UNIVERSITY OF LONDON
SENATE HOUSE LIBRARY

Collection Management Policy

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Section One: Overview

1.1 Introduction

Senate House Library (SHL) is the central library for the University of London (UoL), its federal member institutions and the School of Advanced Study (SAS). SHL holds 2 million books, including 50 named special collections and 1,800 archival collections, as well as artworks, and is a research hub of national and international significance. We provide access to over 80,000 journal and newspaper titles electronically and a quarter of a million e-books, while building digital collections to support research, notably of digitised primary sources and historical texts.

SHL has four strategic ambitions:

1. Re-establish SHL as a nationally recognized library for arts and humanities scholarship
2. Facilitate greater engagement with our collections
3. Provide world class research facilities and a premier researcher experience
4. Create an internal culture of excellence and support staff development

This document sets out the key management policies for SHL's modern collections, special collections, archives and artworks. It supports SHL's **collection development strategy**.

1.2 Governance

SHL primarily supports four core academic stakeholder groups:

- Central UoL (including UoL Worldwide, provider of distance learning services)
- UoL federal member institutions and their libraries
- SAS institutes and their libraries
- The wider academic and research community

SHL's collection management policy therefore reflects the requirements of these groups, whilst recognising SHL's key role in building its own unique collections in line with its first strategic ambition.

SHL also provides a range of collection management services (including limited collection development) for third party clients at Senate House, currently the New College of the Humanities, New York University, and the British Psychological Society; as well as storage facilities for third party clients at a depository at Egham, including Royal Opera House. For information on the way collections are developed, SHL has produced an associated **collection development strategy.**

SHL has established an internal Collections Group (CG), which meets monthly to discuss collection management and development issues, consider and agree potential new acquisitions (large donations), and review and submit all relevant policies and strategies for final sign-off by SHL's senior team.

The collection management policy and collection development strategy are reviewed by CG for approval by SHL's senior management team at the start of every five-year strategy cycle.

Minutes of CG meetings and associated reports are sent to the Federal Collections Group (FCG), comprised of representatives from the federal member institutions. SHL is also committed to working in a consultative and collaborative manner with all key stakeholders, including constituent bodies of SAS. A formal SHL-SAS Libraries group meets to coordinate activities between SHL and non-integrated SAS Libraries (Institute of Historical Research, Institute of Classical Studies, Institute of Advanced Legal Studies and the Warburg Institute).

The Federal Libraries Group receives the minutes from CG and FCG. The Board of SHL also receives an annual report at its summer term meeting that provides an overview of collection development activity in the preceding year.

1.3 Principles of collection management

SHL is a member of the following professional bodies, and fully contributes to initiatives that support or develop best practice in collection management:

- Consortium of European Research Libraries (CERL)
- Association of European Research Libraries (LIBER)
- M25 Consortium of Academic Libraries
- Research Libraries UK (RLUK) (founding member)
- Society of College, National and University Libraries (SCONUL)
- International Federation of Library Associations and Institutions (IFLA)

Where possible SHL adheres to IFLA guidelines for relevant operational and library management issues.

SHL is committed to working with our stakeholders towards an integrated approach to collection management across all UoL federal member institute libraries, based on the principle that SHL collections are both an extension of, and complementary to, those held by federal member institutions.

Accordingly, SHL will actively contribute to collaborative collection management projects including Jisc's National Bibliographic Knowledgebase, UK Research Reserve (UKRR) initiatives and associated collaborative storage projects that provide additional value to UoL's federal members.

Further information about SHL's principles and approach to collection development can be found in the associated **collection development strategy.**

1.4 Classification schemes

The majority of SHL printed collections are classified using the Bliss (BC1) bibliographic classification, although some collections have adopted the Library of Congress system and a few operate under the Dewey Decimal system.

Some materials are still arranged under SHL's former in-house classification scheme, by the Garside system for the Germanic Studies Library collection, and various historic systems of arrangement and numbering of smaller collections that were in operation on accession.

Following a 'state of the catalogue' review conducted by CG, a Library Modernisation Programme (LMP) was launched in 2017. Phase 1 has introduced RFID tagging for all items on open access, which has enabled strikingly more effective stock control. SHL is currently in the process of reclassifying all open access items to Library of Congress to create 'one collection'. This work had been planned to conclude by spring 2021, but has suffered considerable delay due to the global Covid-19 pandemic.

1.5 Cataloguing standards and practice

Modern books are catalogued according to RDA (pre 3R), though some AACR2 record might be accepted for shelf-ready acquisitions where an RDA record is not available from the supplier. Pre-1830 publications continue to be catalogued according to DCRM(B). For subject indexing we use LCSH and, where available, access points follow Library of Congress authorities.

For archives, it is SHL policy to adhere where possible to ISAD (G) standards when cataloguing manuscript and other archival material, using UKAT as the subject thesaurus for indexing and EAC-CPF for corporate bodies, persons and families.

Information about SHL's catalogue pipeline for uncatalogued material or retrospective conversion work (and associated priorities for resource allocation or project approvals) can be found in the **collection development strategy**.

Section Two: Collection management and storage

2.1 Storage locations

SHL stores its collections at three locations – onsite at Senate House, offsite at a book depository in Egham, and in third party storage managed by Crown Records Management (CRM).

Around 500,000 high-use modern print materials are available to SHL members on open access on floors 4-7 of the Senate House tower.

Priority storage for lower-use modern print materials (research reserve), special collections and archives is provided via stack retrieval from floors 8-19 of the Senate House tower (although some material on floors 8 and 9 was temporarily relocated to CRM to facilitate the LMP), or in secure storage on the lower ground floor. High value material is placed in a locked safe, with access restricted to a limited number of staff. A quarterly audit of safe material is conducted.

The remainder of the lowest-use or uncatalogued modern print material (research reserve) and low-use or uncatalogued special collections and archives is located at the depository or in third party storage. The depository also holds material on behalf of third parties, including federal member institutions and external clients such as Royal Opera House.

SHL maintains a summary spreadsheet of the location of all its collections, which is audited every two years for special collections and reviewed annually for all other material. New stock is added annually, offset against any disposals or relegations from one location to another. Regular spot-checks within collection areas are made between formal audits to ensure locations are accurate. This process is overseen for all materials by the Head of Library Space and Collections Management.

Storage conditions are monitored constantly by the Conservation team within special collections as described in 3.2.2 and 3.2.3.

2.2 Collection management programme

2.2.1 Library Management System

SHL's Library Management System (LMS) provides the main management information concerning user activity such as loans, and stock requests from the research reserve. The current LMS is Sierra, supplied by Innovative, and the contract will be reviewed in 2022 as part of a regular 3 year review cycle.

For archival collections, SHL uses AdLib to provide access to searchable and non-searchable handlists.

Management information about collection use is supplemented by regular surveys and customer intelligence exercises to ensure knowledge of open access stock is captured. Material awaiting re-shelving is also counted and categorized to provide an indication of open access use.

2.2.2 Stock control

Following a 'state of the catalogue' review conducted by CDG, the LMP was launched in 2017. Phase 1 has successfully introduced RFID tagging for all items on open access which has enabled much more effective stock control. As part of the tagging exercise, all open access stock was checked against the catalogue and uncatalogued material moved to the catalogue pipeline for immediate improvement or withdrawn to the research reserve.

A rolling stock review process has been introduced to ensure the open access collections are monitored for usage, as well as checking for missing or damaged stock (see 2.3).

2.2.3 Relegation from open access to research reserve

The rolling stock review supports an ongoing process to monitor open access collection usage, based primarily on loan requests and returned reference items for reshelving.

If the usage is comparatively low or zero, then the material can be relegated to the research reserve unless a clear case for potential research use can be made by the Academic Librarian or other interested colleagues.

The intention is to maintain an open access collection at a stable level, ensuring that an equivalent number of items are removed to the research reserve as are purchased during the financial year. The size of the open access collection is assessed each quarter, and from 2021/22, we have committed to stasis, with a reduction in the number of items of 0.5% by 2022/23.

In taking all relegation decisions, we strive to ensure that we do not compound historical marginalization of those authorities, perspectives and voices, however defined, that have been overlooked both within SHL and the wider culture.

2.2.4 Disposal

There are three main ways in which items can be selected for disposal.

- Identified during phase 1 of LMP
- Specific withdrawal exercises as part of the rolling stock review of open access material
- Withdrawal of items on a rolling basis for which digital surrogates have been newly purchased
- Research reserve items selected for disposal

The main disposal criteria are:

- Surrogate copies exist
- Item is duplicated (see 2.2.5)

- Material is considered to be out date with no research value
- Item is damaged and is uneconomical to repair (see 2.3)

Items selected for disposal will be checked against benchmarked collections to ensure they are not rare or unique, in line with UKRR principles. JISC's Library Hub Discover is used as the means of comparison.

Items will not be disposed of if:

- A clear case for potential research use can be made by the relevant Academic Librarian
- Any member of staff raises a legitimate concern that their disposal would tend to reduce the diversity and inclusivity of voices represented in the collections
- A retention request is made by colleagues from the central University of London

A list of items selected for disposal will be circulated to relevant stakeholders in case they wish to claim any items for their collections. All deselected items will be removed from the catalogue and disposed of, either by sale or donation.

2.2.5 De-duplication

SHL will also conduct regular de-duplication exercises in line with national initiatives such as the UKRR, as well as joint initiatives with stakeholder institutions. The aim of de-duplication is twofold – to rationalise the collections, based on a greater collaborative knowledge of stakeholder collections; and to ensure the most appropriate means of access to collections is provided.

In general, de-duplication will take account of a variety of factors such as the pedagogic requirement for multiple copies; superseded editions with lower circulation due to the publication of more recent editions; the physical condition of items; and current or emerging research priorities.

Gifted or donated collections should be appraised and de-duplicated unless the donated content is in better condition than existing stock; has been annotated; or duplicates rare or valuable material.

2.3 Missing or damaged stock

The Library operates a rigorous system of stock management to identify and locate materials which have been marked as missing, involving rolling searches of all shelving locations. This process has been substantially improved by the LMP phase 1 implementation of RFID, as a full stock check of open access material was undertaken as part of the RFID tagging exercise.

Where relevant SHL will replace items which are not returned by our users, seeking compensation where relevant, and to repair those books which have become damaged through heavy use. Membership terms and conditions specify expectations around handling

stock, which is emphasised during onsite inductions and reinforced by signage and displays around the reading rooms.

Academic librarians are notified about damaged items that are considered to be beyond repair, so that a decision can be taken about replacing them from their development budgets.

Section Three: Safeguarding the collection

3.1 Risk Management

SHL has drawn up a business continuity plan BCP, including the protection of the collections. It is securely stored on Sharepoint, with access provided to SHL's Silver response team and paper copies kept in two locked offices. The BCP is reviewed every six months, with annual live exercises to test its effectiveness.

As part of the BCP, a minor Disaster Response plan is displayed in each storage area with basic equipment.

The BCP includes a major Disaster Response plan for special collections, which includes a risk assessment, documented in line with PAS 197: 2009 which is regularly reviewed. SHL has a contract with a disaster recovery company with heritage experience. Disaster response equipment is kept across storage locations as appropriate, and in the conservation studio.

In the event of a disaster the safety of people takes priority followed by action to prevent or minimise damage to the collections.

Library and facilities staff are alert to any event which may be considered a risk to the Special Collections and follow the Minor Disaster Response plan. A Risk Incident log is maintained.

3.2 Conservation

Senate House Library has a duty of care to preserve its collections in their original formats in order to provide support for research, teaching and learning to the highest standard. Materials which are acquired for and accessioned into Special Collections are normally for permanent retention within Senate House Library.

Preservation, or collection care, refers to all activities and practices intended to protect all physical collections. A preservation focused approach is embedded in all our library and archive activities from acquisition to access. Senate House Library is working towards achieving a low energy, sustainable environment that will ensure the long-term preservation of all its collections.

Although a significant amount of collection care practices refer to Special Collections most procedures are shared more widely with the rest of the library and the central university.

3.2.1 Responsibilities

All library staff operate within the parameters of collection care guidelines according to their role and responsibilities. The conservation team leads in preservation activities in consultation with the Head of Collections and the relevant Associate Director.

3.2.2 Preservation Management

The Library cares for its Special Collections in line with current standards (BS EN 16893:2018, BS 4971:2017, PAS 197:2009, *Benchmarks 3.0 in Conservation Planning for Archives, Libraries and Museums*). To ensure standards are met:

- The conservation team monitors environmental conditions in specific storage areas in Senate House on an ongoing basis through the Darca Heritage/Eltek remote monitoring system supplied by D-Tech Systems Ltd.
- The environmental conditions for material held at third party storage by Crown are monitored by the contractor seasonally.
- Staff and volunteers receive training and guidelines in collection care and good handling practice as they join SHL, with refreshers run as required.

3.2.3 Environmental conditions

Light levels and gaseous pollution are monitored throughout the building, and in the depositories.

The environmental conditions of the Special Collections Reading Room are adjusted through non-mechanical means.

A pest management programme is carried out and there is a mould remediation process in place. Rodent control is a building wide responsibility and monitored regularly.

3.2.4 Security

Senate House Library has controlled public access and all entry points are secure. There are protocols in place for opening and closing procedures, and keys are stored securely.

CCTV operates inside and outside the building. Intruder alarms are connected to a 24-hour monitoring system, and security operates 24 hours a day.

There are optical smoke sensors and manual call points connected to the fire alarm system, linked to the Fire Service. A test of the fire alarm is conducted on a weekly basis.

The main basement store has water alarms.

3.2.5 Copying and digitisation

Senate House Library undertakes digitisation programmes to ensure the accessibility and preservation of its collections.

Conservation assesses the condition of the collections to be digitised, treating them as required, and the equipment before a project is agreed. In-house staff and external partners receive training in good handling.

Readers are permitted to photograph material in the Special Collections Reading Room under staff supervision.

Senate House Library supplies copies of material from its collections for personal use and research and subject to any copyright restrictions that may apply.

3.2.6 Conservation work programmes

Conservation work on items from the collections is undertaken in-house or outsourced following recognised standards and ethical guidelines, chiefly the principle of minimal or no intervention and a fit-for-purpose approach. The Senior Conservator or another accredited conservator supervises the process.

All conservation treatment is recorded and documented.

The conservation team at Senate House Library seeks external funding for specific projects and, when appropriate, it develops links with external conservators to enhance the conservation programme.

3.2.7 Exhibition conditions

Senate House Library has a dedicated exhibition space which is working towards compliance with BS 4971:2017. Items for display are assessed and treated as required by conservators prior to exhibition.

External loans for exhibitions must be approved by the Librarian with advice from the Senior Conservator. Loans will be agreed only if the borrower satisfies our terms and conditions. A loan agreement must be signed before the item can be displayed. If an item cannot be loaned Senate House will endeavour to offer a surrogate.

3.2.8 Document handling in the reading rooms

Special Collections are consulted in the reading room under supervision from staff or in an invigilated meeting room.

Readers are asked to sign in and follow the Special Collections reading room rules which include the use of supports for reading books and documents. CCTV is in operation.

When using Special Collections for classes tutors and students are asked to follow the same rules. A separate teaching support policy provides detailed guidelines.

3.3 GDPR and Intellectual Property rights

SHL demonstrates awareness of legislation governing Intellectual Property Rights (IPR) and adheres to General Data Protection Regulations (GDPR) legislation when licensing material which may include sensitive personal data.

SHL's collection acquisition and deposit agreements require donors to define the extent to which IPR and associated copyrights are assigned to the Library, and which if any rights are retained by the donor. This enables SHL to define and license material fairly and in a clear legal context, especially in terms of warranties granted by the library to publishers and rights granted. SHL policy is to accept acquisitions and accessions only when rights are assigned to the Library, and only to accept collections without IPR or copyrights in exceptional circumstances.