

Collection Management Policy

Mission Statement:

To provide an efficient and effective service for all of the processes involved in the life cycle of the Library's collections. These include the acquisition, cataloguing & classification (including retrospective conversion), book processing, collection care, document supply, stock management, and logistical planning and relegation of the Library's printed, microform, audiovisual and electronic collections.

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1. Aims of the Collection Management Policy	3
2. Acquisition of Content	3
a. Purchasing and Licensing	3
What do we purchase?	4
(i) Books	4
(ii) Journals	4
(iii) Databases and other electronic resources	4
(iv) Special Collections.....	4
How do we purchase?	4
Monitoring and Financial Control	5
Licensing	5
b. Document Supply.....	5
c. Donations.....	6
3. Resource Discovery and Access	6
a. Cataloguing and Classification	6
b. Uncatalogued Collections.....	7
c. University of Manchester Theses.....	7
d. Special Collections.....	8
(i) Printed Books	8
(ii) Manuscripts and Archives.....	8
4. Stock Management.....	9
a. Stock Management Principles	9
b. Location of Printed Stock.....	9
c. Retention and Disposal.....	10
Methods of disposal	11
d. Stores	11
e. Special collections	11
(i) Printed books	11
(ii) Manuscripts and archives.....	12
5. Collection Care.....	12
a. Principles of collection care.....	12
b. Handling & Transportation.....	13
c. Storage	13
d. Exhibitions and loans for exhibitions.....	13
e. Disaster preparedness	14
f. Collections preservation	14
g. Preservation treatments	14
6. Performance Indicators	15
7. Glossary	16

1. Aims of the Collection Management Policy

This document lays out the policy framework in which the Collection Management division of the Library operates. The policy covers all aspects of Collection Management, is intended to be a living document which will evolve as demands on Library services change and will be reviewed on an annual basis. It derives its context from the Library's strategy document "*New Directions*" and been constructed in parallel to the Library's *Content Development Policy*.

The Collection Management division is structured to provide the best use of resources, both in terms of staff and finances. Our staff have a high level of expertise and experience in collection management issues and are committed to delivering the best possible Library services to our customers. We are also keen to explore opportunities for partnerships and collaboration at local, regional, national and international levels both to improve services and to promote the Library.

The staff in the Collection Management division of the Library provide an efficient and effective service enabling the Library's collections to be accessed in the best possible ways, encompassing all types of material from electronic access to the most modern scientific research to the conservation of rare and valuable items. Collection Management division is responsible for:

- Purchasing all new stock on behalf of the Library's Faculty Teams. Purchases are made within the framework of the Library's *Content Development Policy*
- financial monitoring and analysis of the Library's content budget
- cataloguing, classifying and processing of Library stock
- thesis binding service
- document supply service
- stock management across all Library sites
- Library stores
- preservation and conservation of Library materials

2. Acquisition of Content

The Library purchases material or access to material in the most appropriate and cost effective way, to support and advance teaching, learning and research throughout the University.

a. Purchasing and Licensing

What do we purchase?

(i) Books

The choice of format is on the basis of availability, access and appropriateness to the user, and value for money. Print is sometimes the only (or preferred) option, but e-books will be purchased where they give better value and access, for example, textbooks in high demand and major reference works.

(ii) Journals

The electronic version of a title is preferred over the printed option as this offers the advantages of remote access and saving space. E-journal packages can be beneficial in terms of the range of titles and value for money but consideration is given to length of the deal, licensing and archiving. Preference is given to packages via national deals which give remote access.

(iii) Databases and other electronic resources

The Library looks to increase the digital resources it offers while ensuring value-for-money in our purchasing. Preference is given to networked resources over standalone datasets.

(iv) Special Collections

Printed Special Collections material is acquired primarily through gift or purchase and other than in exceptional circumstances is not accepted on deposit. The Library acquires manuscripts and archives by gift, purchase and indefinite deposit; preference is given to gifts. The Library's acquisitions procedures for rare items are in line with customer needs and the particular requirements of antiquarian purchasing.

How do we purchase?

- The Library ensures that there is a proper balance between books, serials and databases and allocates resources in a strategic and accountable way which best serves the resource needs of the University.
- Funds for the purchase of information contents are allocated to discipline areas and special collections and managed through collaboration between staff in Collection Management, Research and Learning Support and Special Collections.

- Collection Management staff regularly communicate statements about the content budget to fundholders for the purposes of financial management. The budget is managed in the cost-effective and flexible way in order to respond quickly to changing user needs and demands.
- The Library maximises purchasing power via partnerships (national and international) such as the national Joint Consortia Book Agreement which provides significant discounts on new purchases. We are also actively investigating new purchasing models.
- Via our participation in consortial purchasing agreements we seek to influence publishers and suppliers to increase the number and range of e-books and purchasing models (bundles, individual titles and individual chapters) to ensure value for money.

Monitoring and Financial Control

- The Library is committed to rigorous financial controls, data gathering and reporting mechanisms.
- We use performance indicators to measure the effectiveness of our suppliers and to ensure that we are achieving cost benefits via consortial purchasing.

Licensing

We carry out analyses of licences, access/authentication issues and usage statistics continually to ensure that our digital collections best support current and future learning and research needs. Licence conditions are enforced through the use of authentication and user management.

b. Document Supply

The Library provides access to content not held in the Library's collections through a subsidised Document Supply service for all eligible users through:

- Unmediated document supply to the desktop through an online requesting and delivery system
- Service points in all the major Library sites
- A "deliver" service for distance learners
- Material is loaned out whenever feasible (excluding Special Collections items).
- If material cannot be loaned photocopies or digital scans will be supplied where ever possible.

We proactively develop existing and new services to meet customers' needs and expectations and monitor service level agreements through performance indicators.

We also maintain and develop links with regional, national and international networks as a means of providing the best possible service to our customers. Access to the Library's collections is widened through the provision of an inter-lending and document supply service to other libraries in the UK and abroad.

c. Donations

The Library has historically benefited from donations of individual items and collections and continues to welcome offers of further gifts and donations in line with its content development and collecting policies. The Library considers the following factors in determining the acceptance of gifts:

- Academic value - does the collection have academic value to teaching and research in the University or have intrinsic value
- Importance - is the collection of local, national or international importance
- Collection care - is the material of a suitable physical standard to be added to the Library's collections
- Cataloguing - is there the resource to catalogue the material and what level of priority should be given to it
- Stock management - is there appropriate space to store the material Gifts are accepted on the condition that any duplicates or unwanted material may be disposed of according to Library policy.

3. Resource Discovery and Access

Access to information content through the Library's catalogues supports the research and scholarship, teaching and learning priorities of the University. Where possible we integrate discovery and delivery, enrich content, and improve search and navigation tools to expose our collections.

We provide a range of tools to assist users in locating and accessing relevant content and seek to reduce the number of interfaces needed, thereby creating a simplified search experience.

We will produce a digitisation strategy to clarify our priorities and workflows for digitisation of both core texts and materials which are out of copyright.

a. Cataloguing and Classification

Through the provision of an easy-to-use online catalogue customers are able to discover and access the high-quality resources held in the Library:

- Direct and immediate access to digital content via the online catalogue including e-books, journals and databases.

- Provision of high quality descriptive bibliographic data for both printed and digital resources.
- Comprehensive and accurate description of collections to meet modern research needs and to widen access to the wealth of our collections.
- Rigorous adherence to bibliographic standards to:
 - i. Permit interoperability with other services at local, national and international level
 - ii. Widen access to collections by exporting records to national databases e.g. COPAC, SUNCAT, ESTC
- Provide subject access and analysis both through the application of traditional classification schemes and innovative methods like text mining

b. Uncatalogued Collections

The Library has a significant amount of material which is uncatalogued or is only accessible through the card catalogue or printed lists. Work to catalogue the collections, including Special Collections, is done in-house by existing staff or by externally funded retrospective conversion projects where possible. External funding for collections in this cataloguing programme will be sought, especially where collections have potential for digitisation. Partners for collaborative cataloguing projects are also sought where appropriate.

In line with the Library's strategic aims a list of the uncatalogued collections has been compiled to increase the awareness of these collections. Information about the history, extent and content of uncatalogued collections is being collated and will be made publicly available. Costs of retention, conservation and cataloguing will be estimated for all of the collections on the list. Those collections on the list which have been evaluated as containing significant material will form the basis for an ongoing cataloguing programme. Information about the programme will be made available on the Library website to increase awareness of our cataloguing priorities.

c. University of Manchester Theses

The Library will retain an archival copy of all research theses and other dissertations of value to the University community at the Joule Library. All unique items are held centrally at the Joule Library and are for reference only. Theses and dissertations in the collections are catalogued onto the online catalogue to the minimum bibliographic standards required to allow full interoperability with other systems.

Electronic University of Manchester theses and dissertations held in the institutional repository *Manchester eScholar* will have accompanying metadata created to accepted international and

national standards, to allow for interoperability of the record. Records for theses and dissertations held in the institutional repository will be made available on the computer catalogue with hotlinks to the full-text of the thesis.

Electronic versions of some Manchester theses can also be found in the British Library's EThOS database. EThOS offers a central 'hub' comprising an e-store and a digitization suite at The British Library site in Boston Spa, Yorkshire. The hub automatically harvests e-theses from Institutional Repositories, and the service digitizes paper theses from participating institutions to offer the single point of access where researchers the world over can access doctoral theses produced by UK Higher Education.

d. Special Collections

(i) Printed Books

Pre-1801 material is catalogued to AACR2 and DCRM(B) standards, and held in MARC format, in accordance with international standards. Where appropriate, new acquisitions are reported to ESTC, ISTC or other ongoing external bibliographies.

The Library aims to be a regional centre of excellence for antiquarian cataloguing practice. A rolling programme of collection surveying aims to produce detailed collection-level descriptions for all core primary collections which are not recorded on the online catalogue.

(ii) Manuscripts and Archives

The Library aims to become a centre of excellence in the documentation of manuscripts and archives. Staff with responsibility for manuscripts and archives will implement documentation practices in an integrated and co-ordinated manner. We aim to catalogue all archives in EAD adhering to all relevant national and international standards. Catalogues are made available online via ELGAR and the Archives Hub and we aim to integrate these catalogues with other Library search tools. We seek to address the significant backlogs of unlisted archive and manuscript collections by means of a cataloguing programme.

Digital surrogates of Special Collections materials are accessible on-line through a digital image management system. Each digital image is catalogued to international standards enabling cross-collection searching and data exchange.

4. Stock Management

The challenge for university research libraries is to manage the demand for further shelving and storage space while ensuring that the Library continues to collect material to support world-class research and teaching. The Library's materials are working collections and are regularly evaluated to ensure that they are meeting the needs of the University. There are two important factors enabling almost all university research libraries to re-evaluate their use of stock and space; firstly the availability of electronic resources means that there is no longer the need to retain large print runs of journals; and secondly the acute shortage of space for storage means that libraries are assessing their print collections far more carefully. This latter issue is a particular problem for JRUL where in some parts of the Library finding space for new materials has become a critical problem.

a. Stock Management Principles

The Library aims to organise its modern printed stock on the following lines:

- Open shelves: material of relevance to the current teaching and learning and/or research needs of the University
- Stores: less-used stock, material of potential relevance to future needs of the University, or material of historic importance
- Special Collections: material of local, national and international importance in line with the Library's *Content Development Policy*.

There is an ongoing programme of review for library stock to ensure shelving on open access which is under most pressure is used sensibly. We also look to collaborate with other libraries and institutions to ensure that we have a strategic approach to collection building.

b. Location of Printed Stock

General principles:

- The library aims to house the printed material required for teaching and learning purposes in open access in the most suitable location in the Library system.
- Material required for current research is, as far as possible, housed in open access space or made available in an electronic format. Material in low use will normally be located in Store.

- Current journal titles and recent content will be located on open shelves in the relevant collection.
- The Library will review its provision of audio-visual materials and microform materials and a suitable location for both collections and for reader spaces will be provided
- With the exception of certain discrete named collections, all pre-1801 printed material is located at Deansgate. Secondary supporting material which directly supports primary collections held at Deansgate is located at Deansgate.
- Material may be moved within the library system when and where appropriate

c. Retention and Disposal

The pressures on stock and space, and also the need to maintain a working collection of library materials on the open shelves mean that, on occasion, material is identified for disposal. It is important that any material selected for disposal is carefully assessed and we are mindful that it is the strength of our collections which lead to our recognition as a major UK research library and enhance the University of Manchester's reputation.

The Library uses the following criteria as a guideline to assess our holdings (the criteria will be adapted for each subject area in consultation with the Library's Faculty Teams and academic staff as appropriate):

- Relevance to current research and/or teaching and learning within the University
- Potential relevance to future research and/or teaching and learning within the University
- Level of usage
- Duplication within the Library
- Rarity
- Availability of electronic equivalents where appropriate
- Accessibility of other copies (e.g. loans from other libraries)
- Intrinsic value
- Physical condition

- Items which need to be retained under the terms of the Copyright Licensing Agency (CLA) Higher Education Basic Scanning Licence

Stock for disposal will be identified by Collection Management staff with the assistance of staff from other areas of the Library. The relevant Faculty Teams and Special Collections staff will be consulted for their agreement on stock transfer to Store, Deansgate or disposal.

Methods of disposal

Material selected for disposal will be dealt with in one of the following ways:

- Making use of charitable organisations to sell material on our behalf and divide income between the charity and the Library
- Selling to legitimate booksellers
- Giving away to another library, a charity or similar organizations
- Disposing of using an environmentally responsible method

All proceeds from sales will be used to either catalogue existing material which would not otherwise be made available or to purchase new library materials.

d. Stores

The open access areas of the Library are full and so heavy use is made of Library stores. These stores are located in three different places - in the same building as the library; on campus; off site. Where possible material in store is housed in a location most relevant to its likely use, which is primarily in the Main Library. Material from any Store is normally retrieved and made available within a 24 hour period. The location of material in Stores, and the usage of this material, are under constant review.

e. Special collections

(i) Printed books

Collection Management staff are responsible for managing all printed Special Collections, including those associated with the Methodist Archive and Record Centre.

These collections encompass:

- All material printed prior to 1851, irrespective of location, with the exception of printed material located within archive collections.
- All secondary printed reference material located at Deansgate.
- Discrete, named, printed Special Collections, irrespective of date of printing.
- Printed materials or collections deemed regionally, nationally or internationally significant, irrespective of date of printing.

(ii) Manuscripts and archives

The Manuscripts and Archives team within Special Collections are responsible for managing the Library's manuscript and archive collections. However, they liaise closely with Collections Management staff and colleagues responsible for printed collections. All manuscripts and archives are housed either at Deansgate or in the University Archive and Record Centre at the Main Library. Manuscripts and archives are subject to oversight by The National Archives and in some cases enjoy statutory protection. The Library subscribes to TNA's Standard for Record Repositories, which lays down standards for acquisition, management, access and storage of such materials. There is a strong presumption against the disposal of any manuscripts or archives.

5. Collection Care

The role of the Library's Collection Care department is to enable access while prolonging the life of the Library Collections and minimising the risk of damage.

a. Principles of collection care

- Our general policy is to preserve and maintain the integrity of the items contained in the Library to the highest professional standards. This includes the historical, textual, pictorial and physical content of the items and takes into account the rarity of the material, access requirements, and physical condition.
- The Library adheres to the principles for the preservation and conservation of library materials of the Preservation Advisory Centre (PAC) and International Federation of Library Associations

(IFLA). Material in original format will be preserved for as long as possible and access will be provided to original and surrogate formats as appropriate. Material with intrinsic value will be preserved in original format in perpetuity.

- We will be a centre for advice and expertise in the North West Region and beyond by implementing a programme of remedial conservation for Library special collections and establishing collaborative research projects and training initiatives focusing on materials within the collections

b. Handling & Transportation

- The Library encourages correct handling of collections by staff and users and the Collection Care Department provides training and advice on handling collection materials to all relevant staff and provides handling guidelines for users.
- Recognising that photocopying is a major source of damage to Special Collections printed materials, restrictions apply to the copying of at risk materials and guidelines have been developed for the safe copying of other materials.
- Collection Care procedures ensure that materials in transit to, from or within its buildings, or on loan for exhibitions are well protected and carefully handled.

c. Storage

The preservation of collections will be ensured through the use of appropriate storage facilities. This includes correct environmental conditions following the recommendations of BS5454, where appropriate, and ensuring the correct housing and protection of individual items while in storage using materials of the highest conservation quality.

d. Exhibitions and loans for exhibitions

- The Library includes preservation considerations in determining the selection of items and the frequency and duration of their use for exhibition purpose, or for loan for exhibition to other institutions. Material will be prepared for exhibition and displayed in accordance with accepted national and international standards.

- Borrowing institutions are required to comply with the Library's guidelines for exhibitions through the signing of a condition of loan agreement with the Library.

e. Disaster preparedness

The Disaster Recovery Team is responsible for ensuring that contingency plans and procedures are in place to prevent, react to and recover from emergency situations that may have an adverse effect on the Library collections. Details of disaster preparedness, asset recovery and prevention procedures are available in the Library's Disaster Plan.

f. Collections preservation

The Library believes that ongoing and routine collection maintenance will reduce the likelihood of serious damage to its collections.

Collection maintenance includes:

- Monitoring the condition of its collections on an continual basis and taking action to replace, treat, or reformat, as appropriate, individual items identified as being damaged.
- Using appropriate containers - boxes, sleeves, wrappers and similar materials to protect collections.
- Maintaining cleanliness in the storage areas and endeavouring to clean collections on a systematic basis using appropriate methods.
- We are working towards a digital preservation strategy to underpin the long-term retention of digital material.

g. Preservation treatments

- Preservation treatments are undertaken to prolong the life of material by conservation, or the creation of surrogates when collection material is at risk, damaged or deteriorated. All treatments are undertaken to recommended professional standards and all materials used in the preservation and conservation process will be of the highest conservation quality and will comply with British Standard recommendations.
- All conservation treatment will be of minimum intervention and will be sympathetic, leaving the integrity and originality of the item unchanged. Each item will be individually assessed and conservation limited to what is necessary for its long term

stability and expected use. A conservation record of all treatment undertaken is maintained and is made available on request.

The Preservation and Conservation staff work to the European Confederation of Conservators Organisations (ECCO) Guidelines and abide by the ECCO code of ethics.

- The Library applies preservation standards for materials and procedures where they already exist and actively supports research and development of new national and international standards. The Library supports scientific and technical research to address problems encountered in the preservation of library and archive material.

6. *Performance Indicators*

Key performance indicators provide valuable information which enables the Library to evaluate the quality, competitiveness and value for money of its services. Within Collection Management we will continually monitor performance in order to provide an efficient and effective service through meaningful performance indicators. We will select indicators that will provide transparent and regular comparisons for our internal processes and disseminate these regularly to our customers to show our contribution to the Library's strategic objectives.

- We will identify Key Performance Indicators to benchmark our performance against other research libraries.
- We will gather qualitative and quantitative statistics through consultation with our customers, including focus groups and feedback on the quality of our services. We will also use established benchmarking procedures such as the Preservation Advice Centre's benchmarks in collection care.
- We will fully automate our statistical gathering routines to assist with information provision both locally and nationally.
- We will provide regularly updated Key Performance Indicators to assist library management decisions relating to resource allocation, evaluation of services, cost effectiveness and collection relevance. These figures will be appropriate to the type and format of material acquired.
- We will keep our Key Performance Indicators under review and research and evaluate other methods of measuring our performance.

7. Glossary

AACR2

Anglo-American Cataloguing Rules, Second Edition. AACR2 is designed for use in the construction of catalogues and other lists in general libraries of all sizes. The rules cover the description of, and the provision of access points for, all library materials commonly collected at the present time.

Archives Hub

A national gateway to descriptions of archives in universities and colleges. It provides a single point of access to 23,501 descriptions of archives held in 184 UK repositories, whilst also being one part of the UK's National Archives Network, alongside related networking projects.

www.archiveshub.uk

BS5454

This British Standard states the "Recommendations for the storage and exhibition of archival documents". Among other things, it specifies temperature and humidity ranges for document storage, shelving schemes, and materials for document containers.

COPAC

Copac is a freely available library catalogue, giving access to the merged online catalogues of many major UK and Irish academic and National libraries, as well as increasing numbers of specialist libraries.

copac.ac.uk/

Copyright Licensing Agency (CLA) Higher Education Basic Scanning Licence

CLA licences for education provide institutions with the comprehensive coverage and rights that staff and students need to be able to use and share published information without the fear and cost of infringing copyright.

DCRM(B)

Descriptive Cataloging of Rare Materials (Books). Rare books often present situations not ordinarily encountered in the cataloguing of the usual modern book (e.g., evidence of cancelled leaves) and may require details of description beyond what is required for the more ordinary book in order to identify significant characteristics (paper, type, etc.).

EAD

Encoded Archival Description is based on ISAD(G), [General International Standard Archival Description], the international standard for the description of archives, and has been adopted internationally as the standard encoding system for online finding aids. It is an encoding standard for machine-readable finding aids such as inventories, registers, indexes, and other documents created by archives, libraries, museums, and manuscript repositories to support the use of their holdings.

ELGAR

Electronic Gateway to Archives at Rylands is the JRUL's spoke on the Archives Hub.

www.manchester.ac.uk/library/archives/

ESTC

The 'English Short Title Catalogue' (ESTC) is a comprehensive, international union catalogue listing early books, serials, newspapers and selected ephemera printed before 1801. It contains catalogue entries for items issued in Britain, Ireland, overseas territories under British colonial rule, and the United States. Also included is material printed elsewhere which contains significant text in English, Welsh, Irish or Gaelic, as well as any book falsely claiming to have been printed in London. The database contains nearly 470,000 entries, and represents the holdings of some 2,000 libraries world-wide.

estc.bl.uk

ETHOS

Electronic Thesis Online Service. The aim of EThOS is to offer a 'single point of access' where researchers the world over can access ALL theses produced by UK Higher Education, to support Higher Education Institutions through the transition from print to e-theses, to help UK Higher Education Institutions expand available content by digitising paper theses, and to demonstrate the quality of UK research and help attract students and research investment into UK HE.

ethos.bl.uk/

European Confederation of Conservators Organisations (ECCO)

Guidelines and the ECCO code of ethics:

www.ecco-eu.org/about-e.c.c.o./professionalguidelines.html

Institutional Repositories

An Institutional Repository is an online locus for collecting, preserving, and disseminating -- in digital form -- the intellectual output of an institution, particularly a research institution.

International Federation of Library Associations (IFLA)

The International Federation of Library Associations and Institutions (IFLA) is the leading international body representing the interests of library and information services and their users.

ISTC

Incunabula Short Title Catalogue. The Incunabula Short Title Catalogue is the international database of 15th-century European printing created by the British Library with contributions from institutions worldwide. The database records nearly every item printed from movable type before 1501, but not material printed entirely from woodblocks or engraved plates.

www.bl.uk/catalogues/istc/

JRUL - John Rylands University Library.

With more than 4 million printed books and manuscripts, over 41,000 electronic journals and 500,000 electronic books, as well as several hundred databases, the John Rylands University Library (JRUL) is one of the best-resourced academic libraries in the country.

Joint Consortia Book Agreement

A system of national consortium purchasing developed amongst the UK's higher education institutions. Consortia will typically negotiate a collective framework agreement with one or more suppliers.

MARC

The international standard of coding for bibliographic records.

www.loc.gov/marc/

Preservation Advisory Centre

The Preservation Advisory Centre supports the preservation of library and archive collections of all types through the provision of preservation management tools, training and information services.

www.bl.uk/npo/

SUNCAT

The Serials Union Catalogue for the UK research community is a free tool to help researchers and librarians locate serials held in the UK.

www.suncat.ac.uk

TNA

The National Archives is a centre of expertise in creating, managing and preserving official information. As the government's national archive for England, Wales and the United Kingdom, it holds over 1,000 years of the nation's records for everyone to discover and use.