

Library & Archives Service

Collection Management Policy



1 Overview

1.1 Purpose of the policy

This policy provides a framework for developing and managing the collections held by the Library & Archives Service (LAS). It takes into consideration the strategic and financial context within which LAS operates, the wider landscape, and the historical significance of the collections (outlined in Annex A). The policy seeks to provide an agreed set of principles which inform decision making on acquisition, retention, preservation and disposal of material within the collections.

1.2 Responsibilities and reviews

The management of the collections is led by LAS staff and requires input from academic staff in order to be successful.

The policy will be reviewed by the LAS Management Team on an annual basis. On a triennial basis it will be presented to the Senate Executive Group for approval. The triennial updating will be informed by consultation with the academic body, via Faculty and Departmental meetings.

Statistics relating to the collection (outlined in Annex B) are reviewed and updated each year as part of the SCONUL statistical return.

2 General principles

The LAS will manage, develop and preserve collections of materials in appropriate formats in public health and global health, in support of the School's position as a world leader of research in these fields. 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 (eg due to old technology formats) this may not be feasible.

New acquisitions to the Archives and the Library's historical printed collections will usually only be made if collections with a clear link to the School become available. Consideration will be given to the resources available within LAS to catalogue, store and preserve collections of material before any agreement is made to acquire it.

The majority of materials are in the English language, although seminal works in other languages may be collected and retained if they are not readily available elsewhere.

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 Libraries, and catalogued to RDA standard (all records created prior to July 2015 are catalogued using AACR2).

3 Selection and acquisition of material

The selection of materials relies on the input of academic staff. This needs to be timely and to take into account the resources required to make materials available. Suggestions for new stock are welcomed from users.

3.1 Purchased material

The priority for 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 D and the budget available.

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 will be purchased as the budget permits.

The priority for serials (journals and report series) purchasing is maintaining existing subscriptions. All serials subscriptions are in electronic-only format where possible. 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.

New serial subscriptions will be taken out for titles that support the School's research 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.

Electronic access to serials will be provided via a direct internet connection (i.e. without the need to use a remote access connection) and subscriptions will not usually be taken out if the title does not provide such access.

3.2 Donated material

Donations of materials will only usually be accepted where they are relevant to the existing collections. Exceptions may be made for seminal works that are no longer current, but which complement the scope of the collections.

Donations that duplicate existing stock will not usually be accepted, except in the case of current editions of essential text books or where the Library's own copy is in poor condition.

Donations are accepted without obligation to the donor on the understanding that upon receipt ownership of the material passes to LAS. 'Permanent' or 'Indefinite' loans will not be accepted. For the avoidance of doubt, LAS may dispose of donated items as set out below if the material falls out of scope of the collection.

Processing of donated items may take longer than for purchased items, as the latter will be given priority.

Significant collections of donated material will only be accepted if accompanied by resources to make them accessible to users.

3.3 Archival material

Archives are 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.

Archival material that meets the selection criteria will usually be accepted, regardless of format, providing LAS 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.

Archival collections will usually be sourced from within the School, 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 the School. 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.

4 Organisation, storage and access to material

Books within the Library collections are classified according to the Barnard Classification Scheme for Medical Libraries, 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.

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 LAS can be consulted by all users, and the majority may be borrowed by eligible users, according to the assigned loan status.

LAS 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. Archival materials and the Reece Collection and Historical Collection (consisting primarily of books) are housed in the Secure Room, and may only be consulted under supervision and may not be borrowed by individuals.

Physical materials 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 LAS.

Recommended readings for face-to-face (F2F) students and all readings for distance learning (DL) 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 LAS staff. The scans of materials held in the Digital Content Store are created in accordance with the School's licence from the Copyright Licencing Agency.

Electronic PhD Theses and MSc Project Reports submitted by members of the School are stored on School network drives and made available via LSHTM Research Online, the School's institutional repository, and/or Primo, the LAS resource discovery layer (branded as Discover) as appropriate.

Post-review pre-published versions of scholarly papers authored by members of the School that have been deposited with LAS are stored on an external server hosted by CoSector (University of London) and maintained by LAS staff, and made available via LSHTM Research Online.

Images and items in other media formats produced by the School are stored on a virtual School server and made available via AssetBank, the School's digital media management solution.

Embargoes may be in place for some digital or paper-based materials e.g. if the content includes sensitive data.

LAS has a number of management systems that relate to the collections (outlined in Annex C).

5 Conservation and Preservation

Preservation refers to actions and activities which reduce or prevent damage, in order to

extend the life expectancy of collections. Conservation refers to the treatment of an individual item to repair damage.

Physical materials are stored in the most appropriate environment available. Archival materials and the Reece Collection and parts of the Historical Collection (consisting primarily of books) are housed in the Secure Room with regular monitoring of temperature and relative humidity. The School strives to conform to environmental standards as recommended in *PAS 198:2012 Specification for managing environmental conditions for cultural collections*.

LAS is a contributor to the UK Medical Heritage Library, a project which produces high-definition scans of nineteenth-century medical monographs which are then made available under a creative commons license. Users wishing to consult the historical collections are encouraged to view the digitized versions unless their research requires them to view the physical object. This minimises damage due to handling.

Archival collections are packaged in preservation quality enclosures and boxes to ensure their long term preservation. Researchers consulting material from the Archives or 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.

Basic repairs of printed monographs and serials published post-1899 are undertaken by trained LAS staff. Print journals are sent for professional binding. Conservation requirements of archival materials and monographs and serials published pre-1900 are assessed by senior LAS staff and prioritized as the urgency of treatment and budgets allow. Specialist conservation and preservation advice and services are provided through membership of the National Conservation Service.

LAS 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 (eg a catastrophic technical failure of a publisher's systems resulting in loss of access or content) to ensure continued access to content. LAS 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.

6 Retention, withdrawal and disposal

The vast majority of materials are acquired for long-term retention. However, to keep the collections current and to maintain adequate shelf space for new acquisitions, materials will be routinely reviewed. Assessment of items for withdrawal is made by senior LAS staff and, where appropriate, advice is sought from relevant academic staff.

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 LAS becomes unable to provide proper care for them. In this instance, a suitable, alternative repository will be sought to house them.

Resources published after 1899 may be assessed with a view to removal if they are a superseded edition, they are duplicate copies, they are no longer relevant to the long-term interests of the School's teaching or research, surrogates are available (this applies particularly to print journals where they can be replaced with suitable electronic titles) or they are in poor physical condition. The rarity, intrinsic value and institutional value will also be taken into account. There is a strong presumption against the disposal of material accepted into the archives. However, LAS 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 or material not relevant to the School's collections will be offered to other repositories.

6.1 Methods of disposal

Where possible, an ethical reselling company is used to dispose of withdrawn items. Proceeds are used to maintain or develop the LAS 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.

Where stock is not suitable for resale or to be offered elsewhere it will be recycled in an environmentally responsible way.

Agreed by LAS Management Team: March 2015

Agreed by Faculty Management Groups: April 2015

Approved by Senate Executive Group: May 2015

Reviewed by LAS Management Team: August 2016

Reviewed by LAS Management Team: August 2017

Reviewed by LAS Management Team: October 2018

Annex A. Context

Annex B. Current statistics

Annex C. Current systems

Annex D. Current criteria for loan periods and number of copies purchased

Annex A. Context

This Annex sets out the wider environment and context within which LAS operates which have a direct bearing on the management of its collections.

1. Strategic Context

The School'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.

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

2. Financial Context

As part of the School's annual planning round LAS submits a budget proposal which includes funds for the provision and preservation of materials. This is typically 51% of the total LAS budget¹ and takes into account the higher rate of inflation for journals and databases in the STM subject areas in an effort to ensure that LAS can continue to acquire materials at a similar rate each year. The actual budget allocated to LAS for the year is determined by the School Council Finance & Development Committee.

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.

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 LAS Management Team, with input from academic colleagues as appropriate. If a strong need is apparent then a business case is made as part of the School's annual planning round.

3. Audience

The LAS audience is primarily the staff and students of the School, both those based in

¹ The remaining 49% is split, 44% on staffing and 5% on systems

London and those working or studying away from the School, including in the MRC units in Uganda and The Gambia.

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.

The historical collections have a particularly important role in the School's public engagement strategy and in addition to the above may also be used by school children and the wider public attending events or interacting with School.

4. Historical context of the collections²

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 the School. The Archives are housed within the Library, and it is presumed that collections were donated along with Library material since the establishment of the School 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. The School's archives document the history, functions and development of the School since its establishment in 1899, and consist of the administrative papers of the School, research and personal papers of prominent individuals employed by the School, and deposited material of individuals with connections to the School who were significant figures in the establishment and development of tropical medicine and public health.

5. General trends in learning, teaching and research

There is continuing expansion of distance-based learning programmes at the School, and experimentation with new modes of online delivery of teaching via OERs and MOOCs which is

² Based on Barnard, C.C. (1947) History of the Library. London School of Hygiene and Tropical Medicine (University of London) Incorporating the Ross Institute: London

likely to grow. In addition, widespread use of the Moodle virtual learning environment for both face-to-face and distance-based teaching is well established.

There is an ongoing increase in the number of social scientists at the School, as well as other groups of researchers working in developing areas relating to global and public health. The School continues to seek to work in interdisciplinary 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 LAS, and clear communication channels with educators and researchers need to be maintained in order to ensure the collection continues to meet the needs of the School.

6. 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 full impact of the open access publishing movement which seeks to replace payment at point of access (or acquisition) with payment at point of publication is still not yet known. However, 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. Emerging trends, including the increasing number of institutions establishing their own online University Press, the development of the UK Scholarly Communications Licence, and announcement of Plan S by UK funders also have the potential to widen access to academic content further.

7. Reciprocal arrangements and collaborative collection development

LAS operates within a national and international network of libraries and archives. The School's Bloomsbury location means that there are many world class research collections within close proximity. This proximity of world-class physical collections will be taken into account 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.

LAS works closely with national, regional and local consortia³ to ensure efficient collection management and collaboration where appropriate, and to maximise access for members of the School to collections held elsewhere. The support for internationally significant research provided by LAS and the value of the collections is widely acknowledged.

³ These include the Society of College, National and University Libraries (SCONUL), the M25 Consortium of Academic Libraries, and the University of London Libraries Access Agreement

Annex B. Current statistics

This annex details the current statistics relating to the collections as reported to SCONUL as part of the annual statistical return for 2016/17 (returned January 2018)

1. Library stock

Total catalogued print stock: 60,539

Number of additions to print stock during 2016/17: 2,348

Total number of eJournals provided: 3,562

Total number of eBooks provided: 460

Total number of full text items held in the institutional repository available externally: 11,784

2. Library loans and full text requests

Number of loans of print material: 9,225

Number of full-text downloads from eJournals: 538,377

Number of section requests from eBooks: 267,724

Number of document delivery/inter-library loan requests satisfied: 882

3. Archives

Total number of metres of archives and manuscripts: 1,178

Number of metres of archives and manuscripts added during 2016/17: 1

Number of items consulted from special collections: 393

4. Collections expenditure

Total collections expenditure in 2016/17: £945,707.70

Annex C. Current systems

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

1. Archives 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 the School. Digital reproductions of print material is 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 the School's digital asset management solution. Content ranges from digital reproductions of historic printed material to born-digital images of recent School events, both internal and external.

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 fulfillment 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.

3. LAS systems

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

4. Institutional repositories

LSHTM Research Online (based on the ePrints platform and supported by CoSector) is the repository for research papers produced by the School. It contains metadata on all articles published by School 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 PhD theses, as well as some monograph chapters and conference papers.

LSHTM Data Compass (based on the ePrints platform and supported by CoSector) is the repository for information relating to data sets created by the School. 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.

Annex D. Current criteria for loan periods and number of copies purchased

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:

- 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.
- reference texts such as dictionaries, encyclopedias, atlases, etc.
- items which are very expensive and so we only purchase one copy.
- Rare books and pamphlets. These are classed as any item published before 1900 or items from very small print runs or items which are not listed in any other library via COPAC.

Marked with a yellow spine label and a sticker on the front cover of the book. Reference items in closed stores may need to be checked against the catalogue to verify loan period.

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