



## Library & Archives Service Collection Management Policy

### 1. Introduction

The primary role of the Library & Archives Service (LAS) is to support the research, teaching and learning activities of the School by meeting the needs of students and staff for information. This is achieved through:

- supplying materials, in archival, print and electronic formats
- managing access to appropriate databases
- teaching and guidance on where information may be found and effective techniques for retrieving and managing it.

As part of its remit the LAS seeks to provide appropriate environments for studying and consulting resources, adjacent to the materials and services that staff and students need to access. Thus there is a need for the layout of LAS space to achieve a balance between space for stock and that for users.

The purpose of this document is to set down a policy, agreed with members of the Information Services Advisory Group and approved by Senate, for developing and managing the collections of materials held by the LAS. The policy is set within the context of the School's Vision, the role of the LAS and its current aims and objectives as set out in the LAS strategic plan for 2010/11 to 2014/15<sup>1</sup>.

The LAS Collection Management Policy is reviewed on a regular basis, usually every five years.

### 2. Library materials

#### 2.1. General principles

The Library will manage, develop and make available collections of published materials, in all formats, in public health and global health, in support of the School's position as a world leader of research in these fields.

Material in related subjects, for example, clinical specialties, social sciences, is acquired only where specifically required on a continuing basis by members of the School in support of their academic work and as resources and space permit.

The proximity of major research collections such as the British Library, The Wellcome Library and Senate House Library as well as the libraries of the M25 Consortium are taken into account when making decisions about collection management.

Access to materials beyond the scope of the LAS collections is facilitated through an effective inter-library loans service, reciprocal access schemes and collaborative projects.

The Library will provide access to materials that assist staff in fulfilling their professional roles, for example materials relating to the PGCILT course, areas covered in the Staff and Educational Development Programme or disability awareness. Subject to resources the Library will meet the costs of journal subscriptions in these areas from its materials budget. Individual sections are required to purchase relevant books and donate these to the Library.

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<sup>1</sup> [http://www.lshtm.ac.uk/library/libraryinfo/strategic\\_plan.pdf](http://www.lshtm.ac.uk/library/libraryinfo/strategic_plan.pdf)

Selection is a joint activity undertaken between Library staff and academic staff, with the former bringing their knowledge of the strengths of existing collections and the availability of materials elsewhere and the latter providing expertise in their teaching and research areas.

Materials are usually purchased in English and in the most appropriate format, taking into account ease of access, technical issues and cost.

Materials retained by the Library are maintained in line with the LAS Preservation Policy (Annex A) as funding permits.

## **2.2. Funding**

The Library is allocated an annual budget which includes funds for the purchase of materials. Presently the funds for materials are increased by inflation (taking into account the higher rate for journals; approximately 7% in the STM subject areas) on an annual basis. This ensures that the Library can continue to acquire materials at a similar rate each year.

## **2.3. Books & pamphlets<sup>2</sup>**

Priority is given to the purchase of books on reading lists provided by teaching staff. Staff can submit lists by email or via the Teaching Support Office (TSO). Requests for books need to be received at least 6 weeks before the start of the module to allow time for purchase and processing.

Multiple copies are purchased as appropriate to the number of students on the course, as funding and space permit and taking into account the fact that individual students will often purchase their own copies of core texts.

For all books on a reading list, an e-copy is purchased (where available) in addition to print copies. E-books are taken to be the equivalent of 3 printed copies due to their multi access function.

Loan periods are assigned in order to make books as accessible as possible.

The procedure for the approval of new MSc courses or modules requires confirmation of the implications for Library resources. The Head of Library & Archives Service is consulted at an early stage to ascertain whether additional resources will be needed to provide the necessary materials and support.

The Library will acquire reference works, for example, dictionaries, directories, atlases, guides, that relate to the work of the School. Priority is given to works that are available electronically with links provided from the Library website and/or Library catalogue as appropriate.

Books that support the research activities of the School are considered for purchase taking into account funding, likely level of use and match with current collections. Suggestions can be made by email, in writing or by using the suggestion form on the LAS web pages.

Usually single copies of titles that support research are purchased. If 2 or more copies are required, an e-book will be purchased as the second copy, where available and funding permits.

Books are retained for as long as they remain relevant to the School's activities. Superseded editions are usually withdrawn on receipt of new editions. Titles that have not been borrowed for

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<sup>2</sup> A pamphlet is defined as a printed monograph with a paper cover and less than 100 pages. These items are shelved in a separate collection to ensure that they are accessible as they are prone to being misplaced or damaged when they are with larger volumes. Throughout this section the term 'books' is used to encompass books and pamphlets.

a number of years are identified on an annual basis and Library staff work with academic staff to identify those that are still relevant. The remainder are withdrawn.

Withdrawn stock is either offered to booksellers or recycled. Withdrawn books are not offered to libraries in lower and middle income countries as the donation of out dated medical texts can result in the dissemination of incorrect information.

### **2.3.1. Rare books**

The rare books material consists of two distinct collections:

- *The Reece Collection* contains books, pamphlets and press cuttings on the subject of smallpox and vaccination. Part of the collection was sold to the Library, after the death of Dr Richard James Reece, a medical inspector with the Local Government Board in 1925, and a further set of Reece books was donated in 1930 by Dr Hugh Macewen. These texts relate not only to Britain but to various other countries, such as the Netherlands, Germany, Turkey and France.
- *The Historical Collection* contains over 1000 rare books on public health and global health. The majority of titles are from the 19<sup>th</sup> century, however a significant minority were published in the 18<sup>th</sup> century; the earliest book is from 1526.

The collections include some unique items and many rare and antiquarian volumes with original bindings or historically interesting marginalia. These titles are stored in secure, environmentally monitored conditions and can only be viewed by appointment.

Where possible, items will be retained in their original format. Alternative formats will only be adopted in exceptional circumstances.

The Library does not actively acquire titles for these collections, however donations are welcomed. Books from these collections will be withdrawn only under exceptional circumstances. Disposal of withdrawn items will be handled on a case-by-case basis.

### **2.4. Journals**

Priority is given to maintaining existing subscriptions unless a shift in research activities renders these no longer relevant or usage data and feedback from the annual consultation demonstrates low demand for a title.

The Library aims to acquire new titles that relate to the School's specialist subject areas on the recommendation of academic staff and, where appropriate, students. More generalist journals may be acquired (subject to cost) where there is likely to be a demand across the School. Suggestions can be made by email, in writing or by using the suggestion form on the LAS web pages. New titles are only usually considered where electronic access is provided by the supplier.

An annual journal consultation is carried out with members of the School in order to obtain feedback on potential new titles that have been suggested and any existing titles for potential cancellation which have been identified as low-use through collection and collation of usage statistics. Subscriptions to those new titles which receive support will, where funding permits, be taken out. These costs are met by cancelling existing subscriptions or by an increase in central funding.

The Library provides electronic access, where it is available, to all journals for which it has paid subscriptions. The present situation, whereby electronic access is leased rather than purchased, necessitates that the print copies of "core" titles will continue to be purchased, processed and stored.

Electronic access to journals is via Shibboleth or Ez-Proxy and offered via the Library catalogue

and website to ensure both onsite and offsite access. Those that cannot be accessed via these means are not usually purchased.

Back runs of core print journal titles are retained for as long as they remain relevant to the School's activities. Pressures on space in the School's buildings mean that much of the print journal collection must be held off-site, but the Library will continue to ensure that these print journals can be made available to members of the School in the Library within a reasonable time frame.

## **2.5. Report series**

The Library seeks to provide access to key serial publications from relevant UK and international government departments and non-governmental organisations. This will be in electronic form where possible.

The Library will continue to acquire the health-related series of the Office for National Statistics and, in its role as a WHO Reference Library, will continue to receive and make available WHO publications.

The report series collection is reviewed on a regular basis and academic staff consulted about any potential cancellations.

## **2.6. Audio/Visual Materials**

The Library acquires items in audio visual format in support of the School's teaching and research. DVDs and CDs which cannot be made accessible online will be held in the Library and the appropriate means to access these items will be provided.

## **2.7. Databases**

Priority is given to maintaining existing subscriptions unless a shift in research activities renders these no longer relevant or usage data and feedback demonstrates low demand for a database.

Subscriptions to new databases relevant to the School's teaching and research are considered on the recommendation of academic and Library staff. Relevance, cost, ease of use and options for access will be used to evaluate any suggestions. Costs of new databases are included in the annual budget and subscriptions taken out should funding be made available.

Statistics from databases are monitored to assess usage and cost-effectiveness.

Databases are accessed via Shibboleth or Ez-Proxy and offered via the Library website to ensure both onsite and offsite access. Those that cannot be accessed via these means are not usually purchased.

## **2.8. Course Readings**

The LAS offers the ORC (Online Reading for Courses) service to module organisers. This service is integrated into the VLE and provides links to the electronic full text of book chapters and journal articles as well links to the Library catalogue records for recommended books.

At a minimum the Library aims to provide links to items of *additional* reading on all MSc taught modules. The ORC service can also link to *essential* readings for MSc taught modules (i.e. materials provided in the Course Reader). Teaching staff are encouraged to discuss their requirements with the Library and the TSO.

Lists of items that need to be provided via ORC need to be received at least 6 weeks prior to the start of the module to allow time for purchase and processing.

The ORC service is subject to the conditions of the Copyright Licensing Agency licence. Any items

scanned and placed on the VLE must be covered by the Copyright Licensing Agency licence and the details recorded and returned in accordance with the licence.

## **2.9. Donations**

The Library welcomes donations of published materials in the School's specialist areas. Donated materials are checked for relevance, currency and match with existing collections. Where appropriate donations are added to the collection and made available in the usual ways.

Donated materials that are not appropriate for the collection will be disposed of, usually by recycling.

The Library is unable to accept any donations that include terms and conditions.

Significant donations will not usually be accepted unless accompanied by funding to process and make the material available.

## **3. LSHTM materials**

### **3.1. General principles**

The LAS collects, manages and preserves various materials that are generated by School staff and students. There are very specific requirements for personal papers and similar items. These are covered in Section 4 (Archival materials). The semi-current records of the School are managed by the Records Management Service (which forms part of LAS) and are dealt with under the Records Management Policy at <http://intra.lshtm.ac.uk/infoman/records/policy.html>

Materials generated by members of the School and retained by the LAS are maintained in line with the LAS Preservation Policy (Annex A) as funding permits.

### **3.2. Theses**

Research degree theses are retained by LAS as a record of this aspect of the School's research output.

Currently all theses are held in print and are available to any member of the public who wishes to consult them by visiting the Library in person.

Theses are also made available in electronic format via the British Library's EThOS Project (Electronic Theses Online Service<sup>3</sup>). When a researcher makes a request via EThOS, the Library is notified and the thesis is checked for sensitive material. In the absence of this it is digitised and added to EThOS so that it can be accessed online. The number of theses digitised is dependent on funding and present levels allow for 50 to be digitised each year.

### **3.3. MSc project reports**

All MSc project reports are submitted to the Library electronically and in an anonymous form. Access to successful project reports is provided via links from the Library catalogue. Failed project reports are retained in electronic form for record management purposes but are not made generally accessible. All MSc project reports are retained for seven years and discarded at the end of this period.

### **3.4. LSHTM Research Online**

The service to store and manage open access versions of published research articles authored by members of the School is currently being established. These will be housed within the School's

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<sup>3</sup> <http://ethos.bl.uk/>

repository, LSHTM Research Online and the service is expected to be fully operational by early 2012. The repository will be hosted by the University of London Computer Centre using EPrints.

Metadata of all published journal articles and book chapters will be stored in the repository. Full text will be made available wherever copyright agreements permit.

The repository supports open access to scholarly material and the content of LSHTM Research Online will be freely and publically accessible.

There is potential for repositories to include PhD theses, datasets, teaching objects and institutional reports. LAS staff, together with representatives from the Faculties and other key sections will regularly review the types of material that could be deposited into LSHTM Research Online to ensure that it continues to meet the needs of the School.

### **3.5. Images**

Photographs and digital images are collected from a number of sources including:

- School photographer
- Faculties and departments
- Individual staff members
- External sources that form part of the archival collections

All physical photographs should meet the archival selection criteria (see Section 4.4) and are usually retained permanently.

All digital images are stored in PhotoLibrary<sup>4</sup>, the School's image database which manages, preserves and makes accessible the School's rich resource of images.

Where there are a number of digital images with similar content (e.g. photographs of a School event) these are appraised periodically and some may be deleted after a certain period of time, depending on the relevance of the image.

PhotoLibrary is currently being upgraded and the new version will be able to store multimedia material. The potential for managing certain outputs from the School will be investigated.

## **4. Archival materials**

### **4.1. General principles**

The aim of the School's archives is to document the history, functions and development of the School since its establishment in 1899. Material in the collections dates from the mid-nineteenth century to the present day and includes:

- the administrative papers of the School
- research and personal papers of prominent individuals employed by the School
- deposited material from individuals who were significant figures in the establishment and development of public health and global health, and who had connections with the School.

### **4.2. Funding**

There is an annual allocation for preservation and conservation materials. Archival materials are usually acquired via donation and there is no recurrent budget for purchase. On the rare occasion that a significant and relevant collection becomes available for purchase a case would be made

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<sup>4</sup> <http://www.lshtm.ac.uk/library/archives/photolibrary/>

for one-off funding.

#### **4.3. Acquisition of materials**

Archival material is usually acquired from within the School through:

- Appraising and collecting records held by staff members
- Transferring records from the records management service which have been assigned archival status
- Collecting material from ex-staff members (when material is offered rather than proactively pursuing individuals)
- Retrieving School material which has previously been housed in other archival repositories (e.g. The Wellcome Library)

Archival material is accepted in most formats; manuscript, printed, electronic. Photographic items, drawings, film and sound recordings are also accepted. Relevant artefacts and ephemera will be considered and may be accepted if the facilities to preserve them are available.

##### **4.3.1. Rules of acquisition**

- The Archive Service will only accept material as a gift; material will not normally be purchased or accepted on loan.
- The Archive Service has the right to refuse any gift.
- All material must come from a bona fide source and should have a demonstrable provenance.
- Depositors must have the authority to transfer the material and are required to sign a gift agreement.
- It is usually a condition of acceptance that archives will be available for public access once they have been catalogued. In certain circumstances, restricted access conditions may be negotiated depending on the nature of the material.

#### **4.4. Selection criteria**

Material will only be retained where it meets the following selection criteria:

- It is deemed to have historical significance and therefore needs to be permanently preserved.
- It demonstrates the role of the School as one of more of the following:
  - A corporate entity
  - A teaching and learning organisation
  - A research organisation
  - A member of the local community
  - A member of the wider higher education community
  - A community in itself
- It provides evidence of the School's activities and why these were carried out; what it and its staff and students have achieved; and of its impact locally and in the wider world.

Material which is not primarily related to the work of the School is not usually accepted as the Archives Service is not a collecting service for general historical material on public health and global health.

Examples of other material not normally considered for acquisition:

- Any records which are closely associated by provenance with those already housed in another recognised archive collection

- Collections of reproduction or duplicate documents, the originals of which are already housed in another recognised archive collection
- Collections in certain non-paper media for which the Archive Service has no facilities for the provision of appropriate long-term preservation and access
- Collections composed entirely of published material (these will be considered for accession by the Library)
- Records or papers which are still in current or semi-current use by their originator(s)

Materials relating to the history of public health and global health, which complement the existing collections, but which does not relate directly to the School will be considered on a case by case basis. Accession of such material is at the discretion of the Archivist & Records Manager, and is subject to the limitations of space and resources.

#### **4.5. Disposal**

Once material has been fully added to the archives it will be withdrawn only under exceptional circumstances. However, it is often not possible to fully appraise a collection before it is received from a donor, therefore the Archive Service retains the right to dispose of material within the collection as it sees fit during the sorting, appraising and cataloguing process.

First refusal will be given to the donor and in some circumstances duplicate or material not relevant to the School's collections will be offered to other repositories.

On the rare occasion whereby material that is already catalogued is disposed of as it is decided that it does not meet the archival selection criteria, this material will be offered to the original donor first and then to other repositories.

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## Library & Archives Preservation Policy

### 1. General principles

The Library & Archives Service (LAS) will prioritise the preservation of material which falls within the core areas of research, teaching and learning at the School (public health and global health) and which will continue to be relevant to future generations of learners and researchers, in line with the LAS Collection Management Policy. Published material which is highly relevant at the time of acquisition but which loses its significance as time passes is usually removed from the collections once it is no longer useful, and is not therefore subject to longer-term preservation.

Preservation encompasses storage (both physical and digital), environmental controls (including handling, regulation of temperature, humidity, light, dust and infestation and protection from malware) and collection maintenance (including repair, binding and conservation of printed works and digital preservation).

All senior LAS staff have responsibility for the preservation of materials in defined areas of the collections. In addition, the Reader Services Librarian is responsible for managing the overall physical environment and the Systems Librarian is responsible for maintaining the overall digital environment.

### 2. Funding

The costs associated with the preservation of the collections are met from the LAS general funding allocation. Specific funds are allocated for the annual binding of journals and the purchase of specialised archival preservation materials. Funding for the preservation of other areas of the collections is allocated according to demand.

### 3. Environment

Those areas that house the printed collections are equipped with suitable shelving. The shelves and material are cleaned on a regular basis by professional book cleaners.

The rare book and archival collections are stored on suitable shelving and in appropriate boxes but are not routinely cleaned due to their fragile nature.

All areas are kept suitably secure, and appropriate levels of lighting, temperature and humidity maintained. Insect monitoring is undertaken in all closed-access areas.

The LAS liaises with ITS to ensure that its digital infrastructure remains stable and secure, and that digital collections of material hosted locally are migrated on to new systems and platforms when necessary and access to them maintained.

### 4. Teaching collection of books and pamphlets

The Library's teaching collection of books and pamphlets is managed by the Systems Librarian, who is responsible for their preservation.

Consideration is given to the ongoing availability and preservation of e-books when selecting new titles and negotiating access to content, with post cancellation rights secured wherever possible.

Print books and pamphlets from the teaching collection requiring minor repair are attended to in-house by LAS staff. Materials from the teaching collection are not normally be considered for more extensive preservation work, as they lose significance as time passes and are usually removed from the collections once they are no longer useful.

## **5. Research collection of books and pamphlets**

The Library's research collection of books and pamphlets is managed by the Information Services Librarian, who is responsible for their preservation.

Consideration is given to the ongoing availability and preservation of e-books when selecting new titles and negotiating access to content, with post cancellation rights secured wherever possible.

Print books and pamphlets from the research collection requiring minor repair are attended to in-house by LAS staff. Where a volume requires more extensive work, a replacement will be sought. In some cases, if the title is of particular importance, the volume may be sent for professional re-binding or conservation.

## **6. Rare books**

The Reece & Historical collections are managed by the Information Services Librarian, who is responsible for their preservation. They form a unique resource documenting the history and teaching of public health and global health. The School has a responsibility to preserve these collections in order to:

- Ensure that they are available for use by staff and students of LSHTM and researchers from the wider community
- Safeguard a nationally important collection of items on the history of public health and global health.

Funds received from the sale of withdrawn Library stock via specialist booksellers is used to purchase conservation materials and the work carried out by volunteer book conservators.

During 2011/12 the priorities for conservation and preservation of the rare book collections will be identified by a professional book conservator.

Regulations regarding the handling and use of these collections are outlined in the *Guidelines for Using Rare Books*<sup>5</sup>.

## **7. Journal and report series collections**

The Library's collections of journals and report series are managed by the Reader Services Librarian, who is responsible for their preservation.

Consideration is given to the ongoing availability and preservation of e-journals and e-reports when selecting new titles and negotiating access to content, with post cancellation rights secured wherever possible. Should a journal change publisher, the Library will seek assurance regarding continued access to the content. The Library will monitor developments with the UKSG Transfer project<sup>6</sup>, which is seeking to agree a standard code of practice for publishers in this area. Where core titles are concerned, the Library will also consider simultaneous purchase and retention of print volumes to ensure preservation and long-term accessibility of the content.

Where e-journal backfiles are purchased, consideration will be given to the hosting and longer term availability of these. Options for local hosting will be considered, although at present there is little scope within the in-house infrastructure for accommodating this. The Library will monitor developments with the Portico initiative<sup>7</sup> as a potential solution in this area.

The majority of current journal subscriptions are in electronic format, however the Library

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<sup>5</sup> <http://www.lshtm.ac.uk/library/collections/rarebooks.html>

<sup>6</sup> <http://www.uksg.org/transfer>

<sup>7</sup> <http://www.portico.org/digital-preservation/>

continues to subscribe some core titles in print format (in addition to the electronic format) to ensure ongoing access. These titles are sent to a professional bindery on a regular basis, along with a small number of report series titles. Journal titles are bound in buckram, in volumes no greater than 5cm in width, and as far as possible a consistent style is maintained for each title/run. The list of journals and report series titles to be bound is reviewed on an annual basis.

Back runs of printed journal volumes that have not been bound previously are sent to a professional bindery to be bound if they fall within the core subject areas and no electronic backfile has been secured. The binding of back runs is undertaken on an ad hoc basis as funding permits.

Print journal and report series volumes requiring minor repair are attended to in-house by LAS staff. Where a volume requires more extensive work, a replacement will be sought via the duplicates scheme. In some cases, if the title is of particular importance, the volume may be sent to a professional bindery for re-binding or conservation.

## **8. Theses**

The Library's collection of theses is managed by the Systems Librarian, who is responsible for their preservation.

Print theses requiring minor repair are attended to in-house by LAS staff. Print theses requiring more extensive repair may be sent for professional re-binding or conservation.

## **9. LSHTM Research Online**

This service is the responsibility of the Repository Manager under the line management of the Systems Librarian, who is responsible for its preservation

It is housed within the repository that is hosted by the University of London Computer Centre on a dedicated server and files are backed up on a daily basis

All content placed in the repository will be preserved on a long term basis. Tools within the repository aim to ensure continued readability and accessibility to all users. There will be mechanisms in place to migrate certain documents and files to a new file format when existing formats become obsolete

The repository forms a permanent record of research. Even when research has been withdrawn there will be an evidential record of the research including a 'tombstone' URL.

## **10. Archives**

The School's archive collections are managed by the Archivist & Records Manager, who is responsible for their preservation.

The nature of archive material increases the risk of deterioration and specific preservation measures are taken to ensure that material is kept safe, secure and that the risk of deterioration is as low as possible. Measures taken are:

- All material is stored in acid free boxes and acid free enclosures; metal fasteners, paper clips and staples are removed.
- Material is held in a stable environment where the temperature and humidity is monitored.
- Material is accessed in a supervised searchroom where there are strict guidelines on using the material including no food and drink, the use of pencils and limited photocopying<sup>8</sup>.

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<sup>8</sup> <http://www.lshtm.ac.uk/library/archives/access/guidelines.html>