



## Collection Management Policy

### Contents

#### [Executive Summary](#)

#### [Mission Statement](#)

#### [1 -Introduction](#)

[1.1 Purposes and Goal of Collection Development](#)

[1.2 Library Services covered by this document](#)

[1.3 Library Collection Development Budget Allocation](#)

[1.4 Responsibility for Collection Development within the Library](#)

#### [2 - Acquisition of Materials](#)

[2.1 Access to holdings](#)

[2.2 Collaborative Purchase and Access](#)

[2.3 Considerations not related to content](#)

[2.3.1 Formats](#)

[2.3.2 Print 'v' Electronic](#)

[2.3.3 General Criteria for Selection of Materials](#)

[2.3.4 Course Reading List Materials](#)

[2.3.5 Purchase of additional copies of course reading list materials](#)

[2.3.6 Purchase of materials in support of new courses or staff](#)

[2.3.7 Criteria for purchase of hardback / paperback](#)

[2.3.8 Out-of-Print Materials](#)



[2.3.9 Foreign Language Material](#)

[2.3.10 Date](#)

[2.3.11 Bias / Discrimination](#)

[2.3.12 Temporary deposits of material on loan](#)

[2.4 Donations](#)

[2.4.1. Criteria for the acceptance into the general library of material acquired by gift \(or exchange\)](#)

[Donation agreement form \(Library Services\)](#)

[2.4.2. University of Aberdeen Theses](#)

[2.5 Cataloguing and Classification](#)

**[3 - Stock Management](#)**

[3.1 Locations and Availability of Material](#)

[3.1.1 Heavy Demand](#)

[3.1.2 Closed access and remote stores](#)

[3.1.3 Remote / Co-operative Access](#)

[3.1.4 Inter Library Loan Service](#)

[3.2 Movements of material between locations and loan categories](#)

[3.3 Stock Control](#)

[3.4 Stock Checks](#)

[3.5 Returned Material](#)

**[4 - Collection Maintenance and Evaluation](#)**

[4.1 De-Selection of Materials](#)



Library  
Special Collections  
and Museums

[4.1.1 Criteria for Retention / Relegation / Discard](#)

[4.1.2 Disposal of De-Selected Materials](#)

[4.2 Replacement of Missing Materials](#)

[4.3 Conservation, Preservation and Restoration](#)

[4.3.1 Binding and Repair](#)

[4.4 Digitisation Policy](#)

**[5 - Role of Library Representatives](#)**

**[5.1 General Responsibilities](#)**

**[5.2 Spending the Collection Development Budget allocation](#)**

**[5.3 Procedure for Ordering Material](#)**

**[5.4 Inter library loans](#)**

**Appendix 1: Collection Policies for Schools and Subjects**

**Appendix 2: Special Collections Holdings**

**Appendix 3: Resource Allocation Model for Library Collection Budgets**

**Appendix 4: Preservation Issues**

**Appendix 5: Archive Collection Policy**

**Memorandum of Understanding - Collaborative Print Retention: a policy for Scotland**



## Executive Summary

The library's primary task is to collect, maintain, promote and provide access to relevant and representative information resources which serve the Library users and support their research, learning and teaching.

This collection management policy is a statement of a framework and set of parameters within which library staff and users work. The primary function of the collection management policy is to provide guidance to all staff when selecting and deselecting resources for the collection. The document serves as a guideline for each stage of materials handling and also provides a sound foundation for further collection development.

The Library will:

- Seek to ensure sufficient funding to support our [Mission Statement](#)
- Acquire materials to support Research, Learning and Teaching
- Prefer the most appropriate format, utilizing electronic provision where archiving and access policies are proved to be stable
- Purchase multiple copies to support Course Reading, subject to agreed criteria
- Purchase paperbacks in general preference to hardbacks
- Purchase without bias or discrimination, within the limits of legal compliance
- Accept donations only in specific circumstances
- Decide on appropriate locations for stock
- Relegate materials to store, following consultation
- Dispose of superseded works or outdated editions of works without scholarly or intrinsic value
- Ensure the security of the physical items
- Examine the stock on a regular basis
- Preserve materials for the future, conserving and repairing as appropriate

## Mission Statement

Library, Special Collections and Museums supports the University's ambition to be recognised locally, nationally and internationally as a broad-based university that delivers innovative and excellent teaching, learning and research.

Specifically, LSC&M will:

- Promote excellence based on our distinctive and internationally-recognised collections
- Encourage and support enquiry, research, study and enjoyment through innovation, collaboration and leadership,
- Anticipate and respond to changing user requirements and service need



# Collection Management Policy 1 - Introduction

## 1.1 Purposes and Goal of Collection Development

The growth and preservation of the University's library collections is a principal and strategic function of Library management. Collection development concerns the process of building and maintaining these collections in both print and non-print formats. The collections development process includes the assessment of need and the formulation of policies and procedures to support university business, together with budget allocation, materials selection, collection maintenance and evaluation, and resource sharing.

The primary goal of the Library's collection development programme is to build collections that both support the specific needs of current research, learning and teaching programmes, and underwrite the long term investment in scholarship that is critical to the University's success as an institution of higher learning.

The collection development policy described here reinforces the missions of both the University of Aberdeen and its Library Services: to serve the advancement of research, learning and teaching within the University by providing solutions to the information needs of clients through efficient, effective and innovative services. Exercising its responsibility to the research and teaching needs of Colleges, the Library recognises the need to manage appropriate collections and the provision of access to services that include electronic resources and document delivery.

The **Collection Development Policy** enables the Library to:

- work actively with Colleges, Schools and research centres to ensure that current and future needs and priorities are recognised
- provide consistency across the Colleges, Schools and research centres in policy governing the building of collections
- assign funding to priority areas where there is demonstrated demand
- manage effectively the considerations and constraints of available space
- identify needs for access to resources through methods of provision other than print

The Policy will be reviewed periodically (at least every 3 years OR in alignment with Institutional Reviews) to ensure that it takes account of the changing circumstances, needs and priorities of University business.



## 1.2 Library services covered by this document

Although operating as one integrated service, the University library is functionally divided into two main units. This document, unless otherwise stated, refers to the general library, operating from the Queen Mother Library, Taylor Library and the Medical Library. Special Libraries & Archives (SLA), which has responsibility for the University's older printed books and extensive archive collections, is covered in Appendices [2](#) & [5](#). [Appendix 4 \(Preservation\)](#) refers to the collections of both the general library and SLA.

## 1.3 Library Collection Development Budget Allocation

The Library Collection Development Budget is the budget from which books, periodicals and electronic information resources (online databases, CDs, etc) are purchased. The Resource Allocation Model (RAM) used currently was agreed by University senior management on 6th June 2001 and reviewed in 2005, having been developed to provide flexibility in linking resource allocation directly to the changing demands of research, learning and teaching. Its principal components are:

- A central fund for the purchase of subscriptions to multidisciplinary electronic resources. See [Appendix 3](#)
- A small Subject Development Fund to support development in research excellence and/or the introduction of new teaching programmes
- A formula-driven allocation to academic units (Schools, Institutes, etc.), based on teaching needs/student numbers and research profiles, using the ratio applied for the SHEFC teaching and research grants (80:20), and adjusted by a series of weightings. See [Appendix 3](#)

Using the RAM, allocations to Colleges are made from the Library's Collection Development Budget towards the end of the preceding academic year. Subsequent discussions with the individual College Heads will produce a more detailed set of allocations at School or sectional level. These allocations are communicated to Schools as soon as this information is available.

Throughout the academic session, nominated [Library Representatives \(LRs\)](#) within Colleges/Schools are responsible for ensuring that spending from allocated funds is planned and regulated, ensuring the effective use of this resource in meeting both research and teaching needs, and bearing appropriate recommended last order dates in mind (end of April for ordering journals, end of May for monographs). LR's receive regular feedback from the appropriate [Information Consultant \(IC\)](#) on the status of their particular funds throughout the session.

Key factors in managing the Library Collection Development Budget:



- Beyond the May recommended last order date for monographs, requests will continue to be processed, so long as funding is available within the Collection Development Budget. However the University Library is responsible for the management of this budget and is required to close the financial year on target.
- While Schools are largely responsible for recommending the ordering of Library resources, Library staff cannot progress orders if these are not placed in accordance with the principles laid out in this policy.

## 1.4 Responsibility for Collection Development within the Library

### *The University Librarian*

- In consultation with the academic community, defines and implements policies and strategies for the development and management of the Library's information resources, covering print and other media, including their selection, acquisition and retention/disposal, cataloguing, preservation and conservation, storage and security, exploitation and promotion. This is done in liaison with the library management team.
- Directs and co-ordinates the work of those persons responsible for collection management operations by setting objectives, allocating tasks and agreeing priorities.
- Formulates and implements policies and strategies for the management and utilisation of Library space, including determining allocations for storage and display of Library materials.
- Builds effective relationships with prospective donors, sponsors grant-awarding bodies and other external contacts, and represents the Library's interests in the wider academic and professional community.

### *Head of Special Collections*

- Defines and implements policies and strategies for the management and development of collections in SLA, including acquisition, cataloguing, preservation, storage and security, exploitation and promotion.
- Promotes access to, and use of, the University's special collections of older printed books, archival and manuscript holdings and actively pursues related academic and outreach activities.
- Builds effective relationships with prospective donors, sponsors, grant-awarding bodies and other external contacts, and represents the Library's interests in the wider academic and professional community.

### *Technical Services Manager*

- Analyses collection building activities in the general library to ensure the development of a balanced collection
- Liaises with Information Consultants regarding the development of general library collections to ensure adequate support for the University's research, curriculum and new programmes
- Formulates policy documentation in collaboration with the Librarian and other appropriate colleagues as necessary



- Develops RAM in consultation with institutional colleagues, reviewing mechanisms in use in other institutions
- Produces monthly reports of expenditure and commitments
- Analyses spending patterns

#### ***Library Collections Co-ordinator***

- Manages all aspects pertaining to major stock relocation projects in the general library:
- project management and planning
- oversees the actual physical moves of stock within and between sites
- ensures that all related re-processing is successfully completed within appropriate timeframes to keep disruption to services to a minimum.

#### ***Information Consultants***

- Advise academics and librarian, and recommend appropriate materials, particularly online resources
- Liaise with academics regarding development of collections appropriate to their research and teaching
- Liaise between partners in the purchase of cross-School or College resources





## Collection Management Policy 2 - Acquisition of Materials

### 2.1 Access to holdings

In consultation with the academic community, the Library will determine the optimum method of access to information resources, including:-

- Purchase of/subscription to physical materials, in a variety of formats, to be maintained within the Library's collection
- Collaborative purchase of/subscription to physical materials to be held at another location but available on unrestricted access or free (at point of use) Inter-Library Loan
- Purchase of/subscription to access remote electronic information resources
- Collaborative purchase of/subscription to access remote electronic information resources
- Gift or deposit of material in any format
- Document delivery or inter-library loan

### 2.2 Collaborative Purchase and Access

The Library may enter into collaborative agreements with other institutions to acquire material. Reasons include:-

- Items with a cost that is too great for a single institution to justify
- Where a joint application for funding is made to acquire the material
- When the physical format (e.g. size or preservation requirements) cannot be accommodated at Aberdeen without the provision of special facilities
- Where the resource is provided electronically and accessible remotely

In all cases, appropriate and guaranteed levels of access and service will constitute an integral part of any purchase agreement.

The Library currently participates in several access schemes which facilitate physical access to collections of other libraries and, occasionally, borrowing privileges. See the Library's web pages,

### 2.3 Considerations not related to content

#### 2.3.1 Formats

Material will be acquired in a range of formats, including printed and electronic monographs and journals, sound and video recordings, and multimedia, according to the following criteria:

- known/predicted user demand
- appropriateness to user requirements for access to information



- availability/cost of alternative formats
- availability/cost of essential enabling equipment/facilities
- accessibility
- licensing arrangements
- capability of technology to support the format
- the Library's ability support the format
- ability of the e-resource to provide statistics of use for evaluation purposes
- life cycle, costs and value
- overall cost-effectiveness

### 2.3.2 *Print 'v' Electronic*

- The Library makes resources available in electronic format wherever it is advantageous to do so.
- New CD-ROMs will only be acquired where no suitable (in terms of cost or content) Web version is available.
- Web versions of existing CD-ROMs will be preferred, where possible.
- It is Library policy to opt for full-text delivery of electronic journals and other materials, whenever possible. Where licensing arrangements are deemed acceptable, Web-only access will be considered for full-text resources.

### **Monographs**

Electronic books will be acquired where possible and where the content is appropriate to curricular/research need. Many books will continue to be acquired in printed format in the short to medium term. Alternative media accompanying books (e.g. a CD-ROM) will be made available and supported where this is technically and legally feasible.

### **Journals and databases**

Both Journals and Abstracting and Indexing services (databases) will be made available electronically wherever possible, in consultation with Colleges / Schools, and journals will be provided electronically, except where this format is found to be inappropriate by the recommending College / School. Factors governing the selection of format will depend on the nature of user demand, requirements for use, archival facilities / methodology, licensing arrangements, and technology compatibility.

### **Reference works**

These may be acquired in electronic format, depending on availability, cost, and appropriateness of format to the anticipated type of use.

### **Exam papers**

- A Web-mounted database of exam papers provides access to a 5 year rolling collection of examination papers.
- 1 paper copy of each exam paper received is lodged in Special Libraries & Archives for archival purposes, and made available for reference only.



- Coverage, in either electronic or printed format, is not comprehensive, since only those exams papers provided by the Schools are made accessible by the Library.

### **2.3.3 General Criteria for Selection of Materials**

Some of the following criteria will usually be applied by Library Representatives when considering material for inclusion in the Library collection.

- Price/relative cost of material in relation to the budget and other available material
- Relevance to the curriculum or research activity and appropriateness to the user
- Timeliness and lasting value of content
- Reputation of the author, issuing body, and/or publisher
- Presentation (style and clarity)
- Aesthetic considerations
- Literary, artistic, or social value
- Appeal to the imagination, senses, or intellect
- Special features of unique value
- Local interest e.g. Pictorial representations; bibliography.
- Physical and technical quality
- Suitability of content to form
- Strength of present holdings in the same or similar subject
- Need to increase holdings in subjects where titles are deemed inadequate
- Demand, frequency of inter-library loan requests for material on the same or similar subject

### **2.3.4 Course Reading List Materials**

#### **Monographs**

- Schools will be responsible for ensuring reading lists are accurate and up-to-date and for advising the Library of their content and any changes.
- Following receipt of up-to-date reading lists from Schools at least 1 copy of essential items cited on reading lists will be made available in the Heavy Demand collection.
- Space constraints may make it difficult or impossible to accommodate all requests for multiple copies in Heavy Demand. Under such circumstances the HD Supervisor will liaise with School contacts.
- The Library will move items in and out of Heavy Demand, informed by the usage statistics.

#### **Off-prints**

- Journal articles and book chapters are made available within Heavy Demand.
- All copying is made in accordance with the provisions of the Copyright, Designs and Patents Act 1988, and takes into account any special agreements made with appropriate bodies (e.g. the Copyright Licensing Agency).

- In cases where the offprint content is not available from the Library's collections, copyright-fee cleared copies are requested through the Inter-Library Loans service. Schools are expected to pay all related costs.

### ***2.3.5 Purchase of additional copies of course reading list materials***

In general, the Library will buy

- 1 copy per 20 students, up to a maximum of 25 copies
- where the School indicates that students are required to purchase personal copies of the text, 1 copy per 30 students

For multiple copies, 1 copy will usually be placed on Standard Loan, with the remainder on 3-day loan, unless addition of copies for Heavy Demand is specified.

Library staff undertake to relocate material according to demand on copies.

Subject to the maxima above, these levels of provision are guidelines and dependent on a number of factors, such as the level of demand, cost, alternative forms of access. They may also vary among subject areas/Schools.

### ***2.3.6 Purchase of materials in support of new courses or staff***

To enable an element of flexibility, each academic session a percentage of the Library's materials fund (usually 5%) is allocated to pump-prime new initiatives i.e. in support of new academic staff, new courses, etc. A maximum upper value is indicated to Schools at the start of the bidding round.

A bidding process is undertaken within Schools and submissions for funding are prioritised by the Colleges, with advice from the appropriate Information Consultant.

Prioritised submissions are then considered by the Librarian and monies allocated.

Submissions can be made for one-off purchases of electronic resources.

### ***2.3.7 Criteria for purchase of hardback/paperback***

Printed books are usually purchased in paperback format, except where the paperback versions are known to be of inferior quality with limited life.

Paperbacks are laminated (usually done by the suppliers before delivery) to make them more sturdy and durable, unless urgent access to the resource is required through Heavy Demand.

Hardback format is usually preferred in cases where:

- This format has been specified by the requester for valid reasons



- The hardback is not significantly more expensive than the paperback
- The resource being purchased is a reference item
- The item merits retention in perpetuity

Book jackets are usually discarded for new material going into current collections, unless they contain unique or useful information that has been noted in the catalogue record, in which case they will be laminated or otherwise protected. Book jackets are retained on books accommodated in Special Libraries and Archives.

### ***2.3.8 Out-of-Print Materials***

Monograph funds should primarily be spent on purchasing current publications of long-term worth. On request, and subject to funding availability, it may be possible to fill gaps in the collections with large-scale purchase of retrospective material but such material is often out-of-print, rare and/or difficult to obtain.

### ***2.3.9 Foreign Language Material***

Foreign language material is bought only to support specific research and teaching interests, on the recommendation of the Library Representative.

### ***2.3.10 Date***

Works will be acquired irrespective of date if they are relevant to teaching/research interests, and where they accord with the other specified selection criteria.

### ***2.3.11 Bias/Discrimination***

Works will be acquired irrespective of source and/or content if they are relevant to teaching/research programmes, and where they accord with the other specified selection criteria, within the limits of legal compliance.

### ***2.3.12 Temporary deposits of material on loan***

- Personal copies of material may be deposited temporarily within Heavy Demand in support of teaching: these are normally included in the catalogue.
- Requests to deposit for borrowing personal materials elsewhere within the library will generally be refused, although the merits of each request will be evaluated before a final decision is taken.



## 2.4 Donations

### 2.4.1. Criteria for the acceptance into the general library of material acquired by gift (or exchange)

Items or collections will only be accepted on the clear understanding that the Library may subsequently select individual items for retention or disposal as it deems appropriate. Items not required may be sold and the proceeds applied to the acquisition of other materials for the Library.

- Material should be of recognised scholarly significance.
- On the basis of current teaching/research priorities, the material should have actual or potential use.
- Material may be accepted because of its rarity
- Material may be accepted where authorial bias provides unique contextual value (eg in explaining national/religious thinking).
- The item offered is in better condition than an existing Library copy and the content is still topical
- On the basis of known or anticipated demand, additional copies of the title would be useful
- Items that fill gaps in the Library's holdings, particularly back-runs of print journals. (School donations can be particularly useful in this respect).
- Material that is significant to the heritage of North and Northeast Scotland and/or Scotland nationally; also material that has strong associative links to the University or its Library.
- Free CD-ROMs, or other media, shall only be accepted if they meet the above criteria and can be supported technically.

In very rare cases, material which does not meet the criteria above, will be accepted if there is a significant public relations case for doing so.

### [Library Services Donation Agreement Form](#)

### 2.4.2. University of Aberdeen Theses

All research postgraduate theses produced by students of the University of Aberdeen will be retained in the Library, one electronic copy, one print copy for reference. Theses generated on taught Masters programmes will generally not be retained.

## 2.5 Cataloguing and Classification

Information resources acquired by the Library will be recorded in the Library Catalogue (some donated collections await completion). All resources in the catalogue are described to internationally agreed standards for bibliographic description, principally AACR2 (*Anglo-American Cataloguing Rules, Second Edition*), and are held in MARC21 (*MACHine Readable Cataloging for the 21st century*) format to facilitate the exchange of data with



Library  
Special Collections  
and Museums

other libraries and agencies. Subject Headings using the Library of Congress Subject Headings standard are added for all materials. Authority control is maintained for author and subject names following the Library of Congress Name Authority File headings.

Non-electronic materials held in the Library are mostly assigned a shelfmark based on the Dewey Decimal Classification scheme, except for Special Libraries and Archives materials. Electronic materials are not all individually catalogued but where this is the case the same standards apply. These materials are not normally assigned a Dewey-based shelfmark.





## Collection Management Policy 3 - Stock Management

The Library caters for variation in demand and type of use of library materials by a number of methods:

- Initial mode of acquisition/access (e.g. printed or electronic, shared purchase with remote access, Inter Library Loan).
- Library locations at sites appropriate to users' needs: the University Library and Taylor Law Library in Old Aberdeen, Medical Library at Foresterhill, Reid Library at the Rowett Institute of Nutrition and Health.
- Alternative locations for material: Heavy Demand, closed access and remote stores, Special Collections Centre.
- A range of loan periods: Long Loan (sessional loan), 4-week loan, 3-day loan, Heavy Demand (overnight until 10.30 a.m.), 24-hour loan, Reference, Supervised Consultation.

The Library will allocate material to and move it between these locations and categories according to demand and access needs, sensitivity / content, intrinsic value, and security and conservation requirements.

### 3.1 Locations and Availability of Material

The majority of the library's stock is located on open access in the University Library and Taylor Law Library in Old Aberdeen, and at the Medical Library at Foresterhill.

#### 3.1.1 Heavy Demand

- Heavy demand is an over-night only loan service, created to ensure swift and fair access to limited resources
- Academic staff must specify which titles they wish to make available through Heavy Demand

Multiple copy orders will be allocated to 3-Day Loan, with one copy on Standard Loan, unless otherwise indicated on the book order information or specific School-wide instructions are received.

#### 3.1.2 Remote Closed Access Stores

These facilities accommodate material with low use levels in one or more of the following categories and has usually been placed there following consultation with the academic community:

- material matching a particular cut-off date
- material that currently has low potential for teaching/research
- is not available for browsing
- has restricted use conditions



- does not need preservation in a special environment

### 3.1.4 Remote / Co-operative Access

For printed or non-networked electronic material in one or more of the following categories:

- is owned by a consortium and housed at one of the member sites
- belongs to one institution that grants special rights to members of another

### 3.1.5 Inter Library Loan

Material not suitable or available for purchase.

## 3.2 Movements of stock between locations and categories

The Library will assign stock to, and move it between, appropriate locations and categories of availability. It will also work according to agreed mechanisms whereby lesser-used works – e.g. those with little scholarly or intrinsic value – can be withdrawn, and works no longer relevant to this University but of use to others can be suitably relocated through transfer or sale.

Stock in the general library will be accommodated and moved between locations and categories according to the criteria specified below. Subject/School-specific collecting policies will override these guidelines where agreed with the Librarian. Material moved to closed-access areas will be fully catalogued to ensure it is properly accessible on the OPAC.

STOCK TYPE	ACTION
Currently-purchased paper-based subscription serials or series	OPEN SHELF
Works not borrowed for a period of time (depending on subject area) but which are in areas of teaching/research interest	STORE
Duplicate copies of works that are no longer recommended course reading	DISPOSAL
Superseded works/outdated editions of works of scholarly/intrinsic value	STORE (1 copy)
Superseded works/outdated editions of works without scholarly/intrinsic value	DISPOSAL

Damaged works of scholarly interest/value that cannot be replaced or repaired	SCC or STORE
Low-use works in repairable condition but not of sufficient value to repair	STORE
Works permanently replaced by alternative media	DISPOSAL TO BE CONSIDERED
Out-of-date material of an ephemeral nature	SCC OR DISPOSAL
Periodicals without current subscriptions, not consulted for a period of time (minimum 5 years), and no longer of teaching/research interest. Applies particularly to incomplete or short runs titles	DISPOSAL OR STORE
Duplicate periodical issues, once the periodical has been bound or no longer 'at risk'	DISPOSAL

### 3.3 Stock control

General library materials are marked with appropriate security tagging devices and buildings provided with equipment to read such tags, so as to ensure the safe retention of the physical item. Library buildings will be maintained, by the University's Estates department, so that the internal environment does not conflict with the preservation of the library stock. See [Appendix 4](#)

### 3.4 Stock checks

General library stock will be inspected on a regular basis, not less than once in five years, to ensure its security, cleanliness and condition. Damaged materials will be repaired if the conditions at [paragraph 4.3.1](#) are met.

### 3.5 Returned items

Items returned from loan or consultation will be re-shelved within a maximum of 48 hours from return.



## Collection Management Policy 4 - Collection Maintenance and Evaluation

### 4.1 De-selection of materials

De-selection involves removal of materials from current collections in the general library to storage/for disposal and from storage to disposal (eg sale, transfer). Large-scale de-selection exercises will only be undertaken following consultation with the academic community, having regard to patterns of teaching and research interest. Where usage warrants, items can also be returned from storage to the current collections.

#### *General criteria*

- Material of current research and teaching interest will be retained.
- Material no longer of current research and teaching interest, but with the potential to be of future teaching/research interest, will be moved to storage.
- Material with no past, current or potential teaching/research interest will be disposed of.
- The Library will continually monitor stock. Members of senior library staff have responsibility for conducting de-selection in their areas of collection responsibility, in close liaison with academic colleagues.
- All monograph material for disposal will be checked by Special Libraries and Archives staff.
- All serials for disposal will be checked by Special Libraries and Archives staff and the Serials Manager.

#### *4.1.1 Criteria for retention*

The consideration of materials for retention will usually encompass one or more of the following:

- Current and future research and teaching needs
- Usage
- Known to be needed for reference and consultation
- Rarity
- First editions
- Private Press materials
- Provenance
- Value/rarity of item as physical artefact
- College input
- Research Assessment Exercise / Conspectus input
- Geographical area
- Local (North-East of Scotland) interest, including items with a strong University/University Library association/provenance
- Needs of community/locality/region
- Material retained under co-operative or contractual obligations e.g. European Union documentation
- On-campus or local resources; co-operative collection agreements; resource sharing



- Size of existing collection
- Currency
- Reputation of work
- Relevance
- Inter-disciplinary interest
- Subject area
- Format

### *Criteria for relegation to store*

Consideration of materials for relegation to store will usually encompass one or more of the following:

- Usage - items that have not been borrowed for a subject-specific period or time may be relegated, unless they meet other criteria for retention, eg classic texts.
- Date
- Language
- State of repair
- Availability in alternative formats
- Electronic availability
- Currency
- Reputation of work
- Relevance

### *Criteria for disposal*

#### Monographs

- Duplicates will be disposed of, except in cases of continued high demand, known usage or where the Library holds rare copies.
- Superseded editions without research interest, but
  - in the arts, if several editions of a work are held, one copy of each edition will be retained
  - in the social sciences, sciences and medicine, at least the earliest and the latest editions will be retained except where other editions are relevant to the development of ideas.
- Materials available in electronic format (where future loss of archiving would not be disastrous)
- Materials available within a co-operative store
- Non-English language, where this is not of relevance to the subject
- State of repair - materials which cannot be repaired, rebound or replaced and for which the cost of preservation exceeds the usefulness of the information contained
- Availability in alternative formats
- Electronic availability
- Availability via Electronic Document Delivery/Inter Library Loan
- Currency



- Reputation of work
- Relevance

## Serials

Only if the serial run is established to be duplicated elsewhere within Scotland (i.e. “last copies” will be retained) will the run be disposed of.

- Incomplete and short runs of a title will be withdrawn to storage or for disposal on the recommendation of appropriate Library staff, and with the agreement of the Serials Manager
- Titles which contain information that is not useful in the long-term (e.g. newsletters) will usually have automatic discard patterns established (such as, “current year only to be retained”)
- Annuals, biennials, and regularly updated editions of directories, almanacs etc will be de-selected depending on the value of the information contained in earlier editions, and the existing library holdings. One or two older editions may be retained in circulating collections.
- Duplicate issues of periodicals and journals are usually discarded when a volume has been bound, unless heavy usage indicates a need for duplicates.

### 4.1.2 Disposal of de-selected materials

Practices to dispose of materials withdrawn from the collection are prioritised:

- Exchange with or donate the materials to other libraries/institutions
- Sell to legitimate book-dealers if the stock is of an appropriate nature
- Sell through library book-sale
- Give away
- Discard by recycling

[Guidelines for the disposal of older unwanted material](#) are available.

## 4.2 Replacement of Missing Materials

Where items have been lost or irreparably damaged while on loan, a charge for replacement will be made and the item replaced where possible. If the item is out-of-print, a more recent edition or a text of similar content will be acquired. Where items are reported as missing from the shelves, staff will make repeated searches in all possible locations. If the item remains missing, it will be recorded as such in the catalogue. Items which have been missing for over two years are considered for replacement by the relevant Information Consultant: earlier replacement may be made on request. These replacement items are funded from the Library’s Replacement fund. If no replacement is possible or desirable, the catalogue record will be deleted.



### 4.3 Conservation, Preservation and Restoration

See [Appendix 4](#)

#### 4.3.1 Binding and Repair

The University Library will undertake repairs to damaged Library stock, where the value of the item warrants such intervention (e.g. where the Library owns multiple copies a paperback book, it is unlikely that a damaged copy would be repaired, or where the cost of repair is greater than the cost of a new copy).

To ensure long term preservation, paper-based journals that are not replicated electronically will be bound.

### 4.4 Digitisation Policy

The Library will, where appropriate, provide surrogates of vulnerable or frequently used material, through microform, digitisation or other means. – see [Appendix 4](#)



## Collection Management Policy 5 - Role of Library Representatives

### 5.1 General Responsibilities

The main purpose of a Library Representative (LR) is to serve as the liaison point between the College, School or Section and the appropriate [Information Consultant \(IC\)](#). Wherever possible, the aim is to ensure that:

- Information flows smoothly and efficiently both ways between the Library and the School
- The Library has sufficient, timely, information to support the School's research and teaching activities
- Information is communicated to users in the Schools and comments/suggestions from students/academic colleagues are fed back to the IC
- Initiatives by the Library are supported and encouraged within the School.

A summary of the LR's main tasks is given below, although the intention is to be illustrative rather than prescriptive. As internal procedures vary widely across Schools, practice will differ considerably.

Responsibilities include:

- co-ordinating and prioritising orders for new purchases, both books and journals
- allocating materials funds between teaching and research
- monitoring the state of the School's library allocation to ensure its efficient use
- co-ordinating School recommendations on relegation/withdrawal of stock
- advising the Library re purchase of multiple copies of student texts, particularly those on reading lists
- submitting School requests for purchases from the Subject Development Fund
- reviewing journal expenditure annually, co-ordinating cancellations and new subscriptions
- attending meetings of Library-related groups
- ensuring ICs are aware of, and invited to, appropriate staff/-student meetings
- ensuring that ICs receive notifications of new or revised courses
- communicating School's opinion (staff and student) to the Library and the College Library Committees
- notifying ICs of new staff members within the School and new research interests/teaching methods

### 5.2 Spending the Collection Development Budget allocation

The LR has delegated responsibility for the Library Collection Development Budget allocation to their particular School or Section. The School can recommend materials in all formats in accordance with this policy's guidelines. Materials purchased through this fund must be located physically within one of the University's site libraries. Colleagues must order materials through the LR. Library staff will only process those orders which are authorised by the LR. Each LR is required to deposit with Library staff a specimen



signature (to fulfil the requirements of the Library's auditors), plus a password so that orders can be made through the appropriate web-mounted forms. The LR is supplied with a monthly statement of monies spent to date, plus a list of what has been ordered and those orders completed. A Library Guide [Spending your Library Collection Development Budget Allocation](#) is available.

### 5.3 Procedure for ordering material

Information about how to order material, including electronic order forms, can be found on the [Ordering Library Material](#) pages

**Books, journal back runs and electronic databases** can be ordered in a variety of ways:

- Hand-written order cards
- By using the [electronic book order form](#)
- submission of an annotated publisher's catalogue with the LR's signature attached
- a typed list with full bibliographic details

Use of the [e-form for new journal subscriptions](#) is mandatory

Recommending [electronic resources](#) which are on a subscription basis must be done on the web

The cost of expensive books – currently defined as over £50 – can be shared with other Schools. This should be investigated/arranged through the appropriate IC(s).

### 5.4 Inter Library Loans

For those Schools that have purchased vouchers for Inter-Library Loan requests, the LR may also be responsible for co-ordinating distribution of the vouchers. Again, monthly statements are provided which detail number of requests made and a balance of funds available to spend. Each School is responsible for arranging internal authorisation procedures. A library guide [Inter-library Loan and Document Delivery Services](#) is available.





## Collection Management Policy - Appendix 1: Collection Policies for Schools and Subjects

This information relates only to materials in the general library collections, and not to items held in the Special Collections Centre (for which, see Appendices [2](#) and [5](#)).

Broadly, material will be collected in any format that supports teaching, learning and research at the University, usually on the recommendation of academic staff. Individual Departments and Subjects may request a departmental-specific variance to these policies where these do not conflict with the overall aims of building a collection that will support both present and future generations of Library users.

For example, the **School of Education** currently applies the following policy to their **Teaching Resource Centre collection**, very much a current, contemporary resource with no archival role:

*1. All resources in the Teaching Resource Centre are of the type found in schools, used by students whilst preparing material for school experience, or materials for the application of theories or concepts. For example*

- *Children's books*
- *Posters and artefacts*
- *Photocopiable resources*

*2. The Teaching Resource Centre should not be considered as a 'store' for out of date material. The Centre will be dynamic - reflecting the needs of Education students, and not a 'historic' resource.*

*3. A library representative will be responsible for the Teaching Resource Centre budget. S/he will authorise all requests and manage the budget. The library rep will also be responsible for contacting groups of staff based on the curricular areas for requests. All students will also be advised (through a fact sheet about the resource) that the TRC Committee welcomes suggestions for orders from them. The committee was formed to oversee the modernisation and maintenance of the resource. The committee will advise library staff on the suitability and relevance of recommendations and library staff in turn will advise on resource management.*

### Relegation Policies for Schools and Subjects

In addition to the [Acquisition](#) and [Collection Maintenance](#) details outlined in the main document, relegation rules may differ between Colleges/Schools and are currently represented thus:



### College of Life Sciences and Medicine

- **Schools of Medicine & Medical Sciences** – pre-1860 material in Special Collections; Medical Library pre-1920 books in locked storage; older, lesser-used book material in Medical Library Lower Ground Floor stack; periodicals relegated from general open access to the open-access stack on a rolling five-year programme (currently displaying post 1995 items only); all other materials on general open access.
- **School of Biological Sciences** – pre-1860 material in Special Collections; for all subjects, lesser used books and pre-1970 print periodicals in Closed Access Store; all other materials on general open access..
- **School of Psychology** - pre-1860 material in Special Collections; lesser used books and pre-1970 print periodicals in Closed Access Store; all other materials on open access.

### College of Physical Sciences

- **All Schools** - pre-1860 material in Special Collections; lesser used books and pre-1970 print periodicals in Closed Access Store; all other materials on open access.

### College of Arts and Social Sciences

- **All areas** - pre-1840 material in Special Collections; lesser used books and pre-1970 print periodicals in Closed Access Store; all other materials on open access.
- **School of Law** – Most pre-1840 material in Special Collections, some in Taylor Library; some Official Publications with electronic availability are in Closed Access Store; print Official Publications collections are on open access in Taylor Library; all other materials on open access



## Collection Management Policy - Appendix 2: Special Collections Holdings

### Collection Management and Retention Guidelines

#### A. Management

Special Collections is currently responsible for the curatorship of

##### 1. Printed book collections

- [scientific and topographical books to 1860](#)
- books in other subjects, to 1840
- other important and rare books, 1860 to date
- over 40 discrete, named special collections of printed books, spanning the fifteenth to the twenty-first centuries

##### 2. Photographic collections, the major ones being

- George Washington Wilson Photographic Collection
- Aberdeen Harbour Board Collection

##### 3. Archival and manuscript collections

- Aberdeen University (institutional) archives; and those of its antecedent independent colleges (King's College and Marischal College)
- the records of families, individuals, estates, institutions and firms associated with the north and north-east of Scotland
- medieval manuscripts
- papyri and ostraca
- reference copies of Aberdeen University theses (which are lodged according to the regulations as stated in [Submission of Theses](#)).
- professional (teaching and research) papers belonging to Aberdeen University staff; and student notes/dictates
- collections of institutional and/or academic importance to the University of Aberdeen which belonged to, or were acquired by, and donated directly by or via the good offices of, members and students of the University

##### 4. Support collections

- a. a range of reference sources (manuscript, printed and electronic) to support the effective and efficient use of the collections; and relevant project and research activities
- b. the S Collection (on bibliography and the wider aspects of (western) print culture and manuscript production)



## B. Purposes of the collections

The fundamental *purposes* of the collections and resources under the immediate responsibility and curatorship of Special Collections are to

### **preserve and provide the resources necessary to:**

- a. strengthen, support and encourage the University's research, learning, teaching and outreach activities (SL&A will take particular note of statements of departmental and/or school and/or faculty research if/when available)
- b. stimulate new research, learning, teaching and outreach initiatives
- c. permit the effective undertaking of aspects of the University's administrative business, in so far as older institutional records may be called upon (e.g. student records, Edilis Committee, Court and Senate minutes, records relating to land tenure and lease)
- d. assist in the promotion of the University

the above (a-d) undertaken in a manner consistent with the University's Strategic Plans

and all subject to the department's overriding responsibilities.

Because Special Collections holds specialised collections of printed, archival and manuscript material of recognised wide scholarly importance, the department also has a recognised [responsibility to provide access to these resources to the broader higher education community](#).

### **C1. Development of the collections**

[‘The department cannot afford to be a warehouse, storing material in the pious hope that it may one day be used; nor can it be a treasure-house, indiscriminately accepting the rare and the beautiful. It is essential that the purchase, storage and administrative cost of every acquisition be justifiable in terms of its likely use’.](#)

The principle determining the development and growth of those collections (whether archives (of whatever format), manuscripts, or printed books) under the responsibility of Special Collections is that any acquisition (by purchase, gift, deposit, or transference from current collections) should:

- i. strengthen or support areas of research, teaching and outreach promoted (or to be promoted) within the University (including research on its own institutional history and development)  
(this may entail the acquisition of complete new collections, or the acquisition of material to enhance the strength of existing collections)

or



- ii. strengthen (by reflecting the research and teaching portfolio of the University) collections already frequently called upon as points of first referral, e.g. Local Collection

or

- iii. reflect the University's commitment to the preservation and appreciation of the cultural heritage of the region

or

- iv. reflect the role of the department as the University's official repository for its own older institutional records.

(for all of which, see [Section B](#), above.)

## C2. Consultation on acquisition

Minor, day-to-day, acquisitions will be made by the staff of Special Collections on the basis of professional assessments of the costs of acquisition (including, e.g. purchase price, cataloguing/listing, conservation and processing) and the value of the material to the University. Decisions on such acquisitions rest with the Head of Special Collections and the Deputy Archivist, in consultation with the Librarian if appropriate.

Academic staff, and/or appropriate committees, will be consulted on all major acquisitions (or deacquisition by transfer) for/from Special Collections. Where appropriate, liaison and consultation will also be conducted via the Information Consultants, and/or with senior staff of the Library.

Depending on the types of material to be acquired (e.g. not only documents but also equipment, specimens) it may also be appropriate to consult with one or more of the senior curators of the [University's museum collections](#).

Modern (University) institutional records are currently transferred to the curatorship of Special Collections after consultation with, and request from the University Secretary's Office.

Material is acquired by Special Collections on the basis that it will be expected to have long-term teaching, research or outreach uses within the University

Special Collections will respond sympathetically to requests from academic staff, students and other users to acquire material, whilst recognising the realities of constrained financial resources and limited space, but will also undertake broader consultation on such requests if necessary.

The acquisition of archival/manuscript material will, where appropriate, be undertaken in full consultation with, and in full recognition of, the statutory and otherwise determined



responsibilities of local authority archival repositories (e.g. [the statement on Archives Collection Policy of Aberdeen City Archives](#)).

#### **D. Accrual policies: printed books (summary)**

More detailed collection descriptions are available

##### **a. Chronological collections**

**Incunabula:** highly selective. (See, primarily, [C1.i above](#); also sect. [d.5](#), esp. d.5(v) below.)

**p:** highly selective (See, primarily, [C1.i above](#); also sect [d.5](#), below.)

**SB:** selective (See [C1.i-iii](#) above; sect [d.5](#) below.)

**SBL:** active (See [C1.i-iii](#) above; sects [d.3](#), [d.5](#) below.)

**LibR:** selective (See [C1.i & iii](#) above; sect. [d.5](#) below.)

*Note:* Staff in Special Collections monitor the appropriateness of the criteria for the *transfer* of material (see esp. sect [A1](#)(a-c)) above) from current collections to the curatorship of [Special Collections](#).

##### **b. Named collections**

**Bernard Lloyd Walter Scott Collection:** selective (See [d.5](#) i-iii(a) below)

**Bibliothek of Kirkwall:** highly selective (only if item(s) can be linked to the Bibliothek itself)

**Cairngorm Club:** selective (purchases made by the Cairngorm Club itself)

**Juvenile:** highly selective (by transfer, or donation only; and only if reflects the original parameters of the Collection (i.e. predominately nineteenth-century publications))

**Local:** selective (See [d.2](#) below; also [C1.iii](#) above).

**MacBean:** active (See [d.1](#) below)

**Marischal Museum:** selective (additions to stock determined by Marischal Museum staff)

**O'Dell:** selective (See [d.4](#) below)

**S Collection:** selective (See [A4](#) above)

**VL and VP Collections:** highly selective. Acquisition mostly by gift or transfer from current collections.

##### **c. Closed collections (no further accrual)**

Aberdeen University Press Printed Archive

Aldroughty House

Alford Mutual Improvement Association

Sir Alexander Greig Anderson

Barth

Biesenthal

Boyndlie

Brown-Lindsay

Chapman

Christ's College



Diocesan Library  
FL (Fixed Location)  
Gavin  
Gordon of Cairness  
Gregory  
Henderson  
Hilary Jenkins  
J. Murdoch Henderson  
Keith  
Lambda  
London Missionary Society  
Meldrum House  
Melvin  
Phillips Pharmacology  
Robinson  
Simpson  
Society of Friends  
Stationers' Hall Music  
Taylor Psalmody  
Theological Library  
Thomson of Banchory  
Thomson, Herald and King Pamphlets  
Watt  
Wilson

d. **Specifics**

1. Among collections of printed books, priority is given to the continuing development of the **MacBean Stuart and Jacobite Collection**, which should be maintained as comprehensively as possible, whilst exercising discretion with regard to reworkings of Jacobite history aimed at a popular readership.
2. **The Local Collection** should be maintained as a unit in Special Collections, and developed selectively, reflecting an academic interest in the history, topography, culture and administration of the North-East of Scotland.

In acquiring local literature, the department should, where appropriate, seek advice from academic staff. The department should continue to acquire major documents and publications reflecting the work or policies of local authorities.

The collection of certain classes of material, e.g. church magazines, community council publications, genealogical tools (e.g. indexes of parish registers, Census records microforms) is more appropriately handled by other agencies – in particular, local authority libraries and specialist family history organisations.

3. The **SBL Collection of pre-1801 material** printed locally will continue to receive a high priority.





Special Collections will give serious consideration to the purchase of

- texts (printed and MS) bound in the nineteenth-century 'Aberdeen Corner-Square' style
- other (post-1800) locally printed or published works important because of their design features or history of production

4. New works of lasting scholarly value on British (and especially Scottish) railways should be added to the **O'Dell Transport Collection**; and early-published material acquired, when possible, to enhance the value of the collection for academic research. Donations to the O'Dell Collection should only be accepted if they can demonstrably add academic value to the Collection.

5. **Additions to printed (chronological) collections** should be made only after they can be shown to:

i) meet an academic need within the University of Aberdeen

or

ii) support a research thrust within the University

or

iii) enhance existing, recognised research strengths within

(a) those same collections (e.g. printed editions of Ossian, Bishop Gilbert Burnet, or the works of members of the eighteenth-century Aberdeen Philosophical Society)

or

(b) other collections under the responsibility of Special Collections

or

iv) support archival collections, themselves the subject of active research work (e.g. printed editions of James Beattie)

or

v) have been previously owned by (an) individual(s) with significant associations (e.g. as student, teacher or as benefactor) with the University of Aberdeen (or its antecedent colleges).





6. Serious consideration will be given to the purchase of any **George Washington Wilson** prints or negatives not previously held by the University of Aberdeen.

Similarly, printed photographic albums published by GWW & Co. should if possible be purchased if not already held by the University of Aberdeen.

### Footnotes

1. Elements of the University's collections of older printed medical books (largely dating from the nineteenth century and up to pre-1921 are housed in secure accommodation in the Medical School Library, Foresterhill, and are currently the responsibility of library staff therein.

Marischal Museum is immediately responsible for two collections located there (MM and MM Gordon (this latter on military history and militaria)).

2. Affirmed in:

*The Joint Funding Council's Libraries Review Group*, [www.jisc.ac.uk/progs/#scrc](http://www.jisc.ac.uk/progs/#scrc)

and

The British HE Funding Councils' *Research Support Libraries Programme*, [www.rslp.ac.uk](http://www.rslp.ac.uk)

3. It is assumed throughout that collection development and retention form part of the wider activity of collection management, which is best understood in a library-wide environment. See *Collection Management in Academic Libraries*, ed. by Clare Jenkins and Mary Morley 2nd ed. (Aldershot: Gower, 1999), p.3;

earlier, and specifically:

'Collection Development/Preservation: Policy Considerations, 1991', professional papers of R.V. Pringle. AU MS U1323/3.

4. *Report of the Library Committee for the Year Ended 31 July 1990* (1991), pp. [17-18], i.e. Appendix 5: 'A Development Strategy for Special Collections and Archives'.

5. Approved by Aberdeen City Council, Policy and Resources Committee, 3 March 1997

6. A series of [fact sheets relevant to Special Collections](#) (including summaries of the holdings of many of its collections) is available.

7. Lack of space may inhibit or totally disallow the transference of material.



## Collection Management Policy - Appendix 3: Resource Allocation Model for Library Collection Budgets

The senior management team of the University and the Heads of College set the overall budget for Library, Special Collections and Museums. Contained within this is the Library Collection Development Budget. After it has been agreed, a top-sliced sum to cover e-resource expenditure is set ([see below](#)) and a Subject Development Budget amounting to 5% of the Library Collection Development Budget is also removed, (Schools may make bids for part of this sum to pump-prime new courses and for course development). Following this, broad resources allocations to the individual Colleges are set and discussions are held with the relevant Head of College regarding the final allocations to Schools and Sections. It is recommended that Colleges review expenditure as the year progresses and transfer funds as appropriate to ensure full strategic use of the budget.

Funds are divided amongst academic Schools and sections according to a formula that recognises teaching need (T) and research value (R).

The sum available for distribution is split into two parts whose proportions represent the distribution of Scottish Funding Council funding (currently 80:20, teaching grant: research grant). Allocation of the (T) portion is determined by calculating the number of academic staff and students (full time equivalents) within each School or Section using the most recent current student numbers and staff numbers as notified by the College Registrar. Research postgraduates are weighted 1.5.

Allocation of the research value (R) is based on RAE scores and the number of active researchers in each School or section. The individual section or school scores as a ratio of the total for T and R are divided into the sums available to provide the basic allocations for the School or Section.

A weighting is then applied to reflect literature cost differentiation for both monographs and periodicals, and volume of literature published.

The fiscal year runs from 1 August to 31 July. Under present arrangements, at roll-over between fiscal years, the previous year's encumbered funding (i.e. funding committed to orders placed for monographs and standing orders/continuations not yet received by the Library) is carried forward and becomes a commitment on the new allocation for the coming year. Any uncommitted funding remaining within the allocation at the end of the financial year is not transferred into the new financial year.



## Library Topslice

Within the Library Collection Development Budget and before it is disbursed to Colleges, a proportion is top-sliced for cross-College recurrent e-resources purchases; these are in the main electronic journal 'deals' from particular vendors or bibliographic databases. In financial year 2011/12 the proportion of the Collection Development Budget in the top-slice is 72%, with a further 19% committed to the recurrent purchase of paper-based journals, leaving only 9% for monographic or other new purchases. In order to leave the Colleges with some flexibility in purchasing, the budget for paper-based periodicals remains devolved and not centralised in the top-slice.

The top-slice is managed centrally; changes to the content may be undertaken following structured consultation. The consultation level is set for session 2011/12 at £4,000: i.e any product costing less than £4K being proposed for inclusion in the topslice and matching the criteria below, or any change in price to an existing product within the topslice of 10% or less will be approved by Library staff, without reference to Heads of College. Where any item currently in the topslice is cancelled, the funds thus 'saved' are used to offset the inflationary price increases in the remaining topslice materials – and NOT refunded to particular departments, this on the premise that materials in the topslice are cross-disciplinary, of interest to more than one discipline.

### *Criteria for material to be included in the topslice – all to apply simultaneously:*

- Database or other e-resource that is of interest to more than one academic unit
- Resource that has been funded by one or more academic units, or from non-Library Collection Development Budget monies, for a period of time no less than one year
- The principle of collegiality, or the greater good, will apply over narrow Section interest

### *Criteria for material to be removed from topslice – any to apply:*

- Usage of the resource falls to an unacceptable level: e.g. where usage is less than half of that recorded in previous years
- Costs rise out of proportion to the academic value of the resource: e.g. where only a very small number of users utilise a resource whose costs rise by more than 20%
- Replacement of any one item by an alternative, improved product



## Collection Management Policy - Appendix 4: Preservation Issues

### A. Questions of definition

Conservation is taken to mean those steps and policies taken to maintain and / or repair (an) individual item(s); whereas preservation refers to those managerial, and technical steps involved in retaining the information content of library materials in all formats, so as to maximise the useful life of that information.

### B. Preservation options

In the sense above, preservation encompasses conservation, but also extends much further, and **includes** such issues as:

#### 1. Books, archival / physical documentary material (i.e. paper and parchment):

- the discarding of material after a particular length of time; and the steps necessary to be taken to manage that material through to that point of discard;
- the discarding of material after intensive use; to be replaced by another physical copy;
- the preservation of the information within a book or document, by surrogacy; and the retention or disposal of the original;
- the conservation of the (physical original) book or document (e.g. by de-acidification) because of the importance (however defined) of that original copy;
- the discarding of material, and its substitution by a web-based source of information.

Surrogacy here can include: microfilming; photographic prints; photocopying; in-house digital copy, though in each case, the questions of preservation and conservation are merely pushed back from one format to another.

It should also be remembered that, in many instances, reformatting is not a neutral activity, particularly in moving from certain physical documentary forms (e.g. book) to, say, microfilm, in that the change in physical embodiment of the verbal text, alters textual connotations.

#### 2. Preservation options for photographic material, including glass-plate negatives); microfilm, and microfiche

Surrogacy techniques here can include: copy reels, copy prints; copy microfilm / fiche, digital copy, though again in each case, questions of preservation / conservation are merely pushed back from one format to another.



### 3. Motion picture film

Surrogacy techniques, if required, primarily indicate digital copying.

### 4. Recorded sound materials (33/45/ 78 rpm discs; reel-to-reel; tape cassettes. (For CDs, see digital resources.)

Surrogacy techniques primarily indicate digital copying. The prompt copying of recorded sound materials is particularly recommended by the [National Library of Canada](#) (1).

### 5a. Digital resources

Digital resources bring different problems with them, depending on how / when / by whom they were created.

Of the digital resources held, some were born digital (e.g. CALAIS) some are turned digital (e.g. pictures on LEMUR); some are a mixture of both (e.g. the LEMUR site as a whole, with search engine, etc.)

The Library & Special Collections however, also holds material that was commercially produced and that was born digital (e.g. floppy discs, CDs in textbooks) over which there may be [copyright and IPR issues](#) (2) but which information the library may wish to hold in perpetuity.

Digital preservation (time-limited or in perpetuity) strategies (see [C6](#) below for comment) include:

- total deletion when no longer of any use (e.g. obsolete, superseded information)
- emulation (techniques for overcoming obsolete hardware and software by imitating obsolete systems)
- migration (the movement between media, eg disc to CD; CD to copying / absorption in the Storage Area Network(SAN))
- reformatting (from one file format to another)

### 5b. Digital resources: comments

It is currently accepted that there may never be a 'single, definitive strategy' for digital preservation, but that a variety of approaches may be needed.

Presently, images from the 'created digital' resources produced by Special Collections, are also saved on CD, in [standard, widely accepted formats \(e.g. JPEG; PDF\)](#); and, in those instances where the images have been incorporated into a wider web resource, that site as a whole is regularly backed up by the Directorate of Information Technology. Whether this



regular backup arrangement will remain satisfactory is an issue we need to discuss with our IT colleagues.

Most recent guidance approves of the use of CD-R for preservation purposes; however, CD-RW is [‘based upon a different recording process to CD-R, and is not recommended for archival storage’](#) (3).

What is essential is the systematic adoption and application of *metadata (and metadata standards, e.g. Dublin Core)* not just to ensure ‘resource discovery’ but essentially to provide a record of how the data was originally captured and formatted, and what modifications may have been made to it. (This is already a requirement of some external funding bodies.) This should also partially address interoperability issues.

### C. Major challenges

Loss by theft, flood or fire remains real, and must be addressed via disaster planning. But there are other, more subtle, materially inherent threats to the preservation of information.

1. Whilst accepting that printed books present a number of inherent conservation problems (mostly relating to the binding and/or the attachment of text-block to binding, or damaged leaves), it is nineteenth- and twentieth-century material that causes the greatest concern amongst research libraries. The acid quality of the paper is leading to what is known as the [‘brittle book’ problem in books ranging in date from the 1840s to well into the twentieth century](#). (4)

2. Photographic collections are particularly prone to damage through handling; the emulsion side of any photographic image is particularly sensitive. Microfilm reels are prone to chipping, splitting and cracking.

3. Motion picture films are subject to fading, though the extent of this deterioration depends on the chemical composition of the film. Cellulose nitrate base film (used primarily from 1900 to 1939, but in some cases up to the early 1950s) is unstable and highly flammable. Shrinkage, brittleness and scratching are frequently found types of film damage. ‘Sticky tape’ syndrome (caused by hydrolysis) is a major recognised problem with video tapes.

4. Dust and foreign matter deposits on *any* sound recordings can cause abrasiveness and encourage hydrolysis. Deformation (warping or stretching) is also a recognised problem with sound recordings, as are print-through and signal degradation on most tape recordings.

5. Many microfilms are on acetate-based stock. This is not of ‘archival’ quality, whereas it is claimed that [Black & white, silver gelatine film has a usable life of >250 years](#). (5) It is





recommended that the Library and Special Collections check the quality of its microfilm stock.

6. The predominant problem with digital resources is not its potential uselessness (in terms of its data) but technological obsolescence, whereby data cannot be read or meaningfully displayed on-screen.

7. (Video)tape as an archival medium: 'Magnetic tape is not considered a good long-term storage material for archival material. In fact there is no good archival medium for the long-term storage of video. The archivist is therefore faced with the problems of maintaining obsolete equipment and having to copy or transfer material to a newer tape format or a different type of medium'.

#### D. The (growing) size of the challenge

##### 1. Printed books

The possible movement of the cut-off date for the **permanent** retention of printed books and journals to 1900 would involve at least 78,500 vols falling within the 'brittle-book' period (i.e. from 1840 forward), though that is **not** to say that they will necessarily be made of the type of paper that might render them brittle. (See [D2](#) below).

Moreover, cut-off dates change. It is a reasonable assumption that the date will slowly roll forward. It certainly does not follow that if a text is to be permanently retained, then it will immediately go into Special Collections. It may be many years before it does so (if at all). Actions taken to best guarantee such a book's permanent retention as a (physical) book need to be taken long before it is taken into Special Collections.

Printed books, particularly 1840 onwards, for possible or definite permanent retention.

1840-<1901	University Library (excl. Special Colls)	Special Colls	Total
	54500	24000	78500 ( <i>note: subject to revision</i> )



## *2. Special Collections is currently responsible for c.4000 archive collections.*

The percentage of post-1840 material within AU archives is presently unknown, but the Public Record Office calculates that, overall >33% of their holdings **are of this vulnerable date.**

However, not all post-1840 documentary material is on 'brittle' paper. A recent major [NPO Assessment Survey](#) (6) (not including University of Aberdeen collections) indicated that 39% of materials from 1850-1900 was on 'brittle' paper; 31% from 1900-1950 was brittle; 12% of material >1950 was brittle.

A crude extrapolation from this suggests that we have c. 31,000 pre-1901 items actually constructed of brittle paper.

## *3. Photographic Collections*

*glass-plate negatives, lantern slides and prints.*

### **Special Collections:**

Lantern slides: 12 linear metres

Glass-plates : 6 linear metres

### **George Washington Wilson Coll:**

c.40,000 glass-plates

## *4. Microfilm reels; microfiche collections*

### **Special Collections:**

26 linear metres

### **University Library:**

250 linear metres

## *5. Motion picture film*

Motion picture film is contained within several collections and is at present unquantified.

## *6. Recorded sound materials*

### **Special Collections:**

Reel-to-reel (single largest collection being BBC programme recordings on deposit): 28 linear metres of shelving

### **University Library:**

c. 1800 videocassettes/tapes.





**7. Digital resources (created digital)**

**University Library:**

DVD: 19 linear metres

**8. Digital resources (mainly on Library, Special Collections and Museums web sites)**

These have not been quantified, but comprise a variety of resources based on the collections of the University and other organisations and individuals. Most are images taken from 'real' books, papers or artefacts. Although most are not 'unique', they would be very expensive, if not impossible, to recreate if all our digital versions were lost. As with our other collections, these are part of our core business and this investment requires to be protected.

**E. Environmental conditions for storage**

medium	temp oC	humidity (R/H)	light
<u><a href="#">paper &amp; parchment</a></u> (infrequently handled) (7)	13-16	45%-60%	
<u><a href="#">motion picture film</a></u> (8)	<10	<30%	
<u><a href="#">videotapes</a></u> (9)	>7	20%-30%	
<u><a href="#">sound recordings</a></u> (discs, open tapes) (10)	15-20 (and not >20)	25%-45%	
<u><a href="#">sound recordings</a></u> (audio cassettes) (11)	10	20% - 30%	
<u><a href="#">Photographic material</a></u> (12)	below 20	30%-40%	

And an extended excerpt from the [National Archives: Care, Handling and Storage of Removable Media \(2008\)](#):

All materials should be stored in an environment which provides protection from direct sunlight and ultra-violet light, and is free from chemical or particulate atmospheric pollutants. The environment should not be subject to rapid fluctuations in either temperature or humidity.



Storage areas for magnetic media should not contain large electrical devices or other equipment which may produce magnetic fields, and the ambient stray magnetic field intensity should not exceed 4000 Amperes/metre.

Recommended environmental conditions are provided for both short- and long-term storage. Note that for electronic media, 'long-term' may be less than 5 years.

### Short Term Storage

Media	Temperature	Relative Humidity
Flexible Magnetic Disks	10-51.5°C	20-80%
Digital Audio Tape (DAT)	5-45°C	20-80%
Digital Linear Tape (DLT)	16-32°C	20-80%
Ultrium Linear Tape Open (LTO)	16-32°C	10-80%
Other Magnetic Tape Cartridges	10-45°C	20-80%
CD-ROM/R/RW	10-50°C	10-80%
DVD-ROM/R/+R/RAM/RW/+RW	10-50°C	10-80%
Solid State Media	10-50°C	20-80%
Mixed Collections	16-32°C	20-80%

### Long Term Storage

Media	Temperature	Relative Humidity
Flexible Magnetic Disks	18-22°C	35-45%
Digital Audio Tape (DAT)	5-32°C	20-60%
Digital Linear Tape (DLT)	18-26°C	40-60%
Ultrium Linear Tape Open (LTO)	16-32°C	20-80%
Other Magnetic Tape Cartridges	18-22°C	35-45%



Media	Temperature	Relative Humidity
CD-ROM/R/RW	18-22°C	35-45%
DVD-ROM/R/+R/RAM/RW/+RW	18-22°C	35-45%
Solid State Media	18-22°C	35-45%
Mixed Collections	18-22°C	35-45%

**F. [Preservation Assessment Survey](#) (Preservation Advisory Centre): *archives provisional report***

Special Collections has recently adopted the [National Preservation Office's Preservation Survey methodology](#), (13) and has undertaken separate surveys of its printed book and archive collections.

The survey of the archive collections revealed that:

- much of the archive collection (in its entirety) is badly packed. Boxes are usually stood on their ends, rather than lain flat. (This was done because of space shortages.)
- large numbers of boxes are inappropriately packed, and overpacked
- boxes made of the wrong materials have been used for the packing of materials
- much intervention work is going to be needed to flatten papers, many of which are still retained in bundles or (worse) folded. (This is probably how they arrived in AU).
- much basic cleaning of the papers is needed, to remove particles of dust
- the rolled maps and plans are a professional challenge
- for some collections, there are only very basic listings available. Cleaning and reorganising any collection will have a consequential effect on archive cataloguing demands.

**G. Deacidification and acid paper: comments**

There are a number of techniques available to tackle paper acidification, though larger libraries have usually entered into contracts with commercial firms to carry it through; the major reason being the high volume of material to be treated.

The attraction of the process is its relative cheapness. The [costs of reformatting can be over 10 times higher than those of deacidification](#) (14); and de-acidification retains the physical original. (See comments above at [B.1](#) above).

Although deacidification presently offers the best solution to the problem caused by acidity in the paper that can lead it to become brittle, there other steps, if not entirely preventative, that can be taken, to slow down the process. The temperature and R/H should be



maintained towards the lower point of the recommended conditions; and any fluctuations in R/H kept to a minimum. Minimal lighting, and boxing (where appropriate) will also retard the process.

#### H. Provisional recommendations: printed books

Although it is implicit in the actions taken by Library & Special Collections it should be made explicit that wherever and whenever possible, texts for permanent retention should be kept in their original format, even if it is necessary to create a surrogate for consultation use.

- The University Library (and other sites) should organise an NPO Preservation Assessment Survey, particularly, but not exclusively, to assess the extent and advance of 'brittle paper' in nineteenth- and twentieth-century books (and periodicals). Any such survey should include an assessment of the physical state of microfilms / microfiche, and other forms of media.
- At a strategic level, the University Library should investigate (via SCURL) whether Shared Preservation in Scotland (SPIS) is likely to revive. (The last planning reports appear to have been in 2001.)
- The institution should ensure that there is no slippage in the planning of the new library in the adoption of the optimal conditions for the storage of material for permanent retention.
- Re-introduction of simple (summer) training session(s) on the handling of documentary material, and what to do / not to do with a damaged book. (The Bindery staff should be involved in teaching these sessions.)
- The long-term cleaning project of Special Collections areas be maintained.
- A programme of boxing (in archival-quality materials) of already damaged or vulnerable material to be permanently retained be investigated, as a simple way of providing a buffer (this has been adopted to good effect in TCD).

#### I. Provisional recommendations: general

All sections of Library & Special Collections to maintain and update their disaster procedures.

#### J. Trusted Digital Repository

The establishment of a coherent and defensible set of standards for a digital preservation strategy for Library & Special Collections will undoubtedly assist in any attempt to establish '[Trusted Digital Repository](#)' (15) status, in that it should demonstrate commitment to a range of administrative responsibilities (including community-agreed standards and best practices; risk management; and donor / depositor agreements; financial sustainability; and technological suitability including, of course, a preservation strategy).

However, it is perhaps beyond the remit of Library & Special Collections as such (or sections therein) to aim for Trusted Digital Repository accreditation (when such accreditation standards and awarding bodies are agreed upon), and rather, a decision



ought to be made more widely, in conjunction with the Directorate of Information Technology.

## K. Principles underpinning a Digital Preservation Strategy for Special Collections

### *Digital capture*

The now rather geriatric concept of 'fitness for purpose' still applies. This essentially means that the majority of digital images of three-dimensional objects (including books and archival material) captured by or on behalf of Special Collections are to be captured at [preservation standards](#) (16). This still equates roughly at 600 dpi (full colour).

Special Collections is not currently able to offer 'preservation standard' capture for audio and video materials in digital format. This state of affairs needs to be rectified.

### *Digital storage (capture standards)*

Special Collections should maintain its approach in using internationally-approved open standards for image file format. (That is, TIFF. Though a watching brief should be kept on JPEG2000 and ADOBE's 'digital-negative' file format for archival format camera raw data ).

### *Digital storage (software)*

Digital preservation is of crucial concern for the growing resources within the Library & Special Collections. These resources include an increasing quantity of digital content – text, images, audio and video. To date this has been managed and delivered in an ad hoc manner, depending on the technologies and expertise available at the time, ranging from the Bestiary Project (completed in 1996) implemented using html, to the George Washington Wilson Photographic Archive (revamped in 2005) loaded into iBase (based on MS SQL). Each of these separate projects has required an element of individual web development, database design and image manipulation. This is an unsustainable approach and a mechanism for reducing the number of systems in use and for addressing digital preservation issues was sought, leading to a decision in 2006 to purchase DigiTool.

DigiTool is an enterprise solution for the management of digital assets in libraries and academic environments. It is supplied and maintained by Ex Libris, the company which provides our current Library Management System and e-Resource Portal. DigiTool will start to address the digital preservation issues raised here, and allow the Library & Special Collections to manage, preserve and share its currently disparate digital collections within a single environment.



DigiTool is an ideal solution for the deposit, management and delivery of this material. It consists of a number of modules:

The **DigiTool Repository** stores and manages the digital objects and associated metadata. The metadata is stored in an Oracle-based database, and the digital objects in a network file system or on remote systems accessible via URLs.

**Administrative modules** are used by staff and system administrators - the Ingest module handles the loading of objects into the Repository; editing of descriptive or other object metadata (for example, technical or preservation metadata) is accomplished through the metadata editor, Meditor; using the Collection Management module, staff can organize objects into structured collections that facilitate end-user navigation.

The **Resource Discovery Module** allows users to search object metadata or the full text of documents, navigate collections, and view digital objects. Access to the objects can be controlled by user status or IP address.

The **Deposit module** supports the Web-based uploading of digital objects such as theses, exam papers, and learning objects by non-library staff.

DigiTool also includes utilities for conversion of data from other sources. MySQL data could be exported, mapping rules defined, and the data then loaded into DigiTool using a transformer provided by Ex Libris.

The DigiTool architecture is based on technologies such as Web services (SOAP), XML, XSD, XSL, ODBC, Unicode, and JPEG 2000 and supports MARC 21, Qualified Dublin Core, METS, Z39.87-2002 - Technical Metadata for Digital Still Images, OpenURL, Z39.50, and OAI-PMH. Authentication can be via a local user database or via LDAP. DigiTool provides Library & Special Collections with a single mechanism for the management of most of our digital resources and enable easier forward migration as technologies evolve.

### *Digital storage (hardware)*

The best portable storage medium remains CD-R (**not CD-R/W**); and at the highest quality available.

The main storage medium is the University's network storage. This is mirrored at remote locations and backed up nightly by DIT. Security is maintained by DIT as part of its Business Continuity operations.



Special Collections does not currently have the facilities for the routine transfer of the informational contents of cassette tapes, video tapes or cine film onto digital media. Provision of facilities to enable these activities should be investigated.

### *Metadata*

Issues surrounding metadata relate as much to management and organisation as to the identification and recording of technical data. Metadata should be recorded for all digital material held for other than a transitory period.

Special Collections needs to prepare an 'archival information package' which consists of the digital image + technical metadata + descriptive metadata (i.e. description of the object or scene etc.) These elements need systematically to be gathered and at close time proximity, so that such a 'packet' of information can be created. This is a management issue that needs to be addressed.

On metadata itself, standards continue to evolve, with Dublin Core currently remaining as the front-runner.

The management, particularly of the generation and recording of data in Dublin Core's metadata elements needs attention. The recording of metadata and the decision-making processes listed above should be applied across Special Collections.

### *Interoperability*

Provided that Special Collections maintains its policy of keeping to 'industry standard' software; and provided it is able to draw up tighter regulations for the creation and recording of metadata, questions of interoperability (which are arguably not directly relevant to digital preservation, but are to 'Trusted Digital Repository status) will be minimised.

### *Storage*

The environmental conditions under which CDs should be stored are recorded elsewhere in this document.

Special Collections should introduce a [sampling timetable of its CDs](#), regularly to check their quality.

Environmental questions relating to storage on the SAN are beyond the remit of Special Collections.

Migration within the SAN will be subject to negotiation.





## Footnotes

1. National Library of Canada. *The Preservation of Recorded Sound Materials*.  
<http://www.collectionscanada.ca/6/28/s28-1017-e.html>
2. 'The duration of IPR in electronic materials will often extend well beyond commercial interests in them and the technology which was used to generate them. Long-term preservation and access may require migration of the material into new forms or emulation of the original operating environment: *all of which may be impossible without appropriate legal permissions from the original rights owners of the content and underlying software.*' (Our italics). From : M. Jones & N. Begrie, [Preservation Management of Digital Materials](#), 2001.
3. [National Archives, Care, Handling and Storage of Removable Media \(Digital preservation guidance note, 3\) \(London, 2008\)](#).
4. [British Library. The Enemy Within: Acid Deterioration of our Written Heritage, 2001.](#)
5. IFLA *Principles for the Care and Handling of Library Material*.  
<http://www.ifla.org/VI/4/news/pchlm.pdf>
6. Re:Source. INFOSAVE Project Report. <http://www.bl.uk/services/npo/pdf/infosave.pdf>
7. [National Preservation Office. Basic Preservation Guidelines](#) (citing BS 5454).
8. Library of Congress. *Care, Handling and Storage of Motion Picture Film*  
<http://www.loc.gov/preserv/care/film.html>
9. Jim Wheeler, [Videotape Preservation Handbook](#).
10. National Library of Canada. *The Preservation of Recorded Sound Materials*.  
<http://collectionscanada.ca/6/28/s28-1019-e.html>
11. Library of Congress. *Cylinder, Disc and Tape Care in a Nutshell*  
<http://www.loc.gov/preserv/care/record.html>
12. Sources include: [National Preservation Office, Preservation of Photographic Material](#).
13. The survey sample of 400 items is generally regarded as statistically robust.
14. [The Enemy Within](#).
15. See [RLG's website](#) for many references.



16. National Information Standards Organization: [A Framework of Guidance for Building Good Digital Collections](#). 2004.

17. The official body, [Canadian Heritage](#) gives up to 100 years' lifespan for 'factory-stamped' CDs; up to 200 years lifespan for CD-Rs.

#### A. The Media Selection Scorecard

The scorecard approach described here provides a simple method for evaluating currently available media against a series of selection criteria. Each medium should be scored against the criteria on a scale of 1 (does not meet the criterion) to 3 (fully meets the criterion). As a general rule, no medium which scores less than 12 should be considered.

An example scorecard, comparing some common media types, is shown below:

Media	CD-R	DVD-R	Zip Disk	3.5" Magnetic Disk	DLT	DAT
Longevity	3	3	1	1	2	1
Capacity	2	2	1	1	3	3
Viability	2	2	1	1	3	3
Obsolescence	3	2	2	3	2	2
Cost	3	2	1	1	3	3
Susceptibility	3	3	1	1	3	2
<b>Total</b>	<b>16</b>	<b>14</b>	<b>7</b>	<b>8</b>	<b>16</b>	<b>14</b>

The evaluation process should fully take into account variations within a media type. For example, a number of different dye and metal layer combinations are available for CD-Rs. In this example, CD-Rs with a gold reflective layer and phthalocyanine-based dyes have been assessed, since recent research suggests that these are the most stable, and have the greatest life span.

In situations where multiple copies of data are stored on separate media, it may be advantageous to use different media types for each copy, preferably using different base technologies (for example, magnetic and optical). This reduces the overall technology dependence of the stored data. Where the same type of media is used for multiple copies, different brands or batches should be used in each case, to minimise the risks of data loss due to problems with specific manufacturers or batches.



Library  
Special Collections  
and Museums

Taken, and slightly amended, from [National Archives, \*Selecting Storage Media for Long-Term Preservation\* \(Digital preservation guidance note, 2\). \(London, 2008\).](#)





## Collection Management Policy - Appendix 5: Archive Collection Policy

### 1. The Archives Service

Special Collections including Archives forms part of the University of Aberdeen's Library, Special Collections and Museums.

### 2. Authority to collect

Special Collections is an archive repository recognised by the Royal Commission for Historical Manuscripts and the National Archives of Scotland (reference GB 0231). It is the central place of deposit for the historic records of the University, its predecessors and affiliated bodies, created and accumulated since its foundation in 1495. From this time, the University's institutional archive has also been augmented by the gift, deposit and purchase of manuscripts and archives of individuals, families and organisations associated with the University and the North East of Scotland. Special Collections continues to add to these institutional and deposited collections.

### 3. Collection strengths

The collections, which [number approximately 4000](#) (1) and date from antiquity to the twenty-first century, fall under the following broad categories:

- the institutional archive of the University of Aberdeen (est. 1860), its predecessors, King's College (1494/5 – 1860) and Marischal College (1593 – 1860), and affiliated bodies, including The Northern College of Education (1870s - 2001);
- personal and professional papers of members of the University of Aberdeen, its predecessors and affiliated bodies;
- collections of other papers of particular institutional and/or academic importance to the University;
- reference copies of University theses, (which are lodged according to the regulations as stated in [Submission of Theses](#));
- medieval and early-modern manuscripts;
- records of individuals, families, estates and organisations associated with the University of Aberdeen and/or the North East of Scotland;
- oriental manuscripts, papyri and ostraca

### 4. Scope of the Collection Policy

#### 4.1 Appraisal criteria

Special Collections will continue to develop its collections in line with these broad topical, geographical and chronological parameters. More specifically, all new acquisitions must meet one or more of the following criteria:



- strengthen and support existing and future teaching and research in the University, in a sustainable way;
- complement and enhance existing archive and manuscript collection strengths: for example records relating to the history of the University; medieval and early modern manuscripts; north-east estate papers; 17th – 19th century collections relating to science, medicine, Scottish Enlightenment philosophy, and Jacobitism;
- contribute to the understanding of the history of the University;
- contribute to, and/or enhance, the current administrative functions of the University;
- complement and enhance the University's collections of early and rare printed books and its museum collections.

#### 4.2 Additional considerations

The size, format and physical condition of archives will be considered when deciding whether to accept new acquisitions or not.

- **Size versus intellectual value:** The space occupied by each archive collection must be justified in terms of its research value. Where its retention cannot be justified, the Archives may reject a collection, or may wish to select part of it for permanent preservation. This process of appraisal is common practice, based upon sound archival principals, informed judgement and knowledge of potential research interest.
- **Format:** The University accepts paper, photographic, audio-visual and digital archives. It is committed to developing appropriate storage and access facilities for these varied media: these issues have been addressed within the scope of the new Library project, through the purchase of DigiTool digital management software, and in the development of a University policy on electronic records. Facilities do not exist for the curation of artefacts: artefacts should, in the first instance, be offered to colleagues in one of the University's registered museums, from where further advice may be sought. Film archives are normally offered to Scottish Screen, the national film archive, based in Glasgow.
- **Physical condition:** Items will be rejected if their poor physical condition prohibits public access and if the cost of undertaking the necessary conservation treatment is disproportionate to their historical value.
- **Restrictions:** Consideration will be given before accepting collections with material that may have to be closed for 50 to 100 years because of the requirements of the *General Data Protection Regulation and the Data Protection Act 2018*. In these cases, the historical worth of the material must be sufficient to justify the expense of their storage while not being available to the public.

#### 4.3 Exemptions – what we will not collect

In assessing material for acquisition, a number of specific exemptions apply to our collecting policy:

- Archives that might be more appropriately deposited elsewhere (for instance, archives that are known to be collected by other, local, national, or specialist repositories). In such cases, we will advise potential depositors of the appropriate repository to contact;



- Archives whose contents duplicate current holdings, or which are so similar as to not justify their inclusion;
- Copies of archives held elsewhere – unless, there is an exceptional reason for keeping them (for instance, in support of an existing collection);
- Oriental manuscripts, papyri and ostraca – unless having a direct, proven association with the University's current holdings in this area.

## 5. Acquisition procedures

Detailed conditions governing the donation and deposit of archives will be found in the information leaflet, [Donation and Deposit of Personal Papers](#), and in the form, *Conditions governing the gift and deposit of personal papers in the University of Aberdeen*.

### 5.1 Methods of acquisition

- **Transfer:** Institutional archives of the University of Aberdeen will be acquired via internal transfer from originating departments, in line with the procedures laid down in the University's Records Retention Schedule and in liaison with the University Records Manager.
- **Donation or bequest:** The donor or executor will be required to sign a deposit agreement and documents will not be accepted without evidence of clear and valid title of ownership. It is the responsibility of each donor or seller to demonstrate that they are the valid owners of the records that they offer to the University. When assigning ownership of archives to the University, the copyright owner(s) will be asked to consider assigning copyright or agreeing to licence copyright to the University.
- **Deposit / Long-term loan:** The Archives will henceforth only exceptionally accept material on deposit or long-term loan, and any such acquisitions will only be accepted for periods of not less than twenty years.
- **Purchase:** Purchases will be made only of archives that make a significant contribution to our existing collection strengths.

### 5.2 Selection and de-accessioning

The Archives reserves the right to conduct a periodic review of the records held, in light of research use of the records, and where necessary, to recommend their disposal, destruction or transfer.

#### Footnote

1. Figure refers to holdings in November 2006.



## Collection Management Policy - Collaborative Print Retention: a policy for Scotland

### Memorandum of Understanding

The [Scottish Confederation of University and Research Libraries \(SCURL\)](#), the [National Library of Scotland \(NLS\)](#) and the [Scottish Library and Information Council \(SLIC\)](#) have come together to develop this policy for all Scottish libraries.

The **aim** of the policy, at this stage, is to ensure that researchers, in the broadest sense, continue to have access to low-use print research materials.

It offers libraries, of all kinds, the opportunity to manage the risks associated with inadvertently disposing of important material, and providing a safe process for collections management of print research materials in Scotland. This collegiate approach will underwrite local collection policies which have been and are dependent on the mission, teaching and research of the parent institutions over centuries. Attention should now be given to an extension to non-print materials.

### Scope

Although it is likely to be of most relevance to HE libraries initially, it is recognised that significant research materials are also held in the wider library community.

The NLS regards Scottish material (published in Scotland, or by Scots, or about Scots) as central to its collecting and preservation strategy. It will also continue to collect as much as possible of the UK published output, and to provide access to international publications as required by the users of Scotland's largest research library.

### Recommendation

**That a copy should be retained within Scotland of:-**

***1. Scottish material (published in Scotland, or by Scots, or about Scots, or relating to Scotland, to any aspect of Scottish life and culture, or to individual Scots). Such material, representing the intellectual capital of Scotland and held within Scottish libraries, is at the core of this collaborative print retention strategy.***

***2. Unique items (within Scotland) which enhance the world class research collections held in Scotland and therefore should be retained for communal access and benefit.***





*These criteria would be applied when an institution's own collections management procedures resulted in a risk that an item meeting the above criteria may no longer be retained within Scotland.*

### Rationale

Political devolution has made library and information services more aware of issues around the retention of a “**Scottish copy**” for the future. There has always been a distinct cultural identity, manifest in the separate education and legal systems. A strong sectoral and geographic collaborative network has been a feature of the Scottish information landscape for many years. This policy, together with sectoral guidance notes, will enhance this collaboration while supporting the shared service agenda.

*It is recommended that this policy is reviewed after 3 years.*

### The Scottish Collection

*The items in the Scottish collection will be distributed across many libraries, with a preponderance of print journals available in the NLS and the larger research libraries.*

*Since many libraries may hold such materials, retention would be arranged on a collaborative, distributed model. Any disposing library should check the holdings of the NLS first and offer to the NLS if not held there. Should the NLS not be able to add the item then, if the holding library is still minded to discard, other sectoral partner holdings should be checked. If the item is identified as a ‘last copy’ and the holding library is still minded to discard, then a library should be sought to hold the item on behalf of the community.*

*Updating catalogue records and services to ensure easy discovery and access is critical, together with the ability of researchers to find items through aggregated resource discovery tools.*

**This Memorandum of Understanding has been signed and agreed by the:-**

**Chair of SCURL**

**Director of SLIC**

**Librarian of the NLS**



Library  
Special Collections  
and Museums

**Chris Banks, *University Librarian & Director*, Library, Special Collections and Museums, University of Aberdeen, has signed this Memorandum of Understanding and thereby agrees to ensure, as far as possible, that this policy will be incorporated into the internal collection management procedures within the University of Aberdeen.**

(SCURLScottishcopy9Jan2010)



<b>Title</b>	Library, Special Collections and Museums Collections Management Policy
<b>Author / Creator</b>	Wendy Pirie, Acting Librarian.
<b>Owner</b>	Library Services Management Team .
<b>Date published / approved</b>	2007
<b>Version</b>	1.
<b>Review date</b>	unknown
<b>Audience</b>	Users of the library collections. <i>[Optional]</i>
<b>Related</b>	Any documents related to this one – eg derived from it or from which it is derived. <i>[Optional]</i>
<b>Subject / Description</b>	A framework and set of parameters within which library staff and users work. The primary function of the collection management policy is to provide guidance to all staff when selecting and deselecting



	resources for the collection.
<b>Equality Impact Assessment</b>	n/a
<b>Section</b>	Library, Special collections and Museums
<b>Theme</b>	Library Collections Management