data for quarterly report:

<i>Data</i>	<i>Source</i>
<i>No of items counted</i>	number of items counted per Location Code by staff
<i>Reported on loan</i>	number of items on loan per Location Code from Voyager CIRC10 for month in which count was completed
<i>No of items</i>	total number of items per Location Code from Voyager CAT59a for month in which count was completed
<i>% variance</i>	missing items as a percentage of the total number of items

## Appendix 1

### Data management for stocktake

#### 1. Baseline documentation

- Baseline data is sourced from Voyager, SLQ's library management system. Voyager tracks the acquisition and movement of stock, and provides data for SLQ's web-based public access system.
- Reports used for baseline data:
  - CAT59a: Total no. of bibliographic holding and items records - All locations
  - CIRC10: No. of items on shelf by location
- Reports are routinely generated each month and are available at:
  - QM & IC collections: O:\Voyager\Statistics & Reports\SRL
  - Original materials collection: O:\Voyager\Statistics & Reports\QM
 Data is retained online indefinitely.

#### 2. System-generated lists used for Stocktake

Lists are generated on request according to the type of verification.

Report	Format	Purpose
Collection shelf list report	Snapshot file	Manual check against shelf list – Items
Stock99:		Report on results from processing file captured via scanning barcodes.
Items which belong at another loc	Excel	
List of items not on shelf or on loan	Snapshot file	
List of invalid item barcodes	Snapshot file	
Titles by location	Excel	Manual check against shelf – Titles
Items charged to patron report	Snapshot file	List of items in a Location recorded as 'not verified'

#### 3. Records

- Electronic and print documents associated with stocktake are forwarded to SLQ's records management system, file number 680/310/001.

5 **Gayle Walters**

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**From:** Helen Thurlow  
**Sent:** Friday, 10 October 2014 11:54 AM  
**To:** Gayle Walters  
**Subject:** FW: FYA by cob Tues 8 July - Q4 stocktake update

Q4 2013/14

**Helen Thurlow** | Manager, Collection Access | State Library of Queensland  
t 07 3840 7929 | e [helen.thurlow@slq.qld.gov.au](mailto:helen.thurlow@slq.qld.gov.au)

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**From:** Helen Thurlow  
**Sent:** Wednesday, 9 July 2014 10:16 AM  
**To:** Kate Johnson  
**Cc:** Anna Raunik  
**Subject:** RE: FYA by cob Tues 8 July - Q4 stocktake update

Hi Kate

Stocktake summary as requested.

Stocktake method	Total Number	Number verified (as at 30 Jun 14)	% verified	Number not verified (ie not sighted)	% not verified
Collections verified by item	729,202	488,121	67%	4,369	0.9%
Collections verified by title	76,630	9,893	13%	269	2.72%

- The percentage of items/titles not verified continues to remain under 5%; there is no NSLA benchmark, but Audit requires a re-verification to be undertaken if variance for a collection is greater than 5%
- Two-thirds of items have now been verified. Resources are now being allocated to counting collections verified by title.
- Stocktake progress is dependent on staff resources and there may be a need for further staff resources (ie support from across SLQ as per previous years) or funding for casuals to complete the stocktake by June 2015. Requirements will be assessed at end of Q1, 2014/15.

**Helen Thurlow** | Manager, Collection Access | State Library of Queensland  
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**From:** Kate Johnson  
**Sent:** Tuesday, 1 July 2014 10:48 AM  
**To:** Helen Thurlow  
**Cc:** Anna Raunik  
**Subject:** FYA by cob Tues 8 July - Q4 stocktake update  
**Importance:** High

Hi Helen!

Could you please send me the Q4 stocktake update by cob next Tuesday 8 July? Let me know if you need more time (I go on leave for 4 weeks from Thurs 10 July, so I'm hoping that I can get as much done on the Q4 report ET paper before this!) The paper is due to OSL on 18 July though so there is a little more time if needed.

Regards  
Kate

Kate Johnson | Manager | Strategic Reporting | State Library of Queensland | PO Box 3488 | South Brisbane 4101  
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**From:** Helen Thurlow  
**Sent:** Tuesday, 15 April 2014 8:24 AM  
**To:** Kate Johnson  
**Cc:** Anna Raunik  
**Subject:** Q3 stocktake update

**Collection stocktake, Q3 2013/14**

Stocktake method	Total Number	% verified	% not sighted
Collections verified by item	729,202	58.4%	.94%
Collections verified by title	76,630	8.7%	2.1%

Documentation for the first half of the three-year stocktake cycle was reviewed in February. Some inconsistencies were identified, documented and corrected prior to forwarding to Audit. The total number of collection titles and items used to track progress has also been updated to 31 March 2014.

Fifteen months remain to complete the 2012/13-2014/15 stocktake cycle. Progress has slowed during Q3 due to limited resources and there may yet be a need for further staff resources or funding to complete the stocktake by June 2015. An update on progress and strategies to meet the June 2015 deadline will be provided at end of Q1, 2014/15.

1. The percentage of items/titles not verified continues to remain under 5%. There is no NSLA benchmark but if the variance for a collection is greater than 5% Audit requires a re-verification to be undertaken.

Kate, let me know if you have any queries .

Thanks  
Helen

**Helen Thurlow** | Manager, Collection Access | State Library of Queensland  
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## Gayle Walters

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**From:** Helen Thurlow  
**Sent:** Friday, 10 October 2014 11:47 AM  
**To:** Gayle Walters  
**Subject:** FW: Q3 stocktake update

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As discussed ...

**Helen Thurlow** | Manager, Collection Access | State Library of Queensland  
 t 07 3840 7929 | e [helen.thurlow@slq.qld.gov.au](mailto:helen.thurlow@slq.qld.gov.au)

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**From:** Helen Thurlow  
**Sent:** Tuesday, 15 April 2014 8:24 AM  
**To:** Kate Johnson  
**Cc:** Anna Raunik  
**Subject:** Q3 stocktake update

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Kate, let me know if you have any queries .

Thanks  
 Helen

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**Gayle Walters**

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**From:** Helen Thurlow  
**Sent:** Friday, 10 October 2014 11:47 AM  
**To:** Gayle Walters  
**Subject:** FW: FYA by Mon 13 Jan pls - second quarter collection stocktake - paragraph for ET paper

Q2, 2013/4

**Helen Thurlow** | Manager, Collection Access | State Library of Queensland  
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---

**From:** Helen Thurlow  
**Sent:** Tuesday, 14 January 2014 8:49 AM  
**To:** Kate Johnson  
**Cc:** Anna Raunik  
**Subject:** RE: FYA by Mon 13 Jan pls - second quarter collection stocktake - paragraph for ET paper

Hi Kate - Please let me know if you need alterations. I expect to be back online around 11am.

#### Quarterly Collection Stocktake

Status of stocktake progress at is as follows:

Stocktake method	Number	% verified	% not sighted
Collections verified by item	738,997	63.1	0.75
Collections verified by title	79,936	3.6	1.1

Stocktake continues to progress:

- three collections in progress comprise 42,148 items and are 70% complete
- during Q3, resources will be allocated to counting collections verified by title
- the percentage of items/titles not verified continues to remain under 5%; if variance for a collection is greater than 5% audit requires a re-verification to be undertaken
- at this time, it is expected that the stocktake cycle will be completed as required in June 2015.

**Helen Thurlow** | Manager, Collection Access | State Library of Queensland  
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**From:** Kate Johnson  
**Sent:** Monday, 13 January 2014 9:28 AM  
**To:** Clare Thorpe; Helen Thurlow  
**Subject:** FW: FYA by Mon 13 Jan pls - second quarter collection stocktake - paragraph for ET paper

Hi!

Just a reminder about this request, which is due today please.

Thanks!

Regards  
 Kate

Kate Johnson | Manager | Strategic Reporting | State Library of Queensland | PO Box 3488 | South Brisbane 4101  
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---

**From:** Kate Johnson

**Sent:** Wednesday, 11 December 2013 3:41 PM

**To:** Clare Thorpe; Helen Thurlow

**Cc:** Anna Raunik

**Subject:** FYA by Mon 13 Jan pls - second quarter collection stocktake - paragraph for ET paper

Hi Clare and Helen

Could you please prepare the second quarter collection stocktake report (reporting on the period up to 31 December 2013) by **Monday 13 January**? Please see the information provided to ET for the first quarter stocktake report below.

A. Quarterly collection stocktake

1. The stocktake is on track:

- 37.9% of the collection has been verified (4.6% above target).
- Stocktake progress slowed this quarter, as staff were reallocated to integrating the Department of Premier and Cabinet Library collections into SLQ collections. Stocktake remains on track due to an above target result in 2012-13 (34.9% of the collection verified in the first year of the three-year cycle).
- Of the 452,370 items counted, there was a 0.8% variance, which is the same as the result last quarter. There is no NSLA benchmark but the external auditors advise that collections are to be re-verified if variance is greater than 5%.

Thank you  
Kate

Kate Johnson | Manager | Strategic Reporting | State Library of Queensland | PO Box 3488 | South Brisbane 4101  
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**Gayle Walters**

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**From:** Helen Thurlow  
**Sent:** Friday, 10 October 2014 11:58 AM  
**To:** Gayle Walters  
**Subject:** FW: FYA by Mon 13 Jan pls - second quarter collection stocktake - paragraph for ET paper

NOTE: Subject line says Q2, but data below is actually Q1, 2012/13

**Helen Thurlow** | Manager, Collection Access | State Library of Queensland  
 t 07 3840 7929 | e [helen.thurlow@slq.qld.gov.au](mailto:helen.thurlow@slq.qld.gov.au)

---

**From:** Kate Johnson  
**Sent:** Wednesday, 11 December 2013 3:41 PM  
**To:** Clare Thorpe; Helen Thurlow  
**Cc:** Anna Raunik  
**Subject:** FYA by Mon 13 Jan pls - second quarter collection stocktake - paragraph for ET paper

Hi Clare and Helen

Could you please prepare the second quarter collection stocktake report (reporting on the period up to 31 December 2013) by **Monday 13 January**? Please see the information provided to ET for the first quarter stocktake report below.

**A. Quarterly collection stocktake**

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- Of the 452,370 items counted, there was a 0.8% variance, which is the same as the result last quarter. There is no NSLA benchmark but the external auditors advise that collections are to be re-verified if variance is greater than 5%.

Thank you  
 Kate

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**Gayle Walters**

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**From:** Helen Thurlow  
**Sent:** Friday, 10 October 2014 11:48 AM  
**To:** Gayle Walters  
**Subject:** FW: Q1 collection stocktake

Q1, 2013/4

**Helen Thurlow** | Manager, Collection Access | State Library of Queensland  
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**From:** Helen Thurlow  
**Sent:** Friday, 18 October 2013 4:04 PM  
**To:** Kate Johnson  
**Subject:** RE: Q1 collection stocktake

Thanks Kate – all good.

**Helen Thurlow** | Manager, Collection Access | State Library of Queensland  
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**From:** Kate Johnson  
**Sent:** Friday, 18 October 2013 3:42 PM  
**To:** Helen Thurlow  
**Subject:** RE: Q1 collection stocktake

Hi Helen

After our conversation I updated the text – are you happy with this?

The stocktake is on track:

- 37.9% of the collection has been verified at the end of the first quarter (4.6% above target).
- Progress slowed in the first quarter as staff were integrating the Department of Premier and Cabinet Library collections into SLQ collections. The stocktake remains on track due to an above target result in 2012-13 (34.9% of the collection verified in the first year of the 3 year stocktake cycle).
- Summary result: of the 452,370 items counted, there was a 0.8% variance. There is no NSLA benchmark but the external auditors advise that collections are to be re-verified if variance is greater than 5%.

Regards  
 Kate

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**From:** Helen Thurlow  
**Sent:** Friday, 18 October 2013 2:29 PM  
**To:** Kate Johnson  
**Subject:** RE: Q1 collection stocktake

Notes re Stocktake:

1. Progress achieved in Q3 and Q4, 2012/13 resulted in one third of the collection being verified in the first year of the current stocktake cycle, thus ensuring the stocktake remains on track.
2. JOL collections will be stocktake priority for 2013/14.
3. The Rare & Restricted collection is scheduled to be verified every year. It was confirmed Feb-May 2012 and has been completed again in July 2013. To ensure compliance with the annual verification requirement, the collection will be checked again in Q4 2014.
4. Four JOL collections are in progress, with three 50-60% complete. The fourth collection (Exhibition catalogues) is progressing slowly as items are being re-housed and some catalogue records updated.
5. Stocktake progress has slowed during Q1 due to the priority for Collection Access to:
  - manage the packing of the Dept of Premier and Cabinet Library (DPC) collection for relocation to South Bank;
  - re-arrange/re-profile selected collection storage spaces to enable integration of DPC collection into existing SLQ collections.

27 August 2013

Professor Roland Sussex  
Chair  
Library Board of Queensland  
PO Box 3488  
South Bank QLD 4101

Dear Professor,

We have completed our audit of the financial statements of Library Board of Queensland and its controlled entity, the Queensland Library Foundation (collectively the 'Library') for the year ended 30 June 2013.

We have recommended the Queensland Audit Office (QAO) issue an unmodified opinion on the general purpose financial statements for 2012-2013 and the original copy of these statements will be forwarded by the QAO in due course.

This report to the Board includes all matters and issues arising from our audit that we consider appropriate for review by the Board. Details of those audit findings requiring your attention, together with the responses of the State Librarian are outlined in the attachment to this letter. Matters raised in the audit are assessed against a risk categorised as high, moderate or low to indicate the level of business or financial risk to the Library. To assist your understanding of the level of significance of the issues, a description of the risk categories is included at the beginning of the Appendix. These matters are in addition to those which we have communicated previously as required with ASA 265 Communicating Deficiencies in Internal Control to Those Charged with Governance and Management.

Your confirmation that these matters have been or will be actioned as advised by the State Librarian would be appreciated.

Where a matter raised is, in the Auditor-General's opinion, a matter of significant and in the Auditor-General's view warrants inclusion in the Report to Parliament, you will be given the opportunity to comment on the matter and your comments will be reflected in the Report. The QAO will provide the State Librarian with a separate letter advising whether significant issues have arisen from the final audit requiring management's response and actions.

The report details the scope of our audit and highlights the significant accounting areas and other issues we examined during the course of our audit procedures. It is intended solely for the use of the Board and management, and should not be used for any other purpose.

Sydney  
Melbourne  
Brisbane  
Perth  
Adelaide  
Auckland

**CONTEMPORARY PUBLIC SECTOR ISSUES****Whole of Government Financial Statements**

For your information, a copy of the financial statements has been forwarded to the QAO auditors at Treasury Department to assist them in the verification of the consolidated whole-of-government financial statements. In this verification process, your financial statements and the Tridata whole-of-government reporting package will be made available to Treasury's Fiscal Reporting Branch.

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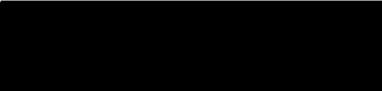
**Matters relating to electronic presentation of audited financial statements**

If you intend to electronically present the financial statements and our audit report on your website or distribute them via other electronic media including CD Rom, an additional paragraph will be included in the independent audit report to reflect the uncertainty in relation to the security of an entity's website and the potential misuse of any signatures included on the website. Responsibility for the electronic presentation of these reports on your website is that of your management.

Please table this letter at the next ordinary Board meeting.

In performing our work, we encountered no difficulties in dealing with management and had no disagreements with management about significant audit, accounting or disclosure matters. The audit was accomplished through the support of the Library's finance, operational and administrative personnel, for which we express our thanks. In particular we would like to thank Katherine Winlaw, Val Johnston and Gwyn Davies for the assistance they have provided to our audit team.

Yours sincerely,  
William Buck (Qld)  
ABN 11 603 627 400

  
Junaide Latif  
A Member of the Firm

**Library Board of Queensland**

Audit Closing report to the Board

30 June 2013

Sydney  
Melbourne  
Brisbane  
Perth  
Adelaide  
Auckland

# Library Board of Queensland

## Audit Closing report to the Board

For the period ended 30 June 2013

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### Report Date

27 August 2013



## 1) Executive Summary

<b>Status of the audit</b>	<p>We have completed our audit of the financial statements of the Library Board of Queensland and its controlled entity, the Queensland Library Foundation (collectively the "Library") for the period ended 30 June 2013.</p> <ul style="list-style-type: none"> <li>— Our audit was performed in accordance with the scope set out in the QAO engagement letter dated 6 June 2013 and Australian Auditing Standards with the objective of our expressing an opinion on the financial report.</li> <li>— We have recommended the QAO issue an unqualified audit opinion for the year ended 30 June 2013 on the consolidated financial statements of Library.</li> <li>— For the purpose of forming our audit opinion on the consolidated financial statements, we applied a materiality level of \$595,000. There were no unadjusted audit differences arising from the audit.</li> <li>— William Buck's independence has been confirmed by all engagement team members.</li> </ul>
<b>Summary of key issues and resolutions</b>	<p>Digital Collections Accounting Policy:</p> <p>Management has developed an accounting policy to recognise heritage and cultural digital collection assets. We have reviewed the accounting policy and the recognition of assets under this policy and believe it to be an appropriate basis for recognition and measurement of digital collection assets.</p>
<b>Internal Controls</b>	<p>In accordance with ASA 265 Communicating Deficiencies In Internal Control to Those Charged with Governance and Management we confirm that we have communicated significant internal control deficiencies to those charged with governance on a timely basis where they have arisen.</p> <p>We can report there are no matters ranked as "Critical" or "High" risk or any matters that could materially impact the completion of our audit procedures or the compilation of 30 June 2013 financial statements.</p> <p>The matters set forth in Appendix A are matters which are not considered to be significant deficiencies.</p>
<b>Accounting policies</b>	<p>We are satisfied that the accounting policies adopted have been consistently applied and are appropriate.</p>
<b>Inquiries in Relation to Fraud</b>	<p>Our audit is not primarily directed towards the detection of fraud. However, as part of our audit procedures, we consider the likelihood of material misstatements arising from fraudulent financial reporting and from asset misappropriation. We make inquiries of management as to whether there are any known or suspected instances of fraud.</p>



## 2) Scope of the audit

In accordance with the *Auditor-General Act 2009* (the Act), the Auditor-General is required to undertake an audit of the Library each financial year. This includes auditing the annual financial statements and issuing an independent auditor's report on the annual financial statements. The Auditor-General's mandate, however, is not limited to expressing this opinion and accordingly the audit may also include an assessment of the probity and propriety of the use of public resources and compliance with other legislative and policy requirements.

The audit has been conducted in accordance with the *Auditor-General of Queensland Auditing Standards* which incorporate the Australian Auditing Standards and require compliance with relevant ethical and professional requirements. The audit approach focused on key financial reporting risks. This involved gaining an understanding of significant financial reporting processes and the performance of a combination of internal control testing and substantive audit procedures to address our assessment of the residual risk of material error.

We confirm that up to the date of this report we have maintained our independence obligations in relation to our conduct of this audit.

## 3) Materiality

The purpose of our audit is to form an opinion as to whether the financial report of the Library is in accordance with section 43 of the Financial and Performance Management Standard 2009, including giving a true and fair view of the trust's financial position as at 30 June 2013 and of its performance for the year ended on that date.

We have calculated materiality of \$595,000 for the year ended 30 June 2013 which was based on a weighting of 0.50% of assets and 1% of revenue.

Our estimation of materiality requires professional judgement and takes into account qualitative as well as quantitative considerations. Qualitative considerations include:

- The nature of the Library's business and industry
- Operating results
- Financial position

We also consider what might be important to the anticipated users of the financial statements. At the conclusion of the audit, we evaluate whether the total effects of the audit differences we identify are material to the fair presentation of the financial statements. It is however, important to consider the nature of the items involved before applying the above levels of materiality. Consideration of qualitative factors, including the high standards of probity and propriety expected of public sector management by Parliament and the public, may impose more rigorous requirements on the interpretation of materiality than those reflected by any quantitative guidelines.



#### 4) Significant accounting and audit matters

There are no significant accounting or audit matters that have arisen since our last communication to you. Minor procedural matters have been included in Appendix A to this report.

##### 4.1) Material unusual transactions, accounting policies and disclosure issues

It is the responsibility of management to make the Board aware of the material accounting policies adopted or changes to those policies; and of methods used to account for material unusual transactions.

The following new accounting policy was considered by audit:

Description of policy/disclosure issue	Impact on financial report	Audit conclusion
New Accounting Policy: Heritage and Cultural Assets – Digital Collections.	Following the development of this policy, \$483,000 in assets have been transferred from property plant and equipment to intangible assets and a further \$360,132 in assets have been recognised as additions for the year.	We have reviewed the accounting policy developed and believe it to be an appropriate basis for the recognition and measurement of assets as intangible assets in the 2012 – 2013 financial statements.

##### 4.2) Management judgements and estimates

The Board should be made aware of the process used to formulate material accounting estimates and the judgements made by management underlying these estimates.

The following items are subject to material accounting estimates. We have reviewed the underlying assumptions by management for reasonableness:

Component	Basis of estimate and underlying assumption	Audit conclusion
Library Collections	Assumptions used in calculating the average purchase price and number of titles to be revalued.	We have reviewed assumptions used and believe it to be an appropriate basis for measuring fair value in accordance with the Queensland Treasury and Trade Accounting For Library Collections Policy.

##### 4.3) Written representations

As part of our evidence gathering, we obtain formal management written representations in relation to a number of matters. A management representation letter has been requested from management and was signed on the same date as the management certification of the financial report.

We relied on the following representations made by management in forming our audit opinion:

Heritage and Cultural Assets	Library Collections
We have reviewed the fair value of these assets and are satisfied that no index is to be applied to the valuation for the year ended 30 June 2013. We have reviewed the assets recognised as digital collections and confirm they meet the asset recognition criteria set out in Library Board of Queensland's digital collections policy	We have reviewed the assumptions used in the calculation of the fair value of the collection assets and believe it to be an appropriate basis for measurement in accordance with the accounting policy.



## 5) Fraud exposures and fraud testing

The primary responsibility for the prevention and detection of fraud rests with both those charged with governance of the entity and with management.

It is important that management, with the oversight of those charged with governance, places a strong emphasis on fraud prevention, which may reduce opportunities for fraud to take place, and fraud deterrence, which could persuade individuals not to commit fraud because of the likelihood of detection and punishment.

In planning and performing the audit to reduce audit risk to an acceptably low level, William Buck as the auditor is required to consider the risks of material misstatements in the financial report due to fraud.

An auditor conducting an audit in accordance with Auditing Standards needs to obtain reasonable assurance that the financial report taken as a whole is free from material misstatement, whether caused by fraud or error. An auditor cannot obtain absolute assurance that material misstatements in the financial report will be detected because of such factors as the use of judgment, the use of testing, the inherent limitations of internal control and the fact that much of the audit evidence available to the auditor is persuasive rather than conclusive in nature.

Our audit approach requires us to:

- perform procedures to obtain information that is used to identify the risks of material misstatement due to fraud;
- identify and assess the risks of material misstatement due to fraud at the financial report level and the assertion level; and for those assessed risks that could result in a material misstatement due to fraud, evaluate the design of the entity's related controls, including relevant control activities, and to determine whether they have been implemented;
- determine overall responses to address the risks of material misstatement due to fraud at the financial report level and consider the assignment and supervision of personnel;
- consider the accounting policies used by the entity and incorporate an element of unpredictability in the selection of the nature, timing and extent of the audit procedures to be performed;
- design and perform audit procedures to respond to the risk of management override of controls;
- determine responses to address the assessed risks of material misstatement due to fraud;
- consider whether an identified misstatement may be indicative of fraud;
- obtain written representations from management relating to fraud; and;
- communicate with management and those charged with governance.

We understand that there have been no reported circumstances of fraud in the current year. We are satisfied that we have performed sufficient audit procedures in this area and that we have met our audit objectives.



## **6) Other audit activities**

### **6.1) Audits of controlled entities**

We have audited the controlled entity, the Queensland Library Foundation, and there were no issues identified which would impact on the audit of the consolidated entity.

### **6.2) Audits of whole-of-Government information**

A copy of the financial statements has been forwarded to the QAO auditors at Treasury Department to assist them in the verification of the consolidated whole-of-government financial statements. In this verification process, your financial statements and the Tridata whole-of-government reporting package will be made available to Treasury's Fiscal Reporting Branch.



## APPENDIX A – Management Letter Points

In accordance with the requirements of ASA 265 Communicating Deficiencies in Internal Control to Those Charged with Governance and Management we confirm that we have previously communicated with those charged with governance on all significant internal control deficiencies. This communication was undertaken on a timely basis.

Therefore the matters set forth below outline only those matters which are required to be communicated in accordance with ASA 260 Communication with Those Charged with Governance.

### Risk Definitions

Without anticipating the Auditor-General's final decision on what may be referenced in an Auditor General's Report to Parliament, each of the issues included in the Appendix has been assessed and categorised against the following risk categories:

Risk Category	Client Impact
<b>(H) HIGH</b>	<ul style="list-style-type: none"> <li>• Matters which pose a significant business or financial risk to the entity and / or</li> <li>• Matters that have resulted or could potentially result in a modified or qualified audit opinion if not addressed as a matter of urgency by the entity.</li> </ul>
<b>(M) MODERATE</b>	<ul style="list-style-type: none"> <li>• Matters of a systemic nature that pose a moderate business or financial risk to the entity if not addressed as high priority within the current financial year and / or</li> <li>• Matters that may escalate to high risk if not addressed promptly and / or</li> <li>• Low risk matters which have been reported to management in the past but have not been satisfactorily resolved or addressed.</li> </ul>
<b>(L) LOW</b>	<ul style="list-style-type: none"> <li>• Matters that are isolated, non-systemic or procedural in nature and / or</li> <li>• Matters that reflect relatively minor administrative shortcomings and could be addressed in the context of the entity's overall control environment.</li> </ul>

### Matters Noted at the Final Audit

#### Low Risk:

Matter	Observation and recommendation
Annual Leave Balances	<p><b>Observation</b> We noted that there were twenty-two employees that had accumulated more than 40 days of annual leave at 30 June 2013.</p> <p><b>Recommendation</b> We recommend that the employees' leave balances be reviewed and staff with excessive balances be encouraged to utilise their entitlements. Consideration should also be given to establishing a formal policy to manage the number of leave days that an employee may accumulate.</p> <p><b>Management Response</b> SLQ Management have been actively pursuing policies to reduce the number of employees with more than 40 days annual leave as at 30 June 2013.</p> <p>SLQ has a large percentage of employees who have been employed by SLQ (or the State Government) over a long period of time. This has resulted in high leave balances for some employees and whilst desirable for the excessive balances to be reduced, may not necessarily be a sole indicator of whether an employee has failed to take their annual leave allocation over recent years.</p>



Matter	Observation and recommendation
	<p>SLQ continues to provide local managers with reports to enable them to manage the leave balances of their staff. Staff with high leave balances (and those whose leave balances may soon reach the above level) will be actively encouraged to reduce their balances. Further, SLQ will investigate the option of a formal policy to manage the number of leave days able to be accrued by employees. As at 23 August 2013, the number of staff with recreation leave balances in excess of 40 days was 12. There has also been a notable reduction in the total full-time equivalent days excess leave during 2012/13.</p>
Bank Reconciliations	<p><b>Observation</b></p> <p>We noted that the year end bank reconciliation contained numerous entries which had not been matched off prior to 30 June 2013. We also noted long outstanding cheques dating back to 2008.</p> <p><b>Recommendation</b></p> <p>We recommend that management liaise with the service provider to ensure that all reconciling items are cleared on a more timely basis.</p> <p><b>Management Response</b></p> <p>SLQ Management acknowledge numerous entries that had not been matched off prior to 30 June 2013.</p> <p>SLQ has subsequently held a meeting with the CAA to discuss the reconciliation issues. Some procedural changes to the manner in which POS entries are receipted have been implemented which should resolve quite a few of the issues. Further, the SLQ Finance teams will take a more active role in the monitoring of unmatched items and provide reports and advice to the CAA to enable faster clearance of these items.</p> <p>As the above meeting occurred after the July reconciliation was prepared, no progress was made at that point, however, SLQ are expecting to see an improvement in the August and subsequent reconciliations.</p> <p>Requests to cancel long outstanding cheques have been sent to the CBA and the CAA.</p>

## Matters Noted at the Interim Audit

### Low Risk:

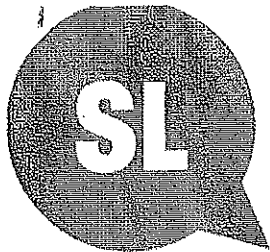
Matter	Observation and recommendation
Grant Payments	<p><b>Observation</b></p> <p>We noted one instance of a quarterly public library grant of \$30,398 which was paid to the incorrect recipient. We understand that this was due to a transposition error in the vendor number.</p> <p><b>Implication</b></p> <p>Payments being made to the incorrect recipient could result in a financial loss to LBQ.</p> <p><b>Recommendation</b></p> <p>We have discussed this matter with management who have contacted the library that was paid in error and requested the funds be returned.</p> <p><b>Management Response</b></p> <p>The above mentioned payment was made to [REDACTED] in error when the payment should have been made to [REDACTED] for their quarterly Public Library grant payment.</p>

**Matter****Observation and recommendation**

This was due to the incorrect Finance One vendor number being used (the two numbers are similar with only the last two transposed) and the mistake was not initially picked up as (a) [REDACTED] hadn't informed us they'd received a grant they weren't entitled to and (b) [REDACTED] hadn't complained about not receiving their grant.

The vendor number has been corrected on the master sheet and procedures put in place to check grant payments before they are sent to the CAA for payment.

[REDACTED] was paid their grant on 24th May 2013, and [REDACTED] reimbursed SLQ on the 5th June 2013.

*all yours***Content Development****t 3840 7929****e [helen.thurlow@slq.qld.gov.au](mailto:helen.thurlow@slq.qld.gov.au)****635/185/004****[www.slq.qld.gov.au](http://www.slq.qld.gov.au)****PO Box 3488****South Brisbane Q 4101****Australia**

## MEMO

To Rory McLeod, Director, Content Development

From Helen Thurlow, Manager, Collection Access

Subject Process for the withdrawal of missing items from South Bank collections

Date 2 April 2013

Copy Anna Raunik, Executive Manager, Discovery

Dear Rory

During the past two years, discussions with external Auditors have flagged the need to finalise the withdrawal of catalogue records for items missing from Queensland Memory and the Information Collection.

Depending on pre-determined entitlements, collection items may be used onsite or offsite by a range of patrons, including staff, clients, music borrowers and other libraries. Consequently, a collection item can be identified as *missing* for multiple reasons. The attached document outlines the process for the identification and recovery, or withdrawal, of missing items.

Regardless of how identified, at least three searches are undertaken for all missing items over an 18 month period. On completion of these searches, items not found are considered 'long-term' missing items. Records for such items need to be removed from the catalogue:

- to ensure the catalogue accurately reflects SLQ's physical holdings
- to ensure the count of items used for collection valuation excludes long-term missing items.

If a missing item is subsequently located, it may be assessed for inclusion in the collection.

The *Withdrawal and Disposal procedure* has been used since 2009 to formally withdraw de-selected items from the South Bank collections. This procedure can also be applied to the withdrawal of catalogue records for missing items. Lists of missing items will be submitted to

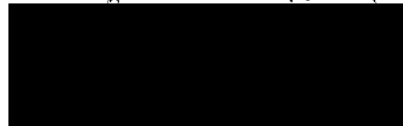
the designated Officers to seek approval for catalogue records to be removed. All approvals will be retained by Records.

Therefore, your approval is sought for the following recommendations:

1. that the withdrawal of catalogue records for long-term missing items, as identified by the attached process, be undertaken on an ongoing basis
2. that the current *Withdrawal and disposal procedure* be used to ensure:
  - appropriate approvals are obtained to withdraw catalogue records
  - records of withdrawals are retained, as per the procedure.

Helen Thurlow

Recommendations supported Yes/No



Executive Manager, Discovery

Approved Yes/No



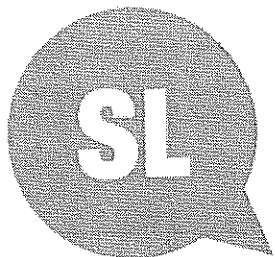
Director, Content Development

Patron Group	Loan Period	Action	Interval	Action	Shelf check	Interval	Action	Shelf check	Interval	Action	Shelf check	Interval	Action	Shelf check	Interval	Action	Shelf check	Action
Staff	28 days	Item becomes overdue	3 days	1st overdue notice sent		7 days	2nd overdue notice sent		7 days	3rd overdue notice; invoicing procedure initiated after shelf check		180 days	System flags items as lost (LSA);		180 days	LLA report produced; shelves checked		Request to withdraw items (ie catalogue records) submitted for approval as per the <i>Withdrawal and Disposal</i> procedures
SLQ Exhibitions	365 days	Item becomes overdue	7 days	1st overdue notice sent		14 days	2nd overdue notice sent		14 days	3rd overdue notice; invoicing procedure initiated after shelf check		180 days	report produced; shelves checked;					
Queensland residents / Generic patrons	3 days	Item becomes overdue	14 days	1st overdue notice generated		14 days	2nd overdue notice generated		14 days	3rd overdue notice generated		180 days	missing items flagged as lost library applied (LLA)					
Music clients - scores	28 days	Item becomes overdue	14 days	1st overdue notice sent		14 days	2nd overdue notice sent		14 days	3rd overdue notice; invoicing procedure initiated after shelf check		180 days	if client pays invoice, item/s are added to register of items paid after invoicing;					
Music clients - sets	90 days	Item becomes overdue	14 days	1st overdue notice sent		14 days	2nd overdue notice sent		14 days	3rd overdue notice; invoicing procedure initiated after shelf check			Title is assessed for repurchase; item record to be withdrawn.					
Other libraries (inter-library loan)	42 days	Item becomes overdue	14 days	1st overdue notice sent		14 days	2nd overdue notice sent		14 days	3rd overdue notice; invoicing procedure initiated after shelf check			If client claims return or no contact is made, item continues along missing process.					

Note: If at any stage a client claims an item has been returned shelves are checked.

## Items missing from shelf

Item identified as missing	Shelf check	Interval	Action	Shelf check	Interval	Action	Shelf check	Interval	Action	Shelf check	Action
<b>Stocktake</b> - item in catalogue not found on shelf during stocktake recorded on appropriate <i>Stocktake Missing</i> patron		On completion of stocktake	<i>Stocktake Missing</i> report generated; Shelves checked		180 days (overdues suppressed)	System flags items as <i>Lost system applied</i> (LSA); Report generated; Shelves checked; Missing items flagged as <i>Lost library applied</i> (LLA)		180 days	LLA report produced; shelves checked		Request to withdraw items (ie catalogue records) submitted for approval as per the <i>Withdrawal and Disposal procedures</i>
<b>Failed request (ie callslip) for item</b> - requested item not found on shelf		30 days	Report of <i>Failed Callslips</i> generated; Shelves checked; Items not found flagged as <i>missing</i>		180 days	<i>Missing</i> report generated; Shelves checked; Missing items flagged as <i>Lost library applied</i> (LLA)					
<b>Item not found on shelf by staff/client</b> - <i>Missing Item Form</i> submitted via RefTracker		2 days	Shelves checked; If found, client advised; If not found, item flagged as <i>missing</i>		180 days	<i>Missing</i> report generated; Shelves checked; Missing items flagged as <i>Lost library applied</i> (LLA)					

**Agenda Item: 4.4****Confidentiality**☒ Normal ☐ ET only**Issue**

- ☒ Policy  
☐ Strategic/Performance  
☐ Governance

**Purpose**

- ☐ For information  
☐ For discussion  
☒ For decision

File No: 680/310/001

## Executive Team

**Title** Verification of South Bank Collections

**Author** Helen Thurlow, Manager, Collection Access

**Date** 13 February 2013

**Director responsible** Rory McLeod, Director, Content Development

**Consultation with** Anna Raunik, EM Discovery  
Val Johnston, EM FFA

**Purpose**

To seek approval for:

- o verification processes for SLQ's South Bank collections
- o verification plan for the current three-year cycle 2012/13 to 2014/15.

**Background**

As per the Queensland Government's Non-Current Asset Policies for the Queensland Public Sector – Accounting for Library Collections, SLQ's Queensland Memory and Information Collections are capitalised collections which are to be physically verified in a rolling three-year stocktake process.

In 2012, Internal Audit was advised that it would not be possible to achieve the complete stocktake in a three-year period using existing processes and staff levels. Audit subsequently agreed that a collection count was an acceptable verification tool. Using the combined processes of collection count and stocktake, SLQ was able to meet its stocktake commitment for the 09/10 to 11/12 verification cycle.

Internal Audit also recommended that *there be a documented formal requirement to regularly inform Executive Management of stocktake progress to ensure that the stocktake is performed in accordance with the requirements of the Accounting for Library Collections Policy<sup>1</sup>*. Consequently, a three-year Verification Plan and quarterly updates are to be provided to the Executive Team.

The external auditors have sought a copy of the three year plan and stocktake procedures. They will be observing the stocktake process on their initial interim audit visit on 11 March.

<sup>1</sup> SLQ Internal Audit Report. *Review of Collection Stocktake and Valuation*, April 2012

## Issues

### 1. Verification outcomes

In addition to complying with Government and Audit requirements, verification via stocktake and counting contributes to the maintenance and accessibility of physical collections, and confirms the holdings on which valuations are based. Specifically, stocktake:

- reconciles catalogue data with location of physical items
- ensures One Search provides an accurate record of the Library's holdings for clients and staff
- ensures accurate SLQ holdings in the National Bibliographic Database (ie Trove)
- alerts staff to collection items which are missing or unsighted
- supports/informs the collection valuation process by ensuring the accuracy of holdings.

As a verification tool, a collection count

- confirms accuracy of Voyager data for valuation processes
- indicates areas that require more detailed examination if the count differs by 5% or more from Voyager data.

### 2. Verification process

The process of verifying collections comprises three options:

Method	Process	General use
Stocktake via barcode capture	Barcodes are scanned and captured data is compared against catalogue data	used for collections with scannable barcodes
Stocktake via manual check	A list of items in a shelving sequence are compared against catalogue data	used for collections which do not have scannable barcodes
Count	A count of the total number of titles or physical units in a shelving sequence is compared against catalogue statistics	used for Information Collections

In addition, some collection maintenance work may also qualify as verification.

#### 2.1 New / enhanced collections

The recording of a new collection within Voyager, or the relocation of existing items to a new collection, is considered a verification activity in addition to those above. Examples include:

- addition of holdings information for SLQ's microfilm masters to existing catalogue records; this current project is identifying microfilm masters, adding details to Voyager records, and producing barcode which is applied to the item
- creation of subject level records for the copy print collection (which contains 148,000 images); previously no catalogue access to this collection
- creation of gallery level records for art gallery ephemera; previously no catalogue access to this collection
- relocation of small rare books from standard book collection to dedicated 'small book' storage

- assigning of physical barcodes to JOL open access monographs as part of stocktake process.

Such activities require changes in Voyager database and in storage areas to ensure consistency between catalogue records and storage locations.

## 2.2 Original materials

The original materials collections were surveyed during 2006/07 to 2007/08. The survey involved checking and updating records against 'items on shelf', and was considered a verification process.

Historically, catalogue records have not contained item-level descriptions, so verification of holdings by stocktake has not been possible. The Discovery Branch is now undertaking a project to update catalogue records, and collections are being barcoded.

The collection is stored in running number sequences. Therefore, a collection count will be used to comply with verification requirements in this three-year cycle.

## 3. Verification priorities

All collections are required to be verified in the three-year cycle. The sequence in which collections are verified is informed by SLQ's *Content Strategy*, disaster recovery priorities and the level of risk to collections.

General priorities for verification				
Collections	Titles	Items	Method	Frequency
Valuable items stored in Rare & Restricted Room	224	489	barcode	annual (due to value)
Disaster recovery priorities	32 titles in addition to items in R&R Room		barcode	annual (due to value)
JOL open access collection	9 787	10 453	barcode	annual (due to risk)
JOL published collections in secure storage	145 567	354 948	barcode / manual	triennial
JOL original materials in secure storage	9 478	16 688	count	triennial
ALA collections in secure storage	34 656	64 738	barcode / manual	triennial
Information Collection, open access monographs	95 436	97 365	barcode/ count	triennial
Information Collection remainder	436,151	664,896	count	triennial

The detailed three year plan provided to the external auditors is in Attachment 1.

## 4. Other Asset Management activities

Successful verification is supported by a number of other activities undertaken to ensure the identification and accessibility of physical collections:

Loans Policies	Provide the parameters to support the movement of collection items for client, staff and exhibition use <ul style="list-style-type: none"> <li>• <u>Lending Policy – Loans for exhibition</u> (on SLQ website)</li> <li>• <u>Lending Policy – Loans to libraries</u> (on SLQ website)</li> <li>• <u>Lending Policy – Loans of music items to clients</u> (on SLQ website)</li> <li>• <u>Staff Loans Policy</u> (on SLQ intranet)</li> </ul>
Voyager circulation	Voyager is used to manage all movement of items between storage areas and points of use, whether onsite or offsite. Notifications of items not returned to storage when expected are generated and actioned.
Desk Audits	Periodic audits of staff areas are undertaken to: <ul style="list-style-type: none"> <li>• confirm that items not in storage have been recorded as loans</li> <li>• retrieve items whose return to storage is overdue.</li> </ul>
Security tagging	Security tags are applied to items in the Information Collection and parts of the John Oxley Library collection. This enables detection if items are removed from the building without authorisation.
Stocktake	As a result of stocktake processes, corrective action is taken when: <ul style="list-style-type: none"> <li>• items found 'on shelf' but not in the catalogue</li> <li>• items identified in the catalogue, but not sighted 'on shelf'.</li> </ul> During the past three-year cycle, some 60 000 catalogue updates were made as a result of the stocktake process.

## 5. Resourcing for verification

Progress will be monitored closely to ensure resources are available to complete verification by June 2015. Current resourcing is as follows:

- Collection Access allocates resources to manual stocktake most weekdays
- If there are budget savings in staff (LSL etc) this will be used to appoint casuals to progress the count of Information Collections

To ensure resources are available to complete verification by June 2015, progress will be monitored closely via a standing agenda item for the Collection Access weekly meeting and quarterly updates to ET.

### Options

- Approve the current three year plan to be delivered within existing staff resourcing
- Increase available staff resourcing and undertake full stocktake (rather than verification) of all collections.

### Executive Team/Stakeholder Support: (eg Director & Yes/No & Optional comment).

Executive Manager, Finance Facilities and Administration  
 Executive Manager, Discovery  
 Director, Content Development

**Recommendation/s**

1. Approve processes for SLQ's South Bank collections
  2. Approve verification plan for the current three-year cycle 2012/13 to 2014/15.
- 

**Resource Allocation**

Budget: Existing resources  
Funding Source: Collection Access

**Links to Strategic Plan**

- |   |  |
|---|--|
| <input checked="" type="checkbox"/> Key objective 1: Improve access to library services | <input type="checkbox"/> Key objective 3: Extend learning and creative experiences |
| <input type="checkbox"/> Key objective 2: Co-create Queensland's memory                 | <input type="checkbox"/> Key objective 4: Develop our people and capability        |

#### Fourth quarter 2012-13 stocktake update:

Collection	Total items at 30/06/2013	Items verified 2012/13	Items not verified or counted <sup>1</sup>	% variance	Verification method
Queensland Memory	439,332	50,177	270	.54	Manual stocktake via shelf list
Information Collection	752,314	82,884	689	.83	Manual stocktake via shelf list
		283,029	2,442	.86	Collection count <sup>2</sup>
Totals	1,191,646	416,090 (34.9%)	3,401	.81	

<sup>1</sup> These items will be checked further as per the *Missing Items Process*.

<sup>2</sup> Re Collection counts, if variance between total number of items and number of items counted is greater than 5%, the collection will be re-verified via a full stocktake.

#### Definitions

The process of verifying collections comprises three options:

Method	Process
Stocktake via barcode capture	Barcodes are scanned and captured data is compared against catalogue data
Stocktake via manual check	A list of items in a shelving sequence are compared against catalogue data
Count	A count of the total number of titles or physical units in a shelving sequence is compared against catalogue statistics



ABN 02 121 240 438

*Certified Practising Accountants***DIRECTORS:**

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[mark@aataccountants.com.au](mailto:mark@aataccountants.com.au)4<sup>th</sup> September, 2012

Mr. Bruce MacGregor  
 Director Corporate Services  
 Library Board of Queensland  
 PO Box 3488  
 SOUTH BRISBANE QLD 4101

Dear Mr. MacGregor,

The Library Board of Queensland audit for 2012 is complete. The general purpose financial statements for 2012 have been audited and certified without qualification. The final audit results are provided below, together with an update of other contemporary public sector issues.

**FINAL AUDIT RESULTS**

Each of the matters raised in the audit has been assessed against a risk rating categorized as High, Moderate or Low. While no matters pertaining to the presumption of going concern arose during the course of the audit, we noted your representation to us that you were unaware of any potential impact of the State Government's 2012/2013 Budget on the State Library's funding or operations for 2012/2013.

**CONTEMPORARY PUBLIC SECTOR ISSUES****Matters relating to the Electronic Presentation of Audited Financial Statements**

As you intend to electronically present the financial statements and our audit report on your website or distribute them via other electronic media including CD ROM, we have provided you with an alternative audit report with an additional paragraph included in the independent audit report to reflect the uncertainty in relation to the security of an entity's website and the potential misuse of any signatures included on the website. Responsibility for the electronic presentation of these reports on your website is that of your management or other governing body.



AATA.



- 2 -

I wish to thank yourself and management for their full cooperation during the audit process.

Yours sincerely



Donald John Munro  
as Delegate of the Auditor-General

**EXECUTIVE SUMMARY**

*Matters identified during the course of the final audit, for which a formal response is requested are included in Appendix-A.*

*Without anticipating the Auditor-general's final decision on what may be referenced in an Auditor-General's Report to Parliament, each of the matters included in the Appendix have been assessed and categorised against the following risk categories-*

<b>Risk Category</b>	<b>Client Impact</b>
(H) HIGH	Matters which pose a significant business or financial risk to the entity and/or Matters that have resulted or could potentially result in a modified or qualified audit opinion if not addressed as a matter of urgency by the entity.
(M) MODERATE	Matters of a systematic nature that pose a moderate business or financial risk to the entity if not addressed as high priority within the current financial year and / or Matters that may escalate to high risk if not addressed promptly and / or Low risk matters which have been reported to management in the past but have not been satisfactorily resolved or addressed.
(L) LOW	Matters that are isolated, non-systemic or procedural in nature and / or Matters that reflect relatively minor administrative shortcomings and could be addressed in the context of the entity's overall control environment.

A summary of the issues raised by category and risk rating is included below for your information –

<b>Item</b>	<b>Category/risk</b>	<b>Issue</b>	<b>Status</b>
1.	Asset Management		
1.1	LOW	Rolling stocktake of reference collection	In progress
2.	Procurement		
2.1	LOW	Procurement policy and planned activity	Ongoing
3.	Workforce management		
3.1	LOW	Excess Employee Leave balances	Ongoing

**Issue 1.1: Rolling Stock take of reference collection      Rating:- Low**

**Observation**

It was observed that the Finance team did not have significant perview over the management of the rolling stocktake of Reference collection items. At our interim audit visit the Finance team were unaware that the rolling stocktake progress was such that it was not going to satisfy the Library's policy of a complete physical verification.

**Implication**

- That while the Finance team had ensured that the process was occurring, there were no metrics to facilitate reporting of progress against a plan to allow management to identify a serious lack of progress and potential failure to comply with the Library's accounting policy.
- That the change of approach identified and implemented by the Finance team ( to count titles instead of verifying Title to Title) was effective and efficient and could be further refined and embodied into the Library's accounting policy to provide guidance for future years.

**Recommendation:**

1. That the Finance team be allocated responsibility for management of the Reference collection stocktake process.
2. That the Accounting for Library Collections policy be amended to include guidance on the preferred verification approach.

**Chief Executive's Officer's response:**

**Issue 2.1: Procurement policy and planned activity****Rating:- Low****Observation**

The expenditure on collection purchases dropped significantly from 2010/2011. As at the 7<sup>th</sup> June 2012, the Library's expenditure was:

Collection	Actual Expenditure	Prior Year expenditure
CLS	318,000	730,000
CS	165,000	370,000

The low expenditure in the first half of the financial year led to a significant effort in the latter part of the financial year to "catch up" on the planned procurement activity.

**Implication**

That the Library may not achieve its objectives / outputs which is the primary measure of achievement for a not-for-profit organization. Additionally large end of year spending places additional pressure on the Library's procurement systems and the risk of fraud is increased.

**Recommendation:**

That the Library's management continue to monitor progress of the Library's outputs against targets to identify areas where a lack of achievement of planned activity may be likely to impact on the Library's overall objectives.

**Chief Executive's Officer's response:**

**Issue 3.1: Excess Employee Leave balances Rating:- Low**

**Observation**

It was noted in our 2010 and 2011 Audit referral letters that numerous staff had accrued annual leave balances in excess of the guidelines set out in Procedure PL-005-V1-2009 Managing Leave and Balances. We further noted during the 2012 audit there was a further significant increase in the amount of Non current recreation leave accrued (2012: \$481K; 2011: \$336K), whilst the overall balance of recreation leave payable remained stable.

**Implication**

That staff in key positions may be overworked, experience poor work life balance or a deterioration in personal health, workplace health and safety issues and business continuity and other risk issues.

**Recommendation:**

1. That management remain aware of the excess leave balances of key staff and continue to work proactively with these staff to manage their outstanding balances.

File: 680/310/001

## Minutes

Meeting: Audit and Risk Management Committee

Date/Time: 10.30am – 12.10pm Thursday, 7 June 2012

Venue: slq Boardroom, Level 5

Attendees: Members:

Matthew McDonnell, Library Board member (Chair)  
Helen Brodie, Library Board member  
Distinguished Professor Stuart Cunningham, Library Board member  
Ruth Drinkwater, Library Board member

Observers:

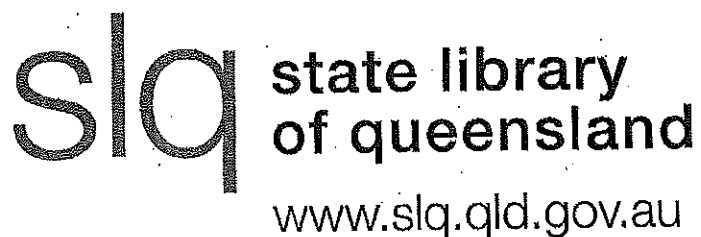
Janette Wright, State Librarian  
Bruce MacGregor, Director, Corporate Services (CS) (Executive Officer)  
Val Johnston, Exec Mgr, Finance, Fac. and Admin., CS (Assist Exec Officer)  
Don Munro, AAT Accountants (QAO Contractor)  
Mark Wright, AAT Accountants (QAO Contractor)  
Martin Linnane, Manager, Audit Services, CAA

Guests: Rory McLeod, Director, Client Services & Collections (CSC) (for agenda item 4.2)  
Helen Thurlow, Manager, Collections Access (CS) (for agenda item 4.2)  
Kate Johnson, Manager, Strategic Reporting (for agenda item 10)  
Greg Carmichael, Manager, Facilities (for agenda item 12)  
Grant Collins, Manager, Collection Preservation (for agenda item 12)

Apologies: Scott Reid, Library Board member  
Gerry Dalton, A/Director, Financial Services, CAA

- 4.2 Collection Stocktake and Valuation (attached)  
Martin Linnane commented that there were no problems with adherence to the valuation policy regarding the heritage collection, but spoke of the practical issues that management had encountered with achieving the three year rolling stocktake when employing an 'individual title check for each item' methodology. Since changing the approach to a 'count of items within each category', the stocktake is now expected to be completed on time. The merits of employing an individual title check approach versus a count of items approach was discussed and the count of items approach was considered reasonable.

**ACTION:** Management to revise the policy to include information on the stocktake approach.



# Internal Audit Report

Review of


## Collection Stocktake and Valuation

April 2012



**Queensland  
Government**

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## 1. EXECUTIVE SUMMARY

### 1.1. Audit Conclusion

In accordance with the approved 2011-12 Internal Audit Plan, an audit of Collection Stocktake and Valuation has been completed.

This report informs Management of issues arising from the audit and makes recommendations for improvements in internal controls. Some of the weaknesses identified during the audit are as follows:

- There is no documented requirement for stocktake progress to be reported regularly to Executive Management; and
- Audit has been advised the current stocktake cycle ending 30 June 2012 will not be completed within this timeframe.

In regard to the valuation of the collections Audit tests proved satisfactory. In particular:

- Reference Collection items are recorded in group categories in a spreadsheet. The valuation is determined by an average of previous years purchases multiplied by the number of items in the category plus the current year acquisitions. Audit conducted a sample check of category calculations which proved to be accurate.
- Audit verified that the correct indices were applied to the Heritage and Cultural assets since the last independent valuation.

### 1.2. Objective

The objective of the audit was to assess whether the State Library of Queensland (SLQ) was compliant with its Accounting for Library Collections Policy with regard to valuations and stocktakes.

In particular Audit:

- Reviewed SLQ's Accounting for Library Collections policy for compliance with Queensland Treasury's Non-Current Asset Policy;
- Reviewed compliance with stocktake requirements as per SLQ's Accounting for Library Collections Policy; and
- Ensured the correct indices were applied to Heritage and Cultural assets since the last independent valuation was performed and that the valuation of the Reference Collection has been performed accurately and in accordance with the approved methodology.

### 1.3. Management Comment

Management agrees with the recommendation that stocktake progress is reported regularly to Executive Management. The three year rolling stocktake plan should identify annual progress and reporting against that progress should be done on an agreed regular basis, depending on the planned timing of the work. Changes will be made to ensure this happens.

In response to the comment that the current stocktake cycle ending 30 June 2012 will not be completed within this timeframe, management can advise that a number of measures have been put into place to ensure that the stocktake will be completed by 30 June. As at 30 May, over 99% of monographs and 71% of serial titles have been counted with the remaining items planned to be completed before 30 June 2012.

In order to meet the deadline, a procedural change was required. The new procedure was informally presented to and approved by both internal and external audit. The documented procedure has only just been provided to both audit teams for review. This new procedure involves a physical count of items within Voyager categories for monographs but does not involve an individual barcode check. For serials, the process is the same except that it is a physical count of titles not items. With over 706,000 monographs and over 70,000 serial titles to be counted in total, the rigorous process of checking each and every item against its label was not achievable or if it was, the cost would have been prohibitive. There have been no material variances between the number of items located compared with the number of items on Voyager found to date.

#### *Verification of rare and restricted items:*

Audit's advice that annual stocktake of items with a value exceeding \$10,000 could not be verified is noted. The Stocktake Planning document forwarded to Audit on 9 February 2012 is the record of activity. It indicates that the stocktakes were completed but it is acknowledged that the information may be unclear. A stocktake of the Rare and Restricted material has been completed annually. Evidentially, a record of unsighted items has been used as evidence of stocktake, and the stocktake is considered complete if all items are accounted for.

## AUDIT FINDINGS

### 1.4. Collection Stocktake Progress Reporting

(Risk Rating: ■■■ - Medium (refer table A (f))

#### 1.4.1. Observations

The Accounting for Library Collections Policy prescribes the following terms and frequencies of stocktakes for the State Library's Reference and Heritage Collections.

##### Reference Collections

"A stock-take regime is in place within the State Library and a 3 year plan (commencing in the 2006-07 financial year will be followed to ensure control over materials reported in this Asset Class."

##### Heritage Collections

"Materials in this collection will be part of a stock-take over a 3 year period except for those items above \$10,000 in value which should be verified annually."

Audit also reviewed stocktake procedures supplied to audit by Collection Access including:

- Stocktake procedures for manual list
- Stocktake procedures for barcode capture
- Missing item procedure – manual list
- Follow up process
- Rare and Restricted retrieval


Audit noted that neither the Accounting for Library Collections Policy nor the Collection Access stocktake procedures include any requirement to report stocktake progress to Executive Management.

#### 1.4.2. Implications

In the absence of a formal requirement to report stocktake progress to Executive Management, Executive Management may not be fully informed of the status of the stocktake and whether or not the stocktake will be completed in the timeframes prescribed by the Accounting for Library Collections Policy.

#### 1.4.3. Recommendations

It is recommended that there is a documented formal requirement to regularly inform Executive Management of stocktake progress to ensure that the stocktake is performed in accordance with the requirements of the Accounting for Library Collections Policy.

**1.5. Collection Stocktake Cycle to be Incomplete as at 30 June 2012**(Risk Rating:  - High (refer table A (d))**1.5.1. Observations**

The Collection Access Manager advised Audit that the current 3 year stocktake cycle ending on 30 June 2012 will not be completed within this timeframe.

Audit requested written advice as to what progress had been made to date with the stocktake and what would remain outstanding as at 30 June 2012. Audit was supplied with a memo from the Executive Manager, Resource Management which included the following table.

Status of Stocktake (as at 1/3/2012)	Queensland Memory (Heritage)		General collection (Reference)	
	Titles	Items	Titles	Items
Completed	3,024	7,951	183,036	199,090
In progress: to be completed by 30/06/2012	17,518	20,741		
<b>TOTAL @ 30/6/2012</b>	<b>20,542</b>	<b>28,692</b>	<b>183,036</b>	<b>199,090</b>
Next 3 year cycle	128,450	349,304		
Next 5 year cycle			333,463	553,826
<b>Collection total for stocktake</b>	<b>148,992</b>	<b>377,996</b>	<b>516,499</b>	<b>752,916</b>

From the above table it is clear that limited stocktake activity has occurred in the current 3 year cycle. Audit was advised that all items with a value exceeding \$10,000 are verified annually. Audit has not been able to verify these stocktakes with the documentation provided to date.

The memo lists the following issues as having impacted on stocktake activity.

**1. Client Services and Collections (CSC) Collecting Priorities**

## Internal Audit Report: Collection Stocktake and Valuation

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A new collecting policy *Content Strategy* is in development and is expected to be approved by the Library Board by June 2012. The strategy will be a "guiding document for prioritising and managing collections" at the State Library.

### 2. Resources

The memo states that "it is apparent that the complete CSC collection of 3.5+ million items cannot be comprehensively inventoried in a three year cycle".

Audit was advised that work practices incorporate stocktake activities as a core business function and assistance from other work units where the stocktake can be done via barcode capture.

### 3. Managing Collections

In recent years CSC has engaged in activities including relocating, rehousing and relabelling of collection items to improve item identification and retrieval and the speed of subsequent stocktakes.

#### 1.5.2. **Implications**

Non compliance with the Accounting for Library Collections Policy which requires:

##### Reference Collections

"A stock-take regime is in place within the State Library and a 3 year plan (commencing in the 2006-07 financial year) will be followed to ensure control over materials reported in this Asset Class."

##### Heritage Collections

"Materials in this collection will be part of a stock-take over a 3 year period except for those items above \$10,000 in value which should be verified annually."

#### 1.5.3. **Recommendations**

Given that the Collection stocktake has not been completed this three year cycle, it is recommended that the stocktake process is subject to review to ensure that stocktake requirements are achieved in future periods.

It is recommend that the State Library liaise with External Audit to ensure they are satisfied that sufficient work has been performed to support the Collection disclosures in the 2012 Financial Statements.

## 2. ACKNOWLEDGEMENT

Audit acknowledges the assistance of Gwyn Davies, Helen Thurlow and Anna Raunik during the course of the audit.

## 3. TABLE A - RISK ASSESSMENT MATRIX (High-Medium-Low)

The following Matrix can be used to help determine the risk ranking of a finding and its associated recommendations. Classification of high, medium or low usually occurs because of a combination of factors. The problem noted and or failure to implement a recommended solution could have the following impact:

High	Medium	Low
(a) Matters which pose a significant business or financial risk to the entity.	(a) Matters of a systemic nature that pose a moderate business or financial risk to the entity if not addressed as high priority within the current financial year.	(a) Matters that are isolated, non-systemic or procedural in nature.
(b) Potential significant life/safety threat.	(b) Remote life or safety threat.	(b) No life or safety threat.
(c) Large dollar amounts or highly liquid assets at risk (cash).	(c) Medium dollar amount at risk or assets not liquid or convertible to cash.	(c) Low dollar amount at risk.
(d) Lack of major control step. Significant control weakness creates potential for fraud.	(d) Other compensating controls exist.	(d) Several other compensating controls. This is a minor control feature.
(e) Public trust loss if bad effect occurs.	(e) Some impact on public trust or regional concern.	(d) Unlikely public interest.
(f) Potential for wide spread violation of law, grant or contract or actual violation has occurred.	(f) Potential weakness could lead to violation of policy or procedure.	(f) Recommendation is mainly an improvement in controls.

Client Services and Collections  
t 3840 7828  
e [anna.raunik@slq.qld.gov.au](mailto:anna.raunik@slq.qld.gov.au)  
File : 680/310/001

## Memo

**To** Leanne Fritz  
Senior Internal Auditor, CAA

**From** Anna Raunik  
Executive Manager, Resource Management, SLQ

**Subject** SLQ Stocktake Audit

**Date** 12 March 2012

**Copy** Rory McLeod, Director, Client Services and Collections  
Helen Thurlow, Manager Collection Access

Dear Leanne

The recent (October 2010) Client Services and Collections Program (CSC) realignment includes revised definitions for SLQ collections. A new collecting policy, the *Content Strategy*, is in development, to be approved by the Library Board by June 2012. This new strategy defines SLQ collections and will have an impact on *Accounting for Library Collections Policy: SLQ implementation* and the subsequent stocktake program.

### Stocktake progress during the 2009/10 - 2011/12 cycle

Ongoing verification of the CSC collections has been undertaken since 2004. The *Accounting Policy* document above advises that stocktake of the Heritage and Reference collections (now known as Queensland Memory and General Collections respectively) be completed in a three year cycle. Spreadsheets supplied to Audit on 9 February 2012 show stocktake activity since 2004.

Resource constraints resulted in very little stocktake activity during 2009/10. Priority was given to finalising the verification and relabelling of a stored collection which was identified as having significant discrepancies between shelf locations and catalogue data.

As Queensland Memory collections have been verified twice since 2004, focus during the remaining two years of the cycle has been as follows:

- General monograph collections which have never been verified
- Open access collections which are at greater risk of theft than stored collections.

Collection areas have required different approaches to verification. The General open access collection is verified via barcode scanning and reconciliation is assisted via system-generated reports. However, the Children's literature and Queensland Memory open access collections are verified manually via printed lists. In addition, the latter two collections have been barcoded as part of the stocktake process to enable verification via barcode scanning during next cycle.

The following Table summarises stocktake activity for the period 2009/10 to 2011/12, as at 1 March 2012:

Status of Stocktake (as at 1/3/2012)	Queensland Memory		General collection	
	Titles	Items	Titles	Items
Completed	3,024	7,951	183,036	199,090
In progress: to be completed by 30/06/2012	17,518	20,741		
<b>TOTAL @ 30/6/2012</b>	<b>20,542</b>	<b>28,692</b>	<b>183,036</b>	<b>199,090</b>
Next 3 year cycle	128,450	349,304		
Next 5 year cycle			333,463	553,826
<b>Collection total for stocktake</b>	<b>148,992</b>	<b>377,996</b>	<b>516,499</b>	<b>752,916</b>

Notes:

1. A number of collections are in the process of being verified are expected to be completed by 30 June.
2. As reported in previous audits and with QAO, 'item' counts are for items recorded in Voyager. It should also be noted that:
  - Many serial titles do not have comprehensive item records, so the item count significantly understates the number of items held.
  - Counts are for the number of titles/items to be verified, and reflects the QAO agreement that some collections, including serials and exhibition catalogues may verified on a 1 in 10 basis.
  - Counts include collections from which items are likely to be withdrawn during the next two years.
  - Unprocessed items are not included in Stocktake.

### Issues impacting stocktake

#### 1. CSC collecting priorities

As noted above, CSC the new *Content Strategy* will replace the *Collection Development Policy* (2005). The Strategy will be a guiding document for prioritising and managing collections at State Library. Items with Queensland content will be the highest collecting priority for Queensland Memory. The General Collection will form part of the National and State Libraries Australasia (NSLA) Collaborative Collecting initiative and will be managed as a finite and replaceable collection, with a focus on providing information electronically and digitally. Therefore the stocktake requirements and cycle will need to be reviewed in light of this change in scope.

#### 2. Resources

As the third CSC stocktake cycle nears completion, it is apparent that the complete CSC collection of 3.5+ million items cannot be comprehensively inventoried in a three year cycle, as recommended by the above Policy. As noted the change in the definition of the collections is a prompt to re-examine the policy. During the period 2006/07 to 2008/09, extra funding was received to enable stocktake to be undertaken as a project. However, as noted above, very little stocktake was undertaken during 2009/10. Since that time, work processes have been revised to incorporate stocktake as core business in Collection Access. Assistance from other work units has been supplied when stocktake can be done via barcode capture.

### 3. Managing collections

In recent years, CSC has been relocating (eg from closed to open access), rehousing and relabeling in order to make collections more identifiable and accessible. Such maintenance results in ongoing verification of items and updates to catalogue records to reflect accurate locations. The recording as loans of all items removed from storage repositories and the subsequent tracking cycle for non-returned items is another element of asset verification.

Items are also being withdrawn from collections according to a number of criteria, including outdated content, poor physical condition, minimal item usage and level of duplication. Items are primarily withdrawn from the General Collection and this will continue for some due to the large number of duplicated items held. This process also includes verification of items and updates to catalogue records. Such maintenance and withdrawal activity constitute ongoing collection verification.

Such activities are resulting in an improved rate of item identification and retrieval. Every catalogue update resulting from verification and reconciliation improves the speed and success of subsequent stocktakes.

### **Recommendation**

To align stocktake with CSC collecting priorities, a change to the CSC stocktake cycle is recommended as follows:

Collection	Stocktake cycle
Valuable collections (over \$10K)	Annual
Open access monograph collections	Two yearly
Queensland Memory	Three yearly
General collection	Five yearly

This change is recommended to enable SLQ to meet its stocktake obligations. If accepted, the document *Accounting for Library Collections Policy: SLQ implementation* would be amended to incorporate the cycle changes.

Anna Raunik.

## Notes:

Records print locations only; report generated by Voyager 01/02/2013

Collections grouped by Location, Collection or Format

The Verification Plan is subject to change. Variations may occur due to: changes in staff resources (more or less), issues flagged with a collection, change in use or focus of a collection, or withdrawal of collection items

## Queensland Memory collections

Location code	Description	Titles (as at 1/2/13)	Items (as at 1/2/13)	Collection growth	Storage location	Verification method	Verification plan		
							2012/13	2013/14	2014/15
ALA									
Artists Books									
ALAAB	ALA - Artists Books	1,283	1,340	Y	Repo, L4	manual		✓	
SHOWALAAB	ALA - Artists Books, Show	13	13	minimal	Showcase, L4	manual		✓	
History & art of the book									
RB	Rare books collection	4,279	6,222	Y	Repo, L4	manual		✓	
RBPT	RB Posters	20	20	minimal	Repo, L4	manual		✓	
RBREALIA	Rare books Realia	14	14	minimal	Repo, L4	manual		✓	
RBREF	Rare books Reference	266	543	minimal	OA, L4	manual		✓	
RBSM	Rare books, small	184	225	Y	Repo, L4	manual		✓	
SHOWRBSM	Rare books, small, Show	119	189	minimal	Showcase, L4	manual		✓	
James Hardie									
ALAMONART	ALA - Monographs, Art	8	8	Y	Repo, L4	manual		✓	
EPHGAL	Ephemera, ALA Galleries	68	286	Y	Repo, L4	manual		✓	
HARDIEEC	ALA - Exhibition catalogs	12,489	13,679	Y	Repo, L4	manual		✓	
HARDIEMON	ALA - Monographs	8,513	8,653	Y	Repo, L4	manual		✓	
HARDIEMONF	ALA - Monographs Folio	364	412	Y	Repo, L4	manual		✓	
HARDIEMONQ	ALA - Monographs Quarto	1	1	Y	Repo, L4	manual		✓	
HARDIEPP	ALA - Private Press	1,338	1,534	Y	Repo, L4	manual		✓	
HARDIEPPB	ALA - PP Broadsheet	97	100	Y	Repo, L4	manual		✓	
HARDIEPR	ALA - Original prints	159	168	Y	Repo, L4	manual		✓	
HARDIEPT	ALA - Posters	1,306	1,189	Y	Repo, L4	manual		✓	
HARDIESER	ALA - Serials	2,369	28,887	Y	Repo, L4	manual		✓	
SHOWALAMON	ALA - Monographs, Showcas	766	773	minimal	Showcase, L4	manual		✓	
Lindsay	ALA - Lindsay	611	751	N	Repo, L4	manual		✓	
		34,267	65,007						
Audio visual									
HLP	Heritage LPs	148	154	N	Repo, L4	barcode	✓		
OSJAC	Audio cassettes, JO	84	93	N	Repo, L4	barcode		✓	
OSJCD	Music and audio CDs, JO	801	756	Y	Repo, L4	barcode		✓	
OSJCF	Computer files, JO	1,491	1,965	Y	Repo, L4	barcode		✓	
OSJKT	Kits, JO	452	660	minimal	Repo, L4	barcode		✓	
OSJVC	Videos, JO	961	1,053	Y	Repo, L4	barcode		✓	
		3,937	4,681						
JOL rare collection									
EBMC	Eber Bunker, JO	439	489	N	Repo, L4	manual	✓		
JNAT	Nathan, JO	523	740	N	Repo, L4	manual	✓		
JRBF	Rare books Folio, JO	236	415	Y	Repo, L4	manual	✓		
JRBJ	Rare books, JO	5,482	7,410	Y	Repo, L4	manual	✓		
JRBM	Rare maps, JO	1,810	2,312	Y	Repo, L4	manual		✓	
JRBQ	Rare books Quarto, JO	1,071	1,890	Y	Repo, L4	manual	✓		
JRBS	Rare serials, JO	273	774	Y	Repo, L4	manual		✓	
		9,834	14,030						
Maps, Posters									
ATLAS	Atlas, Heritage	346	268	Y	OA, L4	manual	✓		
ATLASCH	Atlas - Maps (CH)	183	173	N	OA, L4	manual	✓		
ATLASL	Atlas - Large	129	227	Y	OA, L4	manual	✓		
CAMAPS	Maps, Closed access	93	111	Y	Repo, L4	manual			✓
CAMAPSL	Maps, Large, Closed acces	87	138	Y	Repo, L4	manual			✓
JMAP	Maps, JO	1,644	2,921	Y	AA, L4	manual		✓	
MAPDESK	Maps Desk (CH)	23	21	N	OA, L4	manual	✓		
MAPREF	Map reference	495	863	minimal	OA, L4	manual	✓		
MAPS	Map collection	7,718	10,745	minimal	AA, L4	manual		✓	
OSJPT	Posters, JO	4,351	4,215	Y	Repo, L4	manual		✓	
		15,069	19,682						
Microform	QM & IC interfiled								
AJCP	Microfilm - AJCP	76	82	Y	OA, L3	manual			
FICHE	Microfiche collection	1,075	1,375	N	OA, L3	manual	✓		
FICHEB	Microfiche Bound	120	170	N	OA, L3	manual	✓		
FICHES	Microfiche Serials	442	2,136	N	OA, L3	manual	✓		
FILM	Microfilm - Serials	174	2,850	Y	Repo, L5	manual			✓
FILMM	Microfilm Monographs	239	689	Y	Repo, L5	manual			✓
FILMPAM	Microfilm - Pams, Inactiv	2	20	N	OA, L3	manual			✓
MFA	Microform Finding Aid	142	380	Y	OA, L3	manual			✓
MFL	SRL Open Access film	152	1,658	Y	OA, L3	manual			✓
MFS	SRL Open Access film/s	35	3,426	Y	OA, L3	manual			✓
JFICHE	Microfiche, JO	314	504	minimal	OA, L3	manual	✓		
JFICHEB	Microfiche Binder, JO	21	41	minimal	OA, L3	manual	✓		
JFICHES	Microfiche Serial, JO	88	261	minimal	OA, L3	manual	✓		
JFILM	Microfilm, JO	213	280	Y	OA, L3	manual		✓	
JFILMS	Microfilm Serial, JO	205	842	Y	Repo, L5	manual		✓	
JFILMSNLA	Microfilm Masters - NLA s	being catalogued		minimal	offsite	manual			
JFILMSQSA	Microfilm Masters - QSA s	being catalogued		minimal	offsite	manual			
JMFL	Microfilm, JO-Open Acces	15	251	N	OA, L3	manual		✓	
JMFS	Microfilm Ser JO Open Ac	823	6,827	N	OA, L3	manual		✓	

Location code	Description	Titles (as at 1/2/13)	Items (as at 1/2/13)	Collection growth	Storage location	Verification method	Verification plan		
							2012/13	2013/14	2014/15
		4,136	21,792						
<b>Monographs</b>									
EPHJO	Ephemera, JO	439	1,001	Y	Repo, L4	manual			✓
JBOOK	Books, JO	28,397	27,541	Y	Repo, L4	manual		✓	
JFOLIO	Books, Folio, JO	754	1,104	Y	Repo, L4	manual		✓	
JOA	Open Access 900s, JO	9,787	10,453	Y	QA, L4	manual		✓	
JPAM	Pamphlets, JO	26,651	30,411	Y	Repo, L4	manual		✓	
JQUARTO	Books, Quarto, JO	13,303	16,834	Y	Repo, L4	manual		✓	
JREF	Reference item, JO	207	521	Y	Repo, L4	manual	✓	✓	
JVF	Vertical files, JO	2,539	2,771	Y	Repo, L4	manual		✓	
OSJCL	Childrens books, JO	5,061	5,843	Y	Repo, L4	barcode		✓	
OSJCLQ	Childrens bks Quarto, JO	1,862	2,870	Y	Repo, L4	barcode		✓	
OSJSM	Books, small, JO	495	529	Y	Repo, L4	manual	✓		
RA	Restricted access, R&R	5	5	minimal	Repo, L4	manual	✓		
		89,500	99,883						
<b>Music</b>									
MUSMAN	Music manuscripts	139	177	minimal	Repo, L4	manual		✓	
OSJMUS	Music scores, JO	1,100	962	minimal	Repo, L4	manual		✓	
		1,239	1,139						
<b>Original materials</b>									
OMBOX	OM	6069	10025	Y	Repo, L4	count			✓
OMCABINET	OM Cabinet	242	714	Y	Repo, L4	count			✓
OMFILM	OM Film	212	220	Y	Cold vault, L5	count			✓
OMLVL3REP	OM lvl3 Repository	2	146	Y	Repo, L3	count			✓
OMOSBOX	OMOS	2647	5187	Y	Repo, L4	count			✓
OMSAFE	OM Safe	2	2	minimal	FFA, L5	count	✓	✓	✓
OMTILL	OMTILL	88	119	Y	Repo, L4	count			✓
		9,262	16,413						
<b>Rare &amp; Restricted</b>									
OMRR	OM Rare & Restricted	216	275		R&R, L4	manual	✓	✓	✓
RARALAB	ALA - Artists Books, R&R	12	29		R&R, L4	manual	✓	✓	✓
RARALAE	ALA - Exhibition cat, R&R	4	4		R&R, L4	manual	✓	✓	✓
RARALAMON	ALA - Monographs, R&R	21	24		R&R, L4	manual	✓	✓	✓
RARALAPP	ALA - Private Press, R&R	3	6		R&R, L4	manual	✓	✓	✓
RARALASER	ALA - Serials, R&R	1	1		R&R, L4	manual	✓	✓	✓
RARJBOOK	Books, JO, R&R	10	10		R&R, L4	manual	✓	✓	✓
RARJNAT	Nathan, JO, R&R	4	5		R&R, L4	manual	✓	✓	✓
RARJRBF	Rare books Folio, JO, R&R	32	83		R&R, L4	manual	✓	✓	✓
RARJRBJ	Rare books, JO, R&R	20	44		R&R, L4	manual	✓	✓	✓
RARJRBM	Rare maps, JO, R&R	26	55		R&R, L4	manual	✓	✓	✓
RARJRBO	Rare books Quarto JO, R&R	26	64		R&R, L4	manual	✓	✓	✓
RARLINDSAY	ALA - Lindsay, R&R	1	1		R&R, L4	manual	✓	✓	✓
RAROSJPT	Posters, JO, R&R	16	16		R&R, L4	manual	✓	✓	✓
RARRB	Rare Books Collection R&R	48	147		R&R, L4	manual	✓	✓	✓
		440	764						
<b>Serials</b>									
JSER3	Serials, 300s, JO	8,382	80,630	Y	Repo, L4	manual			✓
JSER4	Serials, 400s, JO	36	400	Y	Repo, L4	manual			✓
JSER5	Serials, 500s, JO	470	5,711	Y	Repo, L4	manual			✓
JSER6	Serials, 600s, JO	2,468	29,289	Y	Repo, L4	manual			✓
JSER7	Serials, 700s, JO	1,535	22,848	Y	Repo, L4	manual			✓
JSER8	Serials, 800s, JO	245	1,764	Y	Repo, L4	manual			✓
JSER9	Serials, 900s, JO	1,459	22,386	Y	Repo, L4	manual			✓
JSERQ	Serials, Quarto, JO	388	16,824	Y	Repo, L4	manual			✓
JSERVF	Serials, VF, JO	1,496	10,626	Y	Repo, L4	manual			✓
OSJSER0	Serials, 000s, JO	484	5,290	Y	Repo, L4	manual			✓
OSJSER1	Serials, 100s, JO	99	938	Y	Repo, L4	manual			✓
OSJSER2	Serials, 200s, JO	757	9,512	Y	Repo, L4	manual			✓
		17,819	206,218						
<b>Totals</b>		<b>185,503</b>	<b>449,609</b>						

**Notes:**

Records print locations only; report generated by Voyager 01/02/2013

Collections are grouped by format

The Verification Plan is subject to change. Variations may occur due to: changes in staff resources (more or less), issues flagged with a collection, change in use or focus of a collection, or withdrawal of collection items

**Information Collection**

Location code	Description	Titles (as at 1/2/13)	Items (as at 1/2/13)	Collection growth	Storage location	Verification method	Verification plan		
							2012/13	2013/14	2014/15
Audio visual									
AC	Audio cassette	1,158	1,351	N	Repo, L5	count			✓
DVD	DVD, A-V collection	1,130	1,187	minimal	Repo, L5	count			✓
DVDR	DVDR, A-V collection	170	187	minimal	Repo, L5	count			✓
KIT	Kit, A-V collection	426	496	N	Repo, L5	count			✓
KITL	Kit (Large), A-V colln	78	165	N	Repo, L5	count			✓
LP	LP, Music collection	103	103	N	Repo, L5	count			✓
MS	Filmstrip	78	78	N	Repo, L5	count			✓
SLIDE	Slide, A-V collection	431	438	N	Repo, L5	count			✓
VC	Video, A-V collection	5,444	6,641	N	Repo, L5	count			✓
VCR	Video, Restricted	129	137	N	Repo, L5	count			✓
VLD	Laser disc, A-V colln	87	100	N	Repo, L5	count			✓
VLDR	Laser disc, Restricted	19	20	N	Repo, L5	count			✓
		9,253	10,903						
Computer files									
CF	Computer files, IZ	41	41	N	on PCs	manual	✓		
CFS	Computer files, Fam His	741	841	N	OA, L3	manual	✓		
QUIROS	Computer files, SB	184	600	N	on PCs	manual	✓		
		966	1,482						
Monographs									
APDL	Asia Pacific Design Lib	1,261	2,959	Y	OA, L2	barcode		✓	
CACLN	Children's - Onsite store	119	121	Y	Repo, L5	count			✓
CAGEN0	CAG000s - Inactive	2,771	3,005	N	Repo, L5	count			✓
CAGEN1	CAG100s - Inactive	2,373	2,552	N	Repo, L5	count			✓
CAGEN2	CAG200s - Inactive	1,770	1,862	N	Repo, L5	count			✓
CAGEN3	CAG300s - Inactive	16,400	17,006	N	Repo, L5	count			✓
CAGEN4	CAG400s - Inactive	529	548	N	Repo, L5	count			✓
CAGEN5	CAG500s - Inactive	3,862	4,273	N	Repo, L5	count			✓
CAGEN6	CAG600s - Inactive	10,584	10,983	N	Repo, L5	count			✓
CAGEN7	CAG700s - Inactive	7,068	7,420	N	Repo, L5	count			✓
CAGEN8	CAG800s - inactive	8,377	9,024	N	Repo, L5	count			✓
CAGEN9	CAG900s - Inactive	6,550	6,946	N	Repo, L5	count			✓
CAGSB	GSB - Closed Access	12,438	14,963	Y	Repo, L5	count			✓
CAGSC	GSC - Closed Access	2,808	3,267	Y	Repo, L5	count			✓
CAGSD	GSD Closed Access	1,290	1,444	Y	Repo, L5	count			✓
CAPAM	Pamphlets - CA, inactive	28,180	28,993	Y	Repo, L5	count			✓
CHGEN0	CHG000s - Active	4,420	4,797	Y	Repo, L5	count			✓
CHGEN1	CHG100s - Active	1,412	1,431	Y	Repo, L5	count			✓
CHGEN2	CHG200s - Active	1,363	1,426	Y	Repo, L5	count			✓
CHGEN3	CHG300s - Active	18,040	18,581	Y	Repo, L5	count			✓
CHGEN4	CHG400s - Active	399	417	Y	Repo, L5	count			✓
CHGEN5	CHG500s - Active	3,044	3,245	Y	Repo, L5	count			✓
CHGEN6	CHG600s - Active	10,582	10,839	Y	Repo, L5	count			✓
CHGEN7	CHG700s - Active	8,666	8,923	Y	Repo, L5	count			✓
CHGEN8	CHG800s - Active	6,118	6,360	Y	Repo, L5	count			✓
CHGEN9	CHG900s - Active	4,901	5,159	Y	Repo, L5	count			✓
CLF	Children's literature	3,873	3,898	Y	OA, L2	count		✓	
CLG	Children's - Non fiction	2,546	2,591	Y	OA, L2	count		✓	
CLP	Children's - Picture book	4,797	4,802	Y	OA, L2	count		✓	
DESK3	DNU -Desk Music Uni	65	83	N	?	count		✓	
DISPSHANGH	Display, Shanghai	468	585	N	OA, L2	count		✓	
GEN0	G000s	2,789	2,777	Y	OA, L2	count		✓	
GEN1	G100s	2,785	2,865	Y	OA, L2	count		✓	
GEN2	G200s	2,921	3,082	Y	OA, L2	count		✓	
GEN3	G300s	28,870	29,712	Y	OA, L2	count		✓	
GEN4	G400s	1,017	1,022	Y	OA, L2	count		✓	
GEN5	G500s	5,051	5,194	Y	OA, L2	count		✓	
GEN6	G600s	10,837	10,854	Y	OA, L2	count		✓	
GEN7	G700s	12,022	11,561	Y	OA, L3	count		✓	
GEN8	G800s	7,405	7,618	Y	OA, L3	count		✓	
GEN9	G900s	15,687	15,603	Y	OA, L3	count		✓	
GSA	CAGSA - Closed access	18,508	20,838	Y	Repo, L5	count			✓
GSB0	GSB000s	106	276	Y	OA, L2	barcode		✓	
GSB1	GSB100s	9	11	Y	OA, L2	barcode		✓	
GSB2	GSB200s	40	42	Y	OA, L2	barcode		✓	
GSB3	GSB300s	592	738	Y	OA, L2	barcode		✓	
GSB4	GSB400s	7	56	Y	OA, L2	barcode		✓	
GSB5	GSB500s	279	305	Y	OA, L2	barcode		✓	
GSB6	GSB600s	780	1,113	Y	OA, L2	barcode		✓	
GSB7	GSB700s	3,597	3,857	Y	OA, L3	barcode		✓	
GSB8	GSB800s	40	49	Y	OA, L3	barcode		✓	
GSB9	GSB900s	602	630	Y	OA, L3	barcode		✓	

Location code	Description	Titles (as at 1/2/13)	Items (as at 1/2/13)	Collection growth	Storage location	Verification method	Verification plan		
							2012/13	2013/14	2014/15
OSGEN0	OSG000s - Inactive	2,742	2,998	N	Repo, L5	manual	✓		
OSGEN1	OSG100s - Inactive	4,356	4,800	N	Repo, L5	manual	✓		
OSGEN2	OSG200s - Inactive	6,107	6,972	N	Repo, L5	manual	✓		
OSGEN3	OSG300s - Inactive	21,528	22,681	N	Repo, L5	manual	✓		
OSGEN4	OSG400s - Inactive	1,985	2,111	N	Repo, L5	manual	✓		
OSGEN5	OSG500s - Inactive	10,096	11,129	N	Repo, L5	manual	✓		
OSGEN6	OSG600s - Inactive	21,530	22,906	N	Repo, L5	manual	✓		
OSGEN7	OSG700s - Inactive	12,712	13,317	N	Repo, L5	manual	✓		
OSGEN8	OSG800s - Inactive	21,797	25,274	N	Repo, L5	manual	✓		
OSGEN9	OSG900s - Inactive	22,512	26,447	N	Repo, L5	manual	✓		
		416,383	445,341						
<b>Music</b>									
ASHEETMUS	Sheet music, Australian	1,201	1,596	Y	Repo, L4	manual	✓		
CABLE	Music, Cable	3,950	4,263	N	Repo, L4	manual		✓	
CD	CD, Music collection	6,321	6,766	minimal	Repo, L4	count			✓
MUSBN	Music, Instrument plans	24	41	minimal	Repo, L4	manual	✓		
MUSIC	Music albums	2,147	2,990	Y	OA, L3	barcode	✓		
MUSICL	Music, large	52	72	minimal	Repo, L4	barcode			✓
RSCR	Music, Ref score	557	4,326	Y	Repo, L4	barcode			✓
SCR	Music, Score	29,607	32,526	Y	OA, L3	barcode	✓		
SCRB	Music, Band set	2,056	2,177	Y	Repo, L4	barcode			✓
SCRC	Music, Choral set	1,122	13,523	Y	Repo, L4	barcode			✓
SCRL	Music, Large score	1,084	1,182	Y	Repo, L4	barcode			✓
SCRM	Music, Miniature score	3,701	3,911	Y	OA, L3	barcode	✓		
SCRO	Music, Orchestral set	1,660	1,749	Y	Repo, L4	barcode			✓
SCRSET	Music, Score set	244	256	minimal	Repo, L4	barcode			✓
SHEETMUS	Sheet music, General	194	186	Y	Repo, L4	manual		✓	
		53,920	75,564						
<b>Reference</b>									
CHARTREF	REF - Closed Access	246	388	N	Repo, L5	count			✓
CHREF	REF Closed Access-Inacti	403	2,289	N	Repo, L5	count			✓
FAMHIS	Family History	879	1,177	Y	OA, L3	barcode		✓	
CHFAMHIS	Fam hist ref, CH, inactiv	67	99	N	OA, L3	barcode		✓	
OSREF	OSReference - Inactive	2,265	9,262	N	Repo, L5	count			✓
REF	Reference - South Bank	5,161	12,187	minimal	OA, L3	count		✓	
		9,021	25,402						
<b>Serials</b>									
CAGOV	Gov pubs - Inactive	567	4,928	N	Repo, L5	count			✓
CAGOVA	Gov pubs A - Inactive	9,043	17,697	minimal	Repo, L5	count			✓
CAMAG	Magazine - South Bank	2,827	54,005	Y	Repo, L5	count			✓
CANEWS	Newspapers	134	20	minimal	Repo, L3	count		✓	
CASER	Serials - Closed Access	7,140	34,101	Y	Repo, L5	count			✓
MAGR	MAGR, Open shelves	611	32,790	minimal	OA, L2	manual	✓		
OSGOV	OSGov Pubs - Inactive	5,363	8,621	N	Repo, L5	count			✓
OSMAG	OSMag - Inactive	4,415	23,097	minimal	Repo, L5	count			✓
OSNEWS	OSNewspapers	815	27	minimal	Cannon Hill	count		✓	
OSSER	OSSerials - Inactive	8,360	14,952	N	Repo, L5	count			✓
		39,275	190,238						
<b>Totals</b>									
		528,818	748,930						

Location code	Description	Titles (as at 31/3/14)	Items (as at 31/3/14)	Collection growth	Storage location	Verification method	Verification plan			Stocktake progress to Q4, 2013/14	Stocktake 2013/14					Stocktake 2012/13						
							2012/13	2013/14	2014/15		Manual item check				Comments (ie start / end dates; progress notes)	Withdrawn 13/14	Manual item check				Comments (ie start / end dates; progress notes)	Withdrawn 12/13
											Items reported on shelf (CIRC10)	Items missing from shelf	Verified	% variance			Items reported on shelf (CIRC10)	Items missing from shelf	Verified	% variance		
ALA																						
Artists Books																						
ALAAB	ALA - Artists Books	1,365	1,425	Y	Repo, L4	manual		✓		Q2 13/14	1,393	7	1,386	0.50%	Start-end: 5-19/11/13							
SHOWALAAB	ALA - Artists Books, Show	13	13	minimal	Showcase, L4	manual		✓		Q3 13/14	11	1	10	9.09%	Start-end: 6/1/14-21/1/14; missing item being followed up							
History & art of the book																						
RB	Rare books collection	4,396	6,376	Y	Repo, L4	manual		✓								10						
RBPT	RB Posters	20	20	minimal	Repo, L4	manual		✓														
RBREALIA	Rare books Realia	14	14	minimal	Repo, L4	manual		✓														
RBREF	Rare books Reference	273	550	minimal	OA, L4	manual		✓								3						
RBSM	Rare books, small	224	279	Y	Repo, L4	manual		✓		Q2 13/14	279	1	278	0.36%	Start-end: 18/11/13							
SHOWRBSM	Rare books, small, Show	119	189	minimal	Showcase, L4	manual		✓		Q3 13/14	189	2	187	1.06%	Start-end: 6/1/14-21/1/14							
James Hardie																						
ALAMONART	ALA - Monographs, Art	9	9	Y	Repo, L4	manual		✓														
ALAZINES	ALA Zine	14	16	minimal	Repo, L4	manual		✓		2012/13	16	0	16	0.00%	new collection, 2013; all items verified at time of addition to Location code							
EPHGAL	Ephemera, ALA Galleries	133	633	Y	OA, L4	count		✓		Q3 13/14	633	0	633	0.00%	new collection 2013; all items verified at time of addition to Location code							
HARDIEEC	ALA - Exhibition catalogs	12,909	14,152	Y	Repo, L4	manual		✓		in progress											Started: Jul 12 Collection being spread & rehoused as part of stocktake process May 13: on hold pending integration of CBAL	
HARDIEMON	ALA - Monographs	8,678	8,894	Y	Repo, L4	manual		✓														
HARDIEMONF	ALA - Monographs Folio	388	434	Y	Repo, L4	manual		✓		Q2 13/14	420	2	418	0.48%	Start-end: 2-4 Jan 14 counted in Q2 rpt							
HARDIEMONQ	ALA - Monographs Quarto	1	1	Y	Repo, L4	manual		✓		Q4 13/14	1	0	1	0.00%	Start-end: 6/1/14							
HARDIEPP	ALA - Private Press	1,350	1,547	Y	Repo, L4	manual		✓														
HARDIEPPB	ALA - PP Broadsheet	100	103	Y	Repo, L4	manual		✓														
HARDIEPR	ALA - Original prints	160	169	Y	Repo, L4	manual		✓														
HARDIEPT	ALA - Posters	1,308	1,191	Y	Repo, L4	manual		✓														
SHOWWALAMON	ALA - Monographs, Showcas	755	762	minimal	Showcase, L4	manual		✓		Q3 13/14	762	0	762	0.00%								
Lindsay																						
LINDSAY	ALA - Lindsay	609	755	N	Repo, L4	manual		✓		2012/13							756	0	756	0	5-6 Feb 2013	
Audio visual																						
HLP	Heritage LPs	169	176	N	Repo, L4	barcode	✓			Q2 13/14	172	0	172	0.00%	Start-end: 25/10/13							
JDVD	DVD's, JO							✓		2012/13					new collection Dec 12; DVDs moved from OSJCF to new Location code; items verified while in OSJCF & at time of relocation							
OSJAC	Audio cassettes, JO	96	105	N	Repo, L4	barcode		✓		Q4 13/14	105	1	104	0.95%	Start-end: 6/05/14							
OSJCD	Music and audio CDs, JO	973	935	Y	Repo, L4	barcode		✓		Q4 13/14	1,099	26	1,073	2.37%	Start: 9/05/14 End: 30/06/14							
OSJCF	Computer files, JO	1,498	1,955	Y	Repo, L4	barcode manual		✓		2012/13						1	1,926	48	1,878	2.49%	done by manual stocktake; items not sufficiently barcoded	
OSJKT	Kits, JO	459	552	minimal	Repo, L4	barcode manual		✓		2012/13							551	4	547	0.73%	10/02/2013; done by manual stocktake; items not sufficiently barcoded	

Location code	Description	Titles (as at 31/3/14)	Items (as at 31/3/14)	Collection growth	Storage location	Verification method	Verification plan			Stocktake progress to Q4, 2013/14	Stocktake 2013/14						Stocktake 2012/13					
							2012/13	2013/14	2014/15		Manual item check				Comments (ie start / end dates; progress notes)	Withdrawn 13/14	Manual item check				Comments (ie start / end dates; progress notes)	Withdrawn 12/13
											Items reported on shelf (CIRC10)	Items missing from shelf	Verified	% variance			Items reported on shelf (CIRC10)	Items missing from shelf	Verified	% variance		
OSJVC	Videos, JO	966	1,058	Y	Repo, L4	barcode manual		✓		2012/13						7	1,053	18	1,035	1.71%	done by manual stocktake; Items not sufficiently barcoded	
JOL rare collection																						
EBMC	Eber Bunker, JO	439	467	N	Repo, L4	manual	✓			Q2 13/14	467	0	467	0.00%	Start-end: 1-6 Nov 13							
JNAT	Nathan, JO	523	751	N	Repo, L4	manual	✓			2012/13							740	1	739	0.14%	3/01/13-05/02/13	
JRBF	Rare books Folio, JO	233	411	Y	Repo, L4	manual	✓			Q2 13/14	411	0	411	0.00%	Start-end: 7-13 Nov 13							
JRBJ	Rare books, JO	5,611	7,528	Y	Repo, L4	manual barcode	✓			2012/13						64	7,440	22	7,418	0.30%	08/03/12-03/12/12	
JRBM	Rare maps, JO	1,804	2,313	Y	Repo, L4	manual		✓								4						
JRBQ	Rare books Quarto, JO	1,088	1,887	Y	Repo, L4	manual	✓			Q3 13/14	1,820	18	1,802	0.99%	Start-end: 27/6/12- 30/1/14 (delays in progress due to staff changes)	26					Start: 27/06/2012; 34.5% completed	
Maps, Posters																						
ATLAS	Atlas, Heritage	351	263	Y	OA, L4	manual	✓			Q3 13/14	223	8	215	3.59%	Start-end: 16/1/14- 24/1/14	1						
ATLASCH	Atlas - Maps (CH)	182	172	N	OA, L4	manual	✓			Q3 13/14	169	3	166	1.78%	Start-end: 16/1/14- 24/1/14							
ATLASL	Atlas - Large	129	227	Y	OA, L4	manual	✓			Q3 13/14	227	0	227	0.00%	Start-end: 6/1/14- 15/1/14							
CAMAPS	Maps, Closed access	94	111	Y	Repo, L4	manual			✓							1						
CAMAPSL	Maps, Large, Closed acces	99	151	Y	Repo, L4	manual			✓													
CAJPTL	Posters, JO, Large, Close	18	18	minimal	Repo, L4	manual		✓		Q3 13/14	18	0	18	0.00%	new collection, Aug 13; all items verified at time of addition to Location code; not previously counted							
JESTMAP	Estate maps, JO	103	144	Y	OA, L4	manual		✓		Q4 13/14	123	0	123	0.00%	new collection Jun 13; all items verified at time of addition to Location code; not previously counted							
JMAP	Maps, JO	1,635	2,867	Y	AA, L4	manual		✓								7						
MAPDESK	Maps Desk (CH)	23	21	N	OA, L4	manual	✓			Q3 13/14	18	0	18	0.00%	Start-end: 16/1/14- 24/1/14							
MAPREF	Map reference	492	862	minimal	OA, L4	manual	✓			Q3 13/14	831	10	821	1.20%	Start-end: 16/1/14- 24/1/14	7						
MAPS	Map collection	7,723	10,775	minimal	AA, L4	manual		✓								962						166
OSJPT	Posters, JO	4,177	4,231	Y	Repo, L4	manual		✓								2						4
Microform																						
AJCP	QM & IC interfiled Microfilm - AJCP	76	82	Y	OA, L3	manual			✓													
FILM	Microfilm - Serials	174	2,859	Y	Repo, L5	manual			✓	Q2 13/14	2,867	0	2,867	0.00%	Start-end: Sep-Dec 13 Title in closed access & item records created for all titles to enable call slip							
FILMM	Microfilm Monographs	232	698	Y	Repo, L5	manual			✓													
JFILM	Microfilm, JO	213	280	Y	OA, L3	manual		✓														
JMFL	Microfilm, JO-Open Acces	15	253	N	OA, L3	manual		✓														
MFA	Microform Finding Aid	142	372	Y	OA, L3	manual			✓													
MFL	SRL Open Access film	155	1,668	Y	OA, L3	manual			✓													
Monographs																						
EPHJO	Ephemera, JO	498	1,165	Y	Repo, L4	manual			✓													
JBOOK	Books, JO	29,392	28,262	Y	Repo, L4	manual		✓		Q4 13/14	28,406	62	28,344	0.22%	Start: May 13 End: 14 Jun 14	241					Started May 13; 33.6% completed (9,312)	
JFOLIO	Books, Folio, JO	783	1,131	Y	Repo, L4	manual		✓		Q2 13/14	1,125	7	1,118	0.62%	Start-end: 8-13 Nov 13	7						

Location code	Description	Titles (as at 31/3/14)	Items (as at 31/3/14)	Collection growth	Storage location	Verification method	Verification plan			Stocktake progress to Q4, 2013/14	Stocktake 2013/14						Stocktake 2012/13					
							2012/13	2013/14	2014/15		Manual item check				Comments (ie start / end dates; progress notes)	Withdrawn 13/14	Manual item check				Comments (ie start / end dates; progress notes)	Withdrawn 12/13
											Items reported on shelf (CIRC10)	Items missing from shelf	Verified	% variance			Items reported on shelf (CIRC10)	Items missing from shelf	Verified	% variance		
JOA	Open Access 900s, JO	9,993	10,647	Y	OA, L4	barcode	✓	✓	✓	2012/13						100	10,532	48	10,484	0.46%	added to xls in Jan 14; completed Jul 2012	
JPAM	Pamphlets, JO	27,871	31,693	Y	Repo, L4	manual		✓		Q4 13/14	32,089	286	31,761	0.89%	Start: 30/4/14 End: 30/6/14	147					Started: 30/04/2013; 35.3% (10,841)	
JQUARTO	Books, Quarto, JO	15,458	19,313	Y	Repo, L4	manual		✓		in progress					Start: 22/11/13 Q4: 30.45% completed	162						
JREF	Reference item, JO	208	522	Y	Repo, L4	manual	✓	✓	✓	Q4 13/14	494	9	485	1.82%	Start-end: 1/2/14- 25/3/14; not counted in Q3							
JVF	Vertical files, JO	2,536	2,767	Y	Repo, L4	manual		✓		in progress					Start: 13/3/14 Q4: 66.28% completed							
OSJCL	Childrens books, JO	5,442	6,178	omrr	Repo, L4	barcode		✓								1						
OSJCLQ	Childrens bks Quarto, JO	1,889	2,893	Y	Repo, L4	barcode		✓								1						
OSJSM	Books, small, JO	527	564	Y	Repo, L4	manual	✓			Q2 13/14	563	4	559	0.71%	Start-end: 13/10-6/11							
RA	Restricted access, R&R	13	13	minimal	Repo, L4	manual	✓			Q1 13/14	5	0	5									
Music																						
MUSMAN	Music manuscripts	136	172	minimal	Repo, L4	manual		✓														
OSJMUS	Music scores, JO	1,258	1,055	minimal	Repo, L4	manual		✓		Q2 13/14	1,028	7	1,021	0.68%	Start-end: 18-24 Dec							
Rare & Restricted																						
RARALAAB	ALA - Artists Books, R&R	13	30		R&R, L4	manual		✓	✓	Q1 13/14	29	0	29		Start-End: July 2013							
RARALAE	ALA - Exhibition cat, R&R	4	4		R&R, L4	manual		✓	✓	Q1 13/14	4	0	4		Start-End: July 2013							
RARALAMON	ALA - Monographs, R&R	21	24		R&R, L4	manual		✓	✓	Q1 13/14	24	0	24		Start-End: July 2013							
RARALAPP	ALA - Private Press, R&R	3	6		R&R, L4	manual		✓	✓	Q1 13/14	6	0	6		Start-End: July 2013							
RARALASER	ALA - Serials, R&R	1	1		R&R, L4	manual		✓	✓	Q1 13/14	1	0	1		Start-End: July 2013							
RARJBOOK	Books, JO, R&R				R&R, L4	manual		✓	✓	Q1 13/14	10	0	10		Start-End: July 2013							
RARJNAT	Nathan, JO, R&R	4	5		R&R, L4	manual		✓	✓	Q1 13/14	5		5		Start-End: July 2013							
RARJRBF	Rare books Folio, JO, R&R	33	84		R&R, L4	manual		✓	✓	Q1 13/14	84	0	84		Start-End: July 2013							
RARJRBJ	Rare books, JO, R&R	24	52		R&R, L4	manual		✓	✓	Q1 13/14	45	0	45		Start-End: July 2013							
RARJRBM	Rare maps, JO, R&R	15	44		R&R, L4	manual		✓	✓	Q1 13/14	55	0	55		Start-End: July 2013							
RARJRBO	Rare books Quarto JO, R&R	28	68		R&R, L4	manual		✓	✓	Q1 13/14	64	0	64		Start-End: July 2013							
RARLINDSAY	ALA - Lindsay, R&R	1	1		R&R, L4	manual		✓	✓	Q1 13/14	1	0	1		Start-End: July 2013							
RAROSJPT	Posters, JO, R&R	13	13		R&R, L4	manual		✓	✓	Q1 13/14	17	0	17		Start-End: July 2013							
RARRB	Rare Books Collection R&R	49	147		R&R, L4	manual		✓	✓	Q1 13/14	147	0	147		Start-End: July 2013							
Totals			188,578								76,456	454	75,960			1,754	22,998	141	22,857			170

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Updated: 23 Jan 2014

Location code	Description	Titles (as at 31/3/14)	Items (as at 31/3/14)	Collection growth	Storage location	Verification method	Verification plan			Stocktake progress to Q4, 2013/14	Stocktake Progress 12-14												Stocktake Progress 2012/13												Comments (to start / end dates; progress notes)	Items With drawn 2012/13	
							2012/13	2013/14	2014/15		Collection count				Manual item check				Barcode scan				Comments (to start / end dates; progress notes)	Items With drawn 13/14	Collection count - Items						Manual item check						
											Items reported on shelf (CIRC10)	Items missing from shelf	Item count by staff	% variance	Items reported on shelf (CIRC10)	Items missing from shelf	Verified	% variance	Total no of items (CAT59b)	Items missing from shelf	% variance	Item count by staff			Total no of items (CAT59b)	Items reported on loan (CIRC10)	Items missing from shelf	Verified	% variance	No of Items (CAT59)	Reported on loan	Items missing from shelf	Verified	% variance			
MUSBN	Music, Instrument plans	24	41	minimal	Repo, L4	manual	✓																														
MUSIC	Music albums	2128	2,964	Y	QA, L3	barcode	✓																	116											26		
MUSICL	Music, large	62	72	minimal	Repo, L4	barcode																		4													
RSCR	Music, Ref score	887	4,324	Y	Repo, L4	barcode																															
SCR	Music, Score	29514	32,461	Y	QA, L3	barcode	✓			In progress													Q2: 32,522 (39.36%)	57											2,773		
SCRB	Music, Band set	2050	2,177	Y	Repo, L4	barcode																		7													
SCRL	Music, Large score	1082	1,180	Y	Repo, L4	barcode																		19											19		
SCRM	Music, Miniature score	3705	3,914	Y	QA, L3	barcode	✓																	3													
SCRO	Music, Orchestral set	1660	1,749	Y	Repo, L4	barcode																		6													
SCRSET	Music, Score set	244	256	minimal	Repo, L4	barcode																															
SHEETMUS	Sheet music, General	194	196	Y	Repo, L4	manual			✓																												
Reference																																					
FAM-HIS	Family History	877	1,228	Y	QA, L3	barcode			✓															1													
CFS	Computer files, Fam His	780	858	N	QA, L3	manual	✓																	2													
CHFAM-HIS	Fam hist ref, CH, inactiv	65	95	N	QA, L3	barcode			✓																												
REF	Reference - South Bank	6105	12,141	minimal	QA, L3	manual				In progress														37												1499	
Total Items			549,624								19,242	480	10,757	2.34%	10,727	54	10,837	0.50%						2,736	283,029	267,074	4,427	2,630	267,456	0.92%	82,884	779	659	82,195	0.83%		4,553

Location code	Description	Titles (as at 31/3/14)	Items (as at 31/3/14)	Collection growth	Storage location	Verification method	Verification plan			Stocktake progress to Q4, 2013/14	Stocktake 2013/14					Stocktake 2012/13			
							2012/13	2013/14	2014/15		Manual title check			Comments (ie start / end dates; progress notes)	Withdrawn 13/14	Manual title check			Comments (ie start / end dates; progress notes)
											Total number of titles (CAT59c)	Titles missing from shelf	% variance			Total number of titles	Titles missing from shelf	% variance	
JOL rare collection																			
JRBS	Rare serials, JO	307	944	Y	Repo, L4	manual		✓											
Microform																			
FICHE	Microfiche collection	1115	1424	N	OA, L3	manual	✓			2012/13					710	1,636	0		Jun-Sep, 2012; rehoused & relabelled during stk; many uncatalogued items found & are being assessed for retention/disposal
FICHEB	Microfiche Bound	121	181	N	OA, L3	manual	✓			2012/13									
FICHES	Microfiche Serials	442	2137	N	OA, L3	manual	✓			2012/13									
FILMPAM	Microfilm - Pams, Inactiv	2	20	N	OA, L3	manual													
MFS	SRL Open Access film/s	35	3856	Y	OA, L3	manual													
JFICHE	Microfiche, JO	315	503	minimal	OA, L3	manual	✓			2012/13						424	0		Jun-Sep, 2012; rehoused & relabelled during stk; many uncatalogued items found & are being assessed for retention/disposal
JFICHEB	Microfiche Binder, JO	21	41	minimal	OA, L3	manual	✓			2012/13									
JFICHES	Microfiche Serial, JO	88	261	minimal	OA, L3	manual	✓			2012/13									
JFILMS	Microfilm Serial, JO	202	866	Y	Repo, L5	manual		✓											
JMFS	Microfilm Ser JO Open Ac	829	7152	N	OA, L3	manual		✓											
Original materials																			
OMBOX	OM	6151	10157	Y	Repo, L4	count													
OMCABINET	OM Cabinet	253	770	Y	Repo, L4	count													
OMFILM	OM Film	211	220	Y	Cold	count													
OMLVL3REP	OM lvl3 Repository	2	146	Y	Repo, L3	count													
OMOSBOX	OMOS	2765	5461	Y	Repo, L4	count													
OMSAFE	OM Safe	2	2	minimal	FFA, L5	count	✓	✓	✓	Q1 13/14	2	0	0.00%			2	0		
OMTILL	OMTILL	116	156	Y	Repo, L4	count													
Rare & Restricted																			
OMRR	OM Rare & Restricted	215	276		R&R, L4	manual	✓	✓	✓	2012/13						215	0		
Serials																			
HARDIESER	ALA - Serials	2,383	29,771	Y	Repo, L4	manual		✓											
JSER3	Serials, 300s, JO	8514	85227	Y	Repo, L4	manual				In progress				Start: 30/5/14	2				
JSER4	Serials, 400s, JO	37	411	Y	Repo, L4	manual				✓	Q3 13/14	37	1	2.70%	Start-end: 11/2/14-11/2/14				
JSER5	Serials, 500s, JO	475	6100	Y	Repo, L4	manual				✓	Q3 13/14	472	18	3.81%	Start-end: 11/2/14-26/2/14				
JSER6	Serials, 600s, JO	2531	30955	Y	Repo, L4	manual				✓	Q3 13/14	2,493	89	3.57%	Start-end: 31/1/14-11/2/14				
JSER7	Serials, 700s, JO	1576	24875	Y	Repo, L4	manual				✓	Q4 13/14	1,558	60	3.85%	Start-end: 2/4/14-17/4/14				
JSER8	Serials, 800s, JO	249	1891	Y	Repo, L4	manual				✓	Q4 13/14	248	8	3.23%	Start-end: 17/4/14-9/5/14				
JSER9	Serials, 900s, JO	1478	23670	Y	Repo, L4	manual				✓	Q4 13/14	1,446	61	4.22%	Start-end: 6/5/14-28/5/14				
JSERQ	Serials, Quarto, JO	406	17758	Y	Repo, L4	manual													
JSERVF	Serials, VF, JO	1469	10355	Y	Repo, L4	manual													
OSJSER0	Serials, 000s, JO	503	5536	Y	Repo, L4	manual				✓	Q3 13/14	502	15	2.99%	Start-end: 29/1/14-31/1/14				
OSJSER1	Serials, 100s, JO	99	1047	Y	Repo, L4	manual				✓	Q3 13/14	100	4	4.00%	Start-end: 30/1/14-31/1/14				
OSJSER2	Serials, 200s, JO	764	10189	Y	Repo, L4	manual				✓	Q3 13/14	758	13	1.72%	Start-end: 31/1/14-11/2/14				
Totals		33,676									7,616	269			712	2,277	0		

**Notes:**

Records print locations only; collections are grouped by Location, Collection or Format

Title counts are undertaken for collections without comprehensive item descriptions

The Verification Plan is subject to change. Variations may occur due to: changes in staff resources (more or less), issues flagged with a collection, change in use or focus of a collection, or withdrawal of collection items

**Information Collection verified by Title**

Location code	Description	Titles (as at 31/3/14)	Items (as at 31/3/14)	Collection growth	Storage location	Verification method	Verification plan			Stocktake progress to Q4, 2013/14	Stocktake Progress 2013/14					Stocktake Progress 2012/13				
							2012/13	2013/14	2014/15		Manual title check			Comments (ie start / end dates; progress notes)	Items With drawn 13/14	Manual title check			Comments (ie start / end dates; progress notes)	
											Total number of titles (CAT59b)	Titles missing from shelf	% variance			Total number of titles (CAT59b)	Titles missing from shelf	% variance		
Computer																				
CF	Computer files, IZ	42	41	N	on PCs	manual	✓													
QUIROS	Computer files, SB	181	601	N	on PCs	manual	✓													
Music																				
SCRC	Music, Choral set	1,118	13,356	Y	Repo, L4	barcode			✓											
Reference																				
CHARTREF	REF - Closed Access	232	367	N	Repo, L5	count			✓						4					
CHREF	REF Closed Access-Inacti	394	1,733	N	Repo, L5	count			✓						93					
OSREF	OSReference - Inactive	2,186	8,906	N	Repo, L5	count			✓						821					
Serials																				
CAGOV	Gov pubs - Inactive	554	4,672	N	Repo, L5	count			✓						2					
CAGOVA	Gov pubs A - Inactive	9,037	17,654	minimal	Repo, L5	count			✓						178					
CAMAG	Magazine - South Bank	2,603	48,796	Y	Repo, L5	count			✓						6,113					
CANEWS	Newspapers	136	20	minimal	Repo, L3	count		✓		in progress				2014: Project underway to verify physical holdings against catalogue						
CASER	Serials - Closed Access	7,122	34,414	Y	Repo, L5	count			✓						26					
MAGR	MAGR, Open shelves	536	32,103	minimal	OA, L2	manual	✓			in progress				count as stk when relocns/withdrawals finalised	8,618					
OSGOV	OSGov Pubs - Inactive	5,351	8,547	N	Repo, L5	count			✓						4					
OSMAG	OSMag - Inactive	4,305	22,565	minimal	Repo, L5	count			✓						1,165					
OSNEWS	OSNewspapers	820	27	minimal	Cannon Hill	count		✓		in progress				2014: Project underway to verify physical holdings against catalogue						
OSSER	OSSerials - Inactive	8,337	14,866	N	Repo, L5	count			✓											
Total Titles		42,954													17,024					

		IC	QM	Cumulative Stocktake progress 2012/13 - 2014/15		
		Titles to be verified (as at 31/03/14)	Titles to be verified (as at 31/03/14)	Stocktake progress by Title	Stocktake progress by %	% not sighted
<b>Totals</b>		<b>42,954</b>	<b>33,676</b>	<b>76,630</b>		
<b>2012/13</b>						
	Titles verified 2012/13	0	2,277	2,277	2.97%	0.00%
	Titles not sighted at time of stocktake	0	0			
<b>2013/14</b>						
<b>Q1</b>	Titles verified	0	2	2,279	2.97%	0.00%
	Titles not sighted at time of stocktake	0	0			
<b>Q2</b>	Titles verified	0	0			
	Titles not sighted at time of stocktake	0	0			
<b>Q3</b>	Titles verified	0	4,362	6,641	8.67%	2.11%
	Titles not sighted at time of stocktake	0	140	140		
<b>Q4</b>	Titles verified	0	3,252	9,893	12.91%	2.72%
	Titles not sighted at time of stocktake	0	129	269		

		IC	QM	Cumulative Stocktake progress 2012/13 - 2014/15		
		Items to be verified (as at 31/03/14)	Items to be verified (as at 31/03/14)	Stocktake progress by Item	Stocktake progress by %	% not sighted
<b>Totals</b>		<b>540,624</b>	<b>188,578</b>	<b>729,202</b>		
<b>2012/13</b>						
	Items verified 2012/13	369,651	12,373	382,024	52.39%	0.89%
	Items not sighted at time of stocktake	3,319	93	3,412		
<b>2013/14</b>						
<b>Q1</b>	Items verified	6,418	1,056	389,498	53.41%	0.89%
	Items not sighted at time of stocktake	46	4	3,462		
<b>Q2</b>	Items verified	7,256	8,697	405,451	55.60%	0.88%
	Items not sighted at time of stocktake	75	17	3,554		
<b>Q3</b>	Items verified	15,756	4,859	426,066	58.43%	0.93%
	Items not sighted at time of stocktake	383	42	3,979		
<b>Q4</b>	Items verified	164	61,891	488,121	66.94%	0.90%
	Items not sighted at time of stocktake	6	384	4,369		

Notes
3/2/14: original figure 365,913 excluded items on loan; figure adjusted to include items on loan as verified
Missing figures compiled from Stocktake 'patron' records which record all items missing from a collection after check of catalogue & loans records
3/2/14: IC figure adjusted; original Q1 doc reported 35,788 for IC collection, but review found an 'in progress' collection had been included in count
Missing figures compiled from items not found at time of stocktake
16/01/14: QM JOA collection data added into spreadsheet; verification undertaken in 2012/13, but data was not reported
14/04/14: Collection totals updated to 31/3/14; ALA Serials collection moved from QM Items worksheet to QM Titles, to be consistent with other serial collection; 2 new Location codes added to QM Items

**Withdrawal of Items not included in Stocktake, Q4, 2013/14**

**Purpose:** Historically, items purchased by SLQ work units for use as work tools were catalogued into the collection, but were not accessible to clients. Such work tools are now purchased by work units and are not considered part of the SLQ collection. Consequently, these collections have been excluded from the Title/Item Lists for verification, and catalogue records for all work tools are being withdrawn from the catalogue.

Below are work tools withdrawn during 2013/14:

<b>Collection</b>	<b>Work Area</b>	<b>Withdrawals</b>
ARTREF	Reference tools	110
ADM	Administration	14
ILL	Inter-Library Loans	22
PANDL	People & Learning	5
ACQ	Acquisitions	6
CAT	Cataloguing	144
ILS	Indigenous Library Services	2
DSU	Digital Services Unit	2
BINDERY	Bindery	17
CONS	Conservation	524
QUIROS	CDRoms held in ICTS	1
DESK3	Reference Desk	73
<b>Total</b>		<b>920</b>

#### Stocktake update, Feb 2014

##### 1. Background

SLC's stocktake processes vary depending on the type of collection. Generally:

- \* monograph collections are verified by comparing item counts with Voyager database counts.
- \* serial collections are verified by comparing Title counts with Voyager database counts.

Further details are available in the document *Verification of South Bank collections overview* (see below).

While compiling the stocktake update for Q3, 2013/14, a review of the documentation revealed an issue with reporting of stocktake progress.

##### 2. Reporting issue

From July, 2012 to Dec, 2013 stocktake activity focused on verifying collections at item level and only two collections were verified by Title. However, during this period, progress was measured and reported against the total number of items in the collections. This is misleading means of calculating progress as not all collections are verified at item level.

##### 3. Adjustment

From Q3, 2013 onwards, Stocktake Progress reported collections according to verification category – Item or Title. The updated method removes serial items from the item total.

Collections have been reviewed to determine verification method. This spreadsheet used to monitor progress has been updated accordingly and now consists of three worksheets:

- \* Queensland Memory – Titles
- \* Queensland Memory – Items
- \* Information Collection – Titles
- \* Information Collection – Items

This has resulted in changes to progress totals as collections have been re-allocated to worksheets according to verification method. In addition, some data corrections were also made.

The document *Verification of South Bank collections overview* was supplied to Audit in Feb, 2013. This document has been updated to include:

- \* a description of the process *Verification by title*
- \* a description of the data source for each verification method.