



# Library, Archive & Open Research Services

## Collection Management Policy

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<b>Amendments</b>	Amendments to 3.4 (Donated material) Amendments to 3.8 (Methods of disposal)
<b>Related Policies &amp; Procedures</b>	

### 1. SCOPE

- 1.1 This policy is relevant to all users of the Library, Archive & Open Research Services. This includes, but is not limited to, LSHTM staff and students, external members and visitors.
- 1.2 The LAORS audience is primarily the staff and students of LSHTM, both those based in London and those working or studying elsewhere, including those located at the Medical Research Council Unit The Gambia at the London School of Hygiene & Tropical Medicine and at the Medical Research Council/Uganda Virus Research Institute and London School of Hygiene & Tropical Medicine Uganda Research Unit.
- 1.3 The collections are also used by researchers from other academic institutions, both in the UK and beyond, professionals such as medical staff and members of NGOs, and members of the public with research interests in global and public health.
- 1.4 The historical collections have a particularly important role in LSHTM's public engagement activities.

### 2. PURPOSE AND OVERVIEW

- 2.1 The London School of Hygiene & Tropical Medicine (LSHTM) recognises that research publications and information in all its forms are a valuable asset that may be used to communicate research findings and form the basis for new and innovative research.
- 2.2 This Collection Management Policy provides a framework for developing and managing the collections held by Library, Archive & Open Research Services (LAORS).



- 2.3 This policy takes into consideration the strategic and financial context within which LAORS operates, the wider landscape, and the historical significance of the collections (outlined in Annex D).
- 2.4 This policy sets out an agreed set of principles which inform decision making on acquisition, retention, preservation and disposal of material within the collections.

### 3. POLICY

The London School of Hygiene & Tropical Medicine defines the following set of principles to be followed in order to ensure LAORS collections are managed, developed and preserved in accordance with best practice and the strategic needs of the organisation:

#### 3.1 General principles

- 3.1.1 LAORS will manage, develop and preserve collections of material in appropriate formats in public health and global health, in support of the LSHTM Strategy and LSHTM's position as a world leader in research and education in these fields.
- 3.1.2 As much of this material will be made available to students and researchers as possible, although it is acknowledged that where material is in a fragile condition or in an inaccessible form (e.g., due to old technology formats) this may not be feasible.
- 3.1.3 New acquisitions to the Archives and to the Library's historical printed collections will usually only be made if the material has a clear link to LSHTM. Consideration will be given to the resources available within LAORS to catalogue, store and preserve collections of material before any agreement is made to acquire it.
- 3.1.4 The majority of material collected will be in the English language, although seminal works in other languages may be collected and retained if they are not readily available elsewhere. LAORS is committed to collecting material from a large and culturally diverse range of experience.
- 3.1.5 All collections will be indexed in line with national/international standards of cataloguing and classification, in order to ensure interoperability with other systems and the maximum exposure of web-based records via catalogues, search engines and other search tools. Archives are catalogued according to ISAD(G): General International Standard of Archival Description, ISAAR(CPF): International Standard Archival Authority Record for Corporate Bodies, Persons and Families, and National Council on Archives: Rules for the construction of personal, place and corporate names. Library material is classified according to the Barnard Classification Scheme for Medical and Veterinary Libraries (3<sup>rd</sup> edition), and catalogued to RDA standard (all records created prior to July 2015 are catalogued using AACR2).

#### 3.2 Selection and acquisition of material

- 3.2.1 The selection of material relies on the input of academic staff. This needs to be timely and to consider the resources required to make the material available. LAORS actively engages with the academic community to identify priorities and areas of the collection which require strengthening.



- 3.2.2 Analytics are used to help identify the research and teaching interests of LSHTM staff in order to determine priority areas for acquisition. Suggestions for new stock are also welcomed from users.
- 3.2.3 LAORS is committed to collecting material that acknowledges the complexity and global dimension of knowledge creation.
- 3.3 Purchased material
- 3.3.1 The priority for LAORS book purchasing is texts identified as essential or recommended reading on module reading lists supplied by academic tutors. All texts on reading lists will be purchased in electronic format where possible. The number of print copies purchased in addition to the eBook, and the loan periods assigned to these, will be determined by the ratios outlined in Annex C and by the budget available. All material purchased by LAORS will be made available to all LSHTM staff and students; LAORS does not fund provision for materials where access is limited to individual courses.
- 3.3.2 Single copies of monographs required to support research will be purchased as the budget permits. Mediated Patron Driven Acquisition is used to enable users to select eBook titles for their own research, but again, these will be purchased as the budget permits.
- 3.3.3 The priority for serials (journals and report series) purchasing is maintaining existing subscriptions where these remain relevant to LSHTM research and teaching. All serials subscriptions are in electronic-only format where possible. A number of subscriptions have either moved or are moving over to a Read & Publish model due to the implementation of Plan S and the acceleration to a fully Open Access landscape. Selection decisions on journal renewals will need to consider their potential for allowing LSHTM authors to publish open access. Titles will usually only be cancelled if there is a reduction in usage, identified through regular analysis of usage statistics, and/or if a reduction in budget requires a reduction in spending. Academic engagement will form a key part of this process.
- 3.3.4 New serial subscriptions will be taken out for titles that support LSHTM's research and teaching priorities where these are not otherwise catered for within the collections, or within those of Senate House Library, where funding is available. Again, academic engagement will form a key part of this process.
- 3.4 Donated material
- 3.4.1 The Library is no longer accepting donations of books or journals. If the material is in good condition, donors may wish to consider donating the items to a local charity shop or selling the items online.
- 3.4.2 Disposal of non-library resources is the responsibility of individual staff members and individual departments.
- 3.4.3 Archives are institutional records which are deemed to have historical significance and are therefore permanently preserved. Archives can build a picture of the institution over time as a corporate entity, teaching and learning organisation, research organisation, member of the local community, member of the wider higher education community and a community in itself. Records selected as archives will provide evidence of what the institution has done and why, what it and its staff and students have achieved, and of its impact locally and in the wider world.



- 3.4.4 Archive material that meets the selection criteria will usually be accepted, regardless of format, providing LAORS can provide adequate long-term preservation and/or access to items. For example, it may not be possible to accept computer discs that cannot be accessed on current hardware and that cannot be migrated to modern formats.
- 3.4.5 Archive collections will usually be sourced from within LSHTM, although donations from other sources will be considered. The Archives is not a collecting repository for historical material on tropical medicine and public health, and it will not seek to acquire records which are not primarily related to the work of LSHTM. In special cases, the accession of material relating to the history of tropical medicine and public health, which complements the existing collections, may be considered. This is at the discretion of the Archivist & Records Manager, and is subject to the limitations of space, time and resources.
- 3.5 Organisation, storage and access to material
- 3.5.1 Books within the Library collections are classified according to the Barnard Classification Scheme for Medical and Veterinary Libraries (3<sup>rd</sup> edition), and print copies ordered on the shelves according to their Barnard Classification. Print journals and research degree theses are arranged alphabetically by title. MSc dissertations are held in electronic form. Archive material is classified and ordered according to ISAD(G): General International Standard of Archival Description.
- 3.5.2 When considering the storage of physical materials, due consideration is given to the need for balance between space for physical stock and that for study. All materials on open shelving within LAORS can be consulted by all users, and the majority may be borrowed by eligible users, according to the assigned loan status.
- 3.5.3 LAORS has a number of stores, both on and offsite. These are not accessible to users and a regular collection service operates. Requests for materials in store must be made in advance.
- 3.5.4 Archive material and the Library's Reece Collection and Historical Collection (consisting primarily of books) are housed in secure closed stores and may only be consulted under supervision and may not be borrowed by individuals.
- 3.5.5 Physical material may be loaned to other organisations, subject to appropriate insurance being in place and on completion of a loan agreement. eJournals and eBooks are accessed via the publisher's or aggregator's online platform; these are not physically stored by LAORS.
- 3.5.6 Recommended readings for intensive MSc students and all readings for distance learning students are provided via Moodle using the Leganto service. This service offers a mix of links to subscribed content online and links to scanned materials stored on the Copyright Licencing Agency's Digital Content Store maintained by LAORS staff. Scanned material held in the Digital Content Store is created and stored in accordance with LSHTM's Higher Education Licence from the Copyright Licencing Agency.
- 3.5.7 Electronic research degree theses are made available via LSHTM Research Online, LSHTM's institutional repository for publications, and MSc dissertations submitted by LSHTM students are stored on the LSHTM intranet and made available on Primo, the LAORS resource discovery layer (branded as Discover).



- 3.5.8 Post-review pre-published versions of scholarly papers authored by members of LSHTM that have been deposited with LAORS are stored on an external server hosted by CoSector - University of London (formally ULCC) and maintained by LAORS staff and made available via LSHTM Research Online.
- 3.5.9 Images and items in other media formats produced by LSHTM are stored and made available via AssetBank, LSHTM's digital asset management solution.
- 3.5.10 Embargoes may be in place for some digital or paper-based materials (e.g., if the content includes sensitive data).
- 3.5.11 LAORS has a number of management systems that relate to the collections, outlined in Annex B.
- 3.6 Conservation and preservation
- 3.6.1 Preservation refers to actions and activities which reduce or prevent damage to extend the life expectancy of collections. Conservation refers to the treatment of an individual item to repair damage.
- 3.6.2 Physical material is stored in the most appropriate environment available. Archive material and the Reece Collection and Historical Collection (consisting primarily of books) are housed in secure closed stores with regular monitoring of temperature and relative humidity. LAORS strives to conform to environmental standards as recommended in *PAS 198:2012 Specification for managing environmental conditions for cultural collections*.
- 3.6.3 Archive collections are packaged in preservation quality enclosures and boxes to ensure their long-term preservation. Researchers consulting material from the Archives or from the Library's Reece Collection or Historical Collection are supervised and certain measures, such as the use of pencils, mandated to ensure that collections are not damaged during use.
- 3.6.4 Basic repairs of printed monographs and serials published post-1899 are undertaken by LAORS staff. Print journals are sent for professional binding if required. Conservation requirements of archive material and monographs and serials published pre-1900 are assessed by senior LAORS staff and prioritised as the urgency of treatment and budgets allow. Specialist conservation and preservation advice and services are provided through membership of the National Conservation Service. LAORS is a priority member of Harwell Restoration Services who would be used for document restoration in the event of a disaster.
- 3.6.5 LAORS is a member of Portico, an eJournal preservation initiative which maintains a dark archive of eJournal content that may be released should a trigger event occur (e.g., a catastrophic technical failure of a publisher's systems resulting in loss of access or content) to ensure continued access to content. LAORS will investigate other similar initiatives as they emerge over time. Specialist guidance and training in the area of digital preservation is provided through membership of the Digital Preservation Coalition.
- 3.7 Retention, withdrawal and disposal
- 3.7.1 The vast majority of material is acquired for long-term retention. However, to keep the collections current and to maintain adequate shelf space for new acquisitions, material



will be routinely reviewed. Assessment of items for withdrawal is made by LAORS staff and, where appropriate, advice is sought from relevant academic staff.

- 3.7.2 Material within the Library collections published before 1900 will only be removed following extremely careful consideration. Unique items published post-1899 have been identified and will not be put forward for disposal unless LAORS becomes unable to provide proper care for them. In such a case a suitable, alternative repository will be sought to house them.
- 3.7.3 Library material published after 1899 may be assessed with a view to removal if they are a superseded edition, if they are duplicate copies, if there is no loan activity over a 5-year period, if they are no longer relevant to the long-term interests of LSHTM's research and teaching, if surrogates are available (this applies particularly to print journals where they can be replaced with suitable electronic titles) or if they are in poor physical condition. The rarity, intrinsic value and institutional value will also be considered.
- 3.7.4 There is a strong presumption against the disposal of material accepted into the archives. However, LAORS retains the right to dispose of material within the collection as it sees fit, although first refusal will be given to the donor where appropriate, and in some circumstances duplicate items or material not relevant to LSHTM's collections will be offered to other repositories.

### 3.8 Methods of disposal

- 3.8.1 Where possible, an ethical reselling company is used to dispose of withdrawn books. Proceeds are used to maintain and develop the LAORS collections. As many of our withdrawn items contain obsolete medical information they will not usually be offered to other libraries unless they are of historical or cultural interest.
- 3.8.2 Where stock is not suitable for resale or to be offered elsewhere it will be recycled in an environmentally responsible way.

## 4. CONTACTS

Questions related to the Collection Management Policy should be directed to the Collection Services Team ([collections@lshtm.ac.uk](mailto:collections@lshtm.ac.uk)) and/or the Archives & Records Management Team ([archives@lshtm.ac.uk](mailto:archives@lshtm.ac.uk)) within Library, Archive & Open Research Services.

## 5. ANNEXES

### 5.1 Annex A: Current statistics

This annex details the current statistics relating to the collections as reported to SCONUL as part of the annual statistical return for 2019/20 (returned January 2021).

#### 5.1.1 Library stock:

Total catalogued print stock: 69,990  
Number of additions to print stock during 2019/20: 5,594  
Total number of eJournals provided: 5,580



Total number of eBooks provided: 697

Total number of full text items held in the institutional repository available externally:  
26,010

#### 5.1.2 Library loans and full text requests:

Number of loans of print material: 5,331

Number of full-text downloads from eJournals: 473,210

Number of section requests from eBooks: 46,193

Number of document delivery/inter-library loan requests satisfied: 457

#### 5.1.3 Archives:

Total number of metres of archives and manuscripts: 1230.44

Number of metres of archives and manuscripts added during 2019/20: 6.3

Number of items consulted from special collections: 396

#### 5.1.4 Collections expenditure:

Total collections expenditure in 2019/20: £ 813, 887.44

### 5.2 Annex B: Current systems

This annex details the current systems used to store and enable public access to the Library and Archives collections.

#### 5.2.1 Archive systems:

Calm supplied by Axiel is the Archival Management System. This stores bibliographical data on materials held in the collection, including descriptive data, accession information and the relevancy of the material to LSHTM. Digital reproductions of print material are also stored on Calm. Calm is still developed and maintained, and the current system is upgraded on a regular basis to the latest version. Calm View is the public catalogue interface which allows users to search for items within the collection.

AssetBank supplied by Bright Interactive is LSHTM's digital asset management solution. Content ranges from digital reproductions of historic printed material to born-digital images of recent LSHTM events, both internal and external.

#### 5.2.2 Library systems:

Alma supplied by Ex Libris is the Library Services Platform, which manages all aspects of the print and electronic collection. It contains metadata (including bibliographic records) of individual items and subscription packages to enable resource discovery and manages all fulfilment activity, including loans, requests and user information. Purchase data on new monographs and subscription and license details of new and renewed serials packages is also maintained within the system. Alma also acts as a link resolver and knowledge base for electronic resources.



Leganto supplied by Ex Libris is the Library Reading List Software.

### 5.2.3 LAORS systems:

Primo supplied by Ex Libris (branded as Discover) is the LAORS Resource Discovery Layer. This enables users to search across a multitude of resources from a single search interface.

### 5.2.4 Institutional repositories:

LSHTM Research Online (based on the ePrints platform and supported by CoSector-University of London) is the repository for research publications produced by LSHTM. It contains metadata on all articles published by LSHTM staff, including information on citations, licensing, dates of submission and links to full text where available. The repository also contains metadata and full access, where available, to research degree theses, as well as some monograph chapters and conference papers.

LSHTM Data Compass (based on the ePrints platform and supported by CoSector-University of London) is the repository for information relating to data sets created by LSHTM. It contains metadata on the research data, including research project, descriptions, file types, creators, mandates associated with the data, and links to both internally and externally hosted data sets.

## 5.3 Annex C: Current criteria for loan periods and number of copies purchased

This annex details the current criteria used to determine loan periods for physical books and the number of copies purchased.

### 5.3.1 Criteria for designation of loan periods for print monographs:

Two-week loan is the default loan period for all print monographs.

One-week loan is used for print items listed on a reading list, whether they are recommended or essential. When the item is removed from a reading list its loan period reverts to the default two-week loan. Marked with a sticker on the front cover of the book.

Overnight loan is used for print items listed as essential (or not optional) on a reading list. If the item remains on a reading list but is no longer listed as essential, its loan period reverts to one-week loan. If the item is removed from a reading list its loan period reverts to the default two-week loan. Marked with a sticker on the front cover of the book.

Reference is used for a) one copy of all items on a reading list (when the item is removed from a reading list its loan period reverts to the default two-week loan); b) reference texts such as dictionaries, encyclopaedias, atlases, etc.; c) items which are very expensive and therefore only one copy can be purchased; d) rare books and rare pamphlets (any item published before 1900 or item from very small print runs or which are not listed in any other library on COPAC/NBK). Reference items are marked with a yellow spine label and a sticker on the front cover of the book.

### 5.3.2 Criteria for number of copies of reading list texts to be purchased:



Items marked as essential or recommended in Leganto:

1 x one-week loan copy for every 30 students, up to a maximum of 3 copies

1 x overnight loan copy

1 x reference copy

1 x e-book

If no e-book is available:

1 x one-week loan copy for every 30 students, up to a maximum of 5 copies

1 x overnight loan copy for every 30 students, up to a maximum of 3 copies

1 x reference copy for every 30 students, up to a maximum of 3 copies

#### 5.4 Annex D: Context

This annex details the context in which LAORS develops and manages its collections.

##### 5.4.1 Strategic context:

LSHTM's mission is to improve health and health equity in the UK and worldwide; working in partnership to achieve excellence in public and global health research, education and translation of knowledge into policy and practice.

LAORS contributes to LSHTM's mission and underpinning strategy by supporting the five main areas of activity: High-quality, Relevant Research, High-quality Education, Talented, Diverse & Inclusive Staff & Student Community, Strong National and Global Partnerships, and Innovation and Engagement.

##### 5.4.2 Financial context:

As part of LSHTM's annual planning round LAORS submits a budget proposal which includes funds for the provision and preservation of materials. This is typically 51% of the total LAORS budget and takes into account the higher rate of inflation for journals and databases in the STM subject areas to ensure that LAORS can continue to acquire materials at a similar rate each year.

Applications for external funding are made to enable additional activities to be carried out, usually the conservation and preservation of the historical collections, when relevant calls from funders are issued. Philanthropic funding is also sought.

Changes in the external environment and/or growth in new research areas may result in the need for additional expenditure in excess of the annual budget. Such changes are considered carefully by the LAORS Management Team, with input from academic colleagues as appropriate. If a strong need is apparent, then a business case is made as part of LSHTM's annual planning round.

##### 5.4.3 Historical context of the collections:

It is thought that a library was established at the original London School of Tropical Medicine in its earliest days following its foundation in 1899. The first edition of the Library Catalogue, printed in 1904, lists 373 volumes, including 17 periodicals and four yearbooks. Throughout the years the Library has benefited from the addition of items from other library collections. In 1920 the Library of the London School of Tropical Medicine was merged with that of the Tropical Diseases Bureau, and following the creation of the London School of Hygiene & Tropical Medicine in 1924 the libraries of the Society of Medical Officers of Health and the Ross Institute were also incorporated



during the 1930s. The Library collections therefore represent the development of the fields of global and public health over more than a century.

The Archive collections consists of material donated by former staff members and students and also tropical medicine and public health professionals related to LSHTM. The Archives are housed within the Library, and it is presumed that collections were donated along with Library material since the establishment of the original London School of Tropical Medicine in 1899. A professional archivist was first employed in 2002 to develop and manage the service. Before this time there had been some arrangement and cataloguing, but the majority of the material needed appraising, repackaging and cataloguing to international standards. LSHTM's archives document the history, functions and development of LSHTM since its establishment in 1899, and consist of the administrative papers of LSHTM, research and personal papers of prominent individuals employed by LSHTM, and deposited material of individuals with connections to LSHTM who were significant figures in the establishment and development of tropical medicine and public health.

#### 5.4.4 General trends in learning, teaching and research:

The distance-based learning programmes at LSHTM are well established, and experimentation with new modes of online delivery of teaching via OERs and MOOCs is ongoing. In addition, there is widespread use of the Moodle virtual learning environment for both face-to-face and distance-based teaching. The COVID-19 pandemic has had a significant impact on the provision of resources, resulting in electronic items taking full priority over print in order to provide material in a remote working / study setting. Research at LSHTM continues to engage in new and developing areas relating to global and public health and actively works in interdisciplinary and multidisciplinary ways, recognising that these can be highly effective.

These developments in the delivery of teaching and shifts in academic focus will impact on the collection management activities of the LAORS, and clear communication channels with educators and researchers need to be maintained in order to ensure the collection continues to meet the needs of LSHTM.

#### 5.4.5 General trends in publishing and scholarly communication:

The volume of published materials grows every year, and no single library can collect comprehensively in a given subject area. Collaborative approaches and use of technology are essential to ensure as complete access to relevant material as possible. The marked shift from paper-based to digital-born publishing continues to increase. This presents opportunities and challenges in the management of materials. Access is at once both easier and more complex due to the plethora of systems and routes that must be navigated in order to find and use the material. Ownership of digital-born materials is often less clear-cut than that of printed items, and the rise of predatory publishing brings its own challenges with regard to quality.

The transition towards fully open access research publications, replacing payment at point of access (or acquisition) with payment at point of publication, continues. An increasingly hybrid approach has developed which impacts on traditional subscription and purchasing models as well as the management of materials acquired via these mixed models. Transformative (Read & Publish) agreements for eJournal content are now widespread. Emerging trends, including the increasing number of institutions establishing their own online University Press, the development of the UK Scholarly Communications Licence, and adoption of Plan S by UK funders also have the potential to widen access to academic content further.



#### 5.4.6 Reciprocal arrangements and collaborative collection development:

LAORS operates within a national and international network of libraries and archives. LSHTM's Bloomsbury location means that there are many world-class research collections within close proximity. This proximity of world-class physical collections will be considered when making decisions about acquisition, retention and withdrawal, balanced against the need for remote access to digital versions (something which is not usually offered by libraries to visitors) and the trend toward the downward management of print collections across the sector.

LAORS works closely with national, regional and local consortia to ensure efficient collection management and collaboration where appropriate, and to maximise access for members of LSHTM to collections held elsewhere. The support for internationally significant research provided by LAORS and the value of the collections is widely acknowledged.