

ARCHIVE COLLECTIONS MANAGEMENT POLICY

Purpose and Context

This policy establishes a strategic and integrated approach for the development, management and use of the archive collections of the University's Information & Records Management and Archive Service at Heritage Quay (hereafter "the Service"). The aim of the Service is to support the University and its aims and objectives by preserving those institutional records of evidential value, managing collections that support teaching and research and providing wider public benefit through access to collections.

The Service is dedicated to managing the long-term preservation of, and access to, the historical resources in its care. It provides services that meet the needs of the collections and users to the best standards of quality and value possible. Effective collections management aims to balance short, medium and long term priorities in access and preservation, between the needs of collections and the people who use them.

Scope

This policy applies to all collections held or controlled by the Service, whether in analogue or digital format. It excludes University records in the care of Schools and Services until those selected for permanent preservation as archives are transferred to the permanent collections of the Service.

The policy applies to all staff, volunteers and other users of the Service and collections.

1 Introduction

The University is committed to providing access to the archive collections in its care and to managing them in line with professional best practice. This policy covers the provision, implementation and maintenance of a collections management framework, including detailed policy statements for

- collections development and acquisition;
- collections information;
- collections access; and
- collections care and preservation.

2 Legislative framework

Legislation relating to collections management includes the following, and any previous or subsequent amendments through Regulations, Statutory Instruments or Directives:

- UNESCO Convention for the Protection of Cultural Property in the Event of Armed Conflict, First Protocol 1954 and Second Protocol 1999 (ratified by the UK 2017)
- UNESCO Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property 1970 (accepted by the UK 2002)
- Copyright Designs and Patents Act 1988
- Freedom of Information Act 2000
- Environmental Information Regulations 2004
- UNESCO Convention on the Protection and Promotion of the Diversity of Cultural Expressions 2005 (ratified by the UK 2007)
- Equality Act 2010
- Re-use of Public Sector Information Regulations 2015
- Data Protection Act 2018

3 General policy statements

The Service subscribes to PAS 197:2009 Code of practice for cultural collections management, and to the Archives and Records Association Code of Ethics (2016).

The Service was awarded Archive Service Accreditation by the UK Archive Service Accreditation Committee in 2016, and will maintain its accredited status through interim revalidation under the scheme (due 2019).

The University Archivist and Records Manager will develop, maintain and implement plans to achieve the strategic outcomes of the following policies, and procedures for the full range of collections management activity. They will regularly review collections management procedures, ensure that staff are fully trained in them, and will undertake periodic quality checking of the implementation of these procedures.

4 Collections development

4.1 Scope of acquisitions

The Service aims to collect and preserve material relating to the University of Huddersfield and its predecessors; to those organisations, families and individuals which have a direct connection with the University and/or its predecessors; and material with a curriculum or research relevance to the University. As well as documenting the past, a key part of the role of the Service is the accurate reflection of today's University, and it aims to collect material relating to the University's many and diverse communities and organisations, ensuring all communities are represented in the collections.

The Service will hold the archival records of the University and its predecessors; the University's current and semi-current records are covered by the [University retention & disposal schedule](#) until archival records of enduring value are transferred to the Service.

The Service seeks to collect the records of the Students' Union and other sports and social clubs associated with the University and its predecessors, and the personal papers of former students and staff where these help document the history of the University, or support teaching and research.

The Service seeks to collect archival, unique or rare material with a specialist curriculum and/or research relevance to the University of Huddersfield, or in areas of existing strength which may be unrelated directly to the history of the institution but as may contribute to the preservation of the cultural heritage of society, notably British 20th & 21st century music, sport, education, politics, theatre, art and design, and literature in English.

4.2 Formats

Items in a format which requires special equipment for their consultation will only be acquired if the Service has the necessary equipment to enable access to be provided or facilities for access can be arranged elsewhere under proper supervision. The University Archivist & Records Manager may, however, accept items in a format for which no means of access is currently available if, in their opinion, the rejection of such will result in the destruction of material of historical significance. In such circumstances the Service will actively seek an alternative place of deposit which can enable access and retain working copies in an accessible format where possible.

Three-dimensional artefacts will not be collected by the Service unless they are an integral part of an archive.

4.3 Exclusions

The University will not collect

- archival records of local government including those of the Metropolitan District Councils of West Yorkshire, of the former West Riding of Yorkshire County Council, of the former West Yorkshire Metropolitan County Council, of the West Yorkshire Residuary Body, of superseded local authorities within the West Yorkshire Metropolitan county area, and of other local authority and statutory bodies operating, or previously operating, within the West Yorkshire Metropolitan county area or with a West Riding county-wide remit.
Such records are properly collected by [West Yorkshire Archive Service](#).
- Public records under the terms of the Public Records Acts 1958 and 1967.
- Archival records of religious institutions and bodies including Anglican Christian records as defined by the provisions of the Parochial Registers & Records Measure 1978 (as amended 1993), and similar official records and registers of Catholic Christian, Nonconformist and other Christian, Buddhist, Jewish, Muslim, Secularist and other religious bodies.
- Duplicate material.
- Frames, trunks, deed chests and other containers.

The University Archivist & Records Manager reserves the right to refuse material that does not fall within the remit of this acquisition policy, or where there is concern over the legal ownership of the material. They will seek to suggest alternative repositories, if necessary taking advice from professional colleagues as to the most suitable home for the items offered.

The University recognises the rights and collecting strengths of other professionally staffed archive repositories, both local and national, and will make every effort to avoid competition, conflict or duplication of effort. When acquiring or seeking to acquire archival records, the University Archivist & Records Manager will bear in mind the appropriateness of the Service as a place for custody and consultation of the records and will respect the principles of archival integrity; they will consult and co-operate with appropriate repositories.

4.4 Means of acquisition

Items will be acquired by gift, deposit, internal transfer (organisational records), or purchase. Material may also be temporarily borrowed for exhibition; during the period of the loan such items will be managed in such a way as if they were part of the permanent collections.

Before accepting any items, the University Archivist & Records Manager must be satisfied that the depositor has proper authority or title to transfer them. In the event of acquisition by loan or gift, the conditions of deposit will be those contained in the Service's standard terms of agreement for the deposit (2018).

Printed and published items which meet one or more of the following criteria may be transferred from the University Library for permanent retention by the Service:

- All items containing a bookplate from the Huddersfield Mechanics' Institution.
- Internal reports, grey literature & publications produced by the University.
- Monographs by (ex) members of staff.
- Significant works in areas of curriculum and/or research relevance to the University of Huddersfield and which are likely to be difficult to obtain elsewhere, ONLY in the following areas of existing collection strengths:
 - British 20th & 21st century music;
 - sport: particularly rugby league and netball;
 - education;
 - art and design including textiles;
 - politics;
 - theatre;
 - literature.

This provision particularly applies to works which are (likely to be) out of print, published overseas, published privately or in small print-runs.

Note that all University of Huddersfield Dissertations (Masters level upwards) should be permanently retained in the Library.

4.5 Appraisal, retention and disposal

Appraisal is the process of distinguishing material of continuing value from those of no further value so that the latter may be eliminated. The policy of the Service is to develop and implement strategies which enable robust and coherent appraisal decisions to be made, and that these appraisal decisions are transparent and fully recorded.

Appraisal for archival purposes selects material of the highest archival value, avoiding duplication. All material can be deemed of potential archival value but the Service must be able to preserve and conserve material permanently and must therefore limit its acquisitions to those of the highest archival value supporting the strategic objectives and collection themes at §4.1 above. Appraisal decisions take account of the provenance of material (the organisational and functional context in which they were created) and their content; the Service will also follow the principles of macro appraisal which encourages organisation-wide analysis of functions as a guide to identifying material of value for business and archival purposes.

The University accepts the principle that there should be a strong presumption against the disposal by sale of any items in its ownership.

Where a published item is already owned by the University, the Service will not normally acquire additional copies on deposit. Donations of material already in stock will be retained if they form a significant part of a significant collection; the University Archivist & Records Manager retains the right after consultation with the donor to dispose of duplicate material in an appropriate way.

No archival records will be acquired or disposed of in contravention of the terms of any current legislation, and in particular the Public Records Acts 1958 & 1967, the Manorial Documents Rules 1959, the Tithe (Copies of Apportionment) Rules 1960, and the Parochial Registers and Records Measure 1978 (as amended 1993).

The Service will only dispose of archival records which have been accepted on deposit, in the following circumstances:

- The depositor has given written consent to the destruction or return of records which are found to be duplicates or unworthy of permanent preservation. Any material destroyed will be dealt with as confidential waste.
- It is found that the records belong more properly with records in another repository, in which case they may be transferred there with the consent of the owner and the knowledge of both governing bodies.
- The owner requests their return, in accordance with the terms of deposit.
- The Service becomes unable, either temporarily or permanently, to provide proper care for them. In this case they should be transferred, on such terms as may be

agreed in writing with the consent of the owner and of both governing bodies, to another appropriate repository with similar overall objectives.

5 Collections information

5.1 Scope of collections information

Collections information encompasses all information written and gathered about collections, whether during transfer or accessioning processes, during cataloguing, or subsequently. Collections information includes

- Accessioning information, including ownership;
- Cataloguing, indexing and other descriptive information;
- Information about loans in and out;
- Information about disposals (under the disposals provisions at §4.5 above);
- Information about intellectual property rights;
- Supporting finding aids such as repository or subject guides and indexes.

5.2 Accessioning information

An accession register using the Axiell Calm Accessions module will be kept to record essential information about the nature and circumstances of each acquisition. Signed Gift and Deposit forms and agreements will be permanently retained alongside the accession register.

Notice of every new acquisition of an archival collection and of any restrictions on its access or use will be made public at the earliest opportunity, including through notification to The National Archives in the annual Accessions Return.

5.3 Cataloguing information

The University recognises that encouraging and improving access to the collections in its care is a key objective for the Service: access to information fundamentally depends on adequate catalogues for searching and retrieval.

The Service will provide a single, complete catalogue covering all the collections in its care, which will be available online. The catalogue will as far as possible conform to the following international standards and best practice:

- Rules for the Construction of Place Names – NCA Rules (National Council on Archives, 1997);
- International Standard for Archival Description (General) – ISAD(G) 2nd edn (International Council on Archives, 1999);
- International Standard Archival Authority Record for Corporate Bodies, Persons, and Families - ISAAR(CPF) 2nd edn (International Council on Archives, 2004);
- The UK Archival Thesaurus – UKAT (UKAT, 2004);

- International Standard for Describing Functions – ISDF 1st edn (International Council on Archives, 2007);
- Guidelines for the Cataloguing of Rare Books (CILIP, 2007);
- International Standard Bibliographic Description – ISBD consolidated edn (IFLA Cataloguing Section/ISBC Review Group, 2011);
- ISO 15836 Dublin Core metadata set for digital image and digital audio-visual metadata (2017).

The Service will use the collections management system Axiell Calm to manage the full range of cataloguing information, whether required for minimum compliance with international standards or identified as a management requirement by the Service.

Cataloguing priorities will be reviewed at least annually and resources allocated in order to minimize the amount of uncatalogued material held by the Service as far as possible. Criteria used in the prioritisation exercise will include ownership status, length of time held, size of collection, level of existing information, and existing/potential demand from users.

5.4 Collections information in use¹

Section 6 of this Collections Management Policy covers statutory rights of access to information, restrictions and other practical matters for users. This section describes the use and development of collections information.

The Service will use the Axiell Calm collections management modules to manage information about locations, loans in and out, and conservation of individual items; these databases will be linked to catalogue records for items at appropriate levels of description. Information in the catalogue module will be available to the public but other modules will be restricted to staff only as they contain information which is confidential, sensitive, or should be restricted for reasons of security.

The Service seeks to develop a virtuous circle of collections information in use. The aim is to ensure that the resources put into cataloguing provide audiences with information that is accurate, insightful, relevant and accessible. Whilst archival description and finding aids are the most important of access tools, the Service does not presume either to be able or for it to be desirable that the archive catalogue provides a single, authoritative voice on the content, context, meaning and significance of the material it describes.

The Service therefore recognises that information about the collections in its care may be held by others outside the staff or volunteer resources formally connected with the Service. It aims to acknowledge and tap into sources of information, expertise or understanding from outside the Service and to give respect and value to these “other voices” by making

¹ The influence of the *Revisiting Archival Collections Toolkit* is acknowledged here (Collections Trust 2009 <http://www.collectionslink.org.uk/programmes/revisiting-collections/995-revisiting-archive-collections-toolkit>)

newly-revealed information about material permanently accessible to all audiences through enhanced cataloguing, description and interpretation.

The Service will employ a multi-layered and flexible approach which is responsive to and incorporates audience generated input whilst at the same time retaining a definitive status within catalogue records undertaken to professional standards as described above. This will react to the needs and responses of audiences. The Service will also be proactive in improving and adding to existing information about individual items or groups of items on an ad hoc basis, including the addition of digital images, the results of research, new interpretations of items or retrospective documentation.

Where digital content is made publicly available, wherever possible Creative Commons licences will be used enabling the free non-commercial use of content. Digitisation projects include a rights clearance process; copyright and takedown procedures for web content will be maintained.

5.5 Deaccessioning

The Service will record information about appraisal decisions and dispositions relating to archives (§4.5 above) at the highest level of archival hierarchy in the catalogue module of the Axiell Calm collections management system.

The Service will document the disposition of materials held before October 2010 and previously unaccessioned including the date and staff member involved, the criteria used in appraisal and the disposition methods. Such information will be held outside the catalogue (other than recording disposition of items within a wider collection for which a collection-level record is included in the catalogue); it will be permanently retained.

6 Access

6.1 Scope of access

The Service shall aim to encourage as much access by members of the University and researchers from other HEIs to primary and secondary source material as is compatible with the permanent preservation of unique and irreplaceable material. There should be a presumption of openness and any restrictions should conform to tightly defined criteria.

The Service recognises that there are communities beyond the formal boundaries of the University with an interest in the collections and activities of the Service; these include depositors and future researchers (the purpose of the preservation of the material). The Service shall aim to serve its communities as effectively and efficiently as possible, and shall seek to serve all of its communities, devising a range of services appropriate to the communities' stated or implied needs.

The Service will continue to use the Customer Service Excellence framework and assessment processes to develop an in-depth understanding of its customers; to build and develop a customer focussed culture that supports improved service delivery; to

communicate effectively and to consult with customers; and to deliver timely and high quality services which meet customer needs.

Access services function through processes in which the user is an active participant and in which the user has responsibilities as well as rights. The Service shall communicate and if necessary enforce these responsibilities.

6.2 Statement of Public Task under the Re-use of Public Sector Information Regulations

This statement sets out the functions carried out by the Service that are within its public task under the Re-use of Public Sector Information Regulations 2015. Re-use means the use of public sector information for a purpose other than the initial purpose for which it was produced, held, collected or disseminated.

The Service operates under the terms of its Collections Management policy, approved by the University's Research Committee. It also operates within a legislative framework including Data Protection regulations, the Freedom of Information Act, and the Environmental Information Regulations.

The Service creates, holds, collects and uses information for the following purposes within its public task:

- collecting institutional records of evidential value and other collections that support the University's teaching and research;
- providing wider public benefit through public access to the collections;
- managing the long-term preservation of, and access to, the collections;
- improving and widening public access and participation through cataloguing work, funding bids and a programme of activities.

Information about the general activities of the Service in carrying out its public task can be found at www.heritagequay.org/about.

The key information the Service creates and holds include:

- the collections;
- catalogues and lists to intellectually manage and provide access to the collections;
- an operational and strategic framework of policy, strategies, plans and procedures to manage and provide access to our collections.

Information held as part of the Service's public task is available for re-use, wherever copyright law, data protection and the availability of funding permit.

The majority of the Service's public task information is available for free re-use under the Open Government Licence (OGL). The information contained within the Service's collection catalogue, which is a data-set, is available for re-use under a Charged Licence.

(See section 102 of the Protection of Freedom Act 2012). The charge to re-use collection catalogue information is negotiable on application.

If you have any query about this public task statement, wish to enquire about re-use of information under the Re-use of Public Sector Information Regulations, or wish to lodge a complaint about a decision made in relation to the Regulations, please email archives@hud.ac.uk.

6.3 Restrictions on access to information

Restrictions on access will be noted as far as possible in the public catalogue.

6.3.1 Material containing personal information (other than specific categories listed below)

University procedures are in place to deal with access to an enquirer's own personal information ("Subject Access Requests").

Access to personal data in collections by someone other than the data subject or the data controller (or his employees) will normally be permitted for historical or statistical research under the relevant conditions, namely that

- The data is not processed to support measures or decisions relating to particular individuals, and
- The data is not processed in such a way that substantial damage or substantial distress is, or is likely to be, caused to any data subject.

Such access will be subject to closure periods up to a maximum of 100 years, the assumed lifetime of the individual. In administering shorter closure periods or otherwise authorising disclosure of data, the Service should be able to cite conditions in Data Protection legislation as applicable and should consider the criteria that access must be lawful and fair, taking into account matters including any duty of confidence, the nature and age of the information, and the credibility of the data. Steps will be taken to safeguard the fair and lawful use of data by intending researchers including requiring them to sign a declaration that they will comply with Data Protection legislation.

A copy of the Data Protection Undertaking is in Appendix 1.

6.3.2 Uncatalogued collections (Freedom of Information Act s. 22)

Collections which are uncatalogued may be exempt, in that they are intended for publication at a future date as part of the office's cataloguing programme. The Service will make its cataloguing priorities (described §5.3 above) publicly available and will advise on access to uncatalogued collections.

6.3.3 Other privately deposited material (Freedom of Information Act s. 41)

Some privately owned material may be exempt if it was deposited with a confidentiality agreement between the Service and the owner. Such restrictions on access will be noted in the public catalogue.

7 Preservation

7.1 Scope of preservation

The materials held by the Service are complex artefacts, and whilst the medium is important to the message (with the exception of digital materials), the message or information content is of paramount importance. In the case of digital materials, medium and message are intrinsically linked in a way not found with other formats. Generally, although the medium is of secondary importance to the information content, effective preservation of the original medium is the most cost-effective way of securing the long-term preservation of the message. Preservation activities must therefore encompass both media and format in order to prevent rapid deterioration or irreversible damage.

The Service will develop a Digital Preservation Policy for the University.

7.2 Storage and security

The Service will conform to the provisions of the standards EN16893 Conservation of Cultural Heritage – New Sites and Buildings intended for the Storage and Use of Collections and BS4971 Conservation and Care of Archival Collections.

An annual review will be undertaken of conservation standards, covering security, fire protection, and environmental control of storage and other areas where collections are regularly used.

7.3 Collection management

The Service will conform to the provisions of BS4971 Conservation and Care of Archival Collections.

Preservation risks and priorities will be reviewed at least annually and resources allocated in order to mitigate the identified risks. Risk management activities will include regular housekeeping, repackaging into archival quality secondary protection, routine environmental monitoring and other appropriate activities.

7.4 Conservation Assessment and Treatment

Preventive preservation actions across the whole collections are balanced with active conservation treatment of individual items. Conservation work will be bought in from external providers working to recognised professional standards outlined in BS4971 Conservation & Care of Archival Collections. Individual conservators will be professionally accredited with the Archives & Records Association and/or the Institute of Conservation.

7.5 Access

The Service will draw up guidelines for the use and handling of the collections by users and will make these available in the searchroom; they will be regularly reviewed.

Staff will monitor the condition of individual items requested by researchers or intended for exhibition, and will refuse access or copying on preservation grounds where appropriate. These decisions will usually be made by a professionally qualified member of staff. A surrogate may be provided as an alternative.

7.6 Surrogating or substitution

Where a surrogate is available, access will not usually be provided to the original item except in the case of a specialist requirement which cannot be met by the surrogate (eg. examination of watermarks for dating purposes).

Surrogate copies may be made on an *ad hoc* basis during the accessioning or cataloguing process of material for which demand is likely to be high and where the original is at a greater risk of damage from handling. Oversize material in particular will be considered for surrogacy.

Where appropriate, digitisation will be used as a means of providing surrogates in line with the technical and metadata specifications in the Service's Digitisation Strategy, which will be regularly reviewed.

7.7 Disaster preparedness

The Service will maintain a Disaster Plan covering continuity and recovery which will be reviewed at least annually.

8 Appendix 1: Researcher Undertaking for access to archives containing personal information where the subject of the information is alive or likely to be alive (assuming a life span of 100 years)

Name of researcher:

Full postal address:

Description of records to be consulted:

I request permission to consult the records listed above and agree to make use of any personal data contained therein in compliance with Data Protection legislation.

My research will not be used to support measures or decisions with respect to particular individuals. My research will not cause or be likely to cause substantial damage or substantial distress to any person who is the subject of those data while (s)he is alive or likely to be alive (assuming a life span of 100 years).

I will not make the results of my research available in a form that identifies any data subject without the written consent of the data subject or the data controller.

I understand that I shall become responsible for compliance with Data Protection legislation in relation to any processing by me of personal data obtained from the above records

Signed

Date

The original signed undertaking is retained by the Service and a copy provided to the researcher.

9 POLICY SIGN-OFF AND OWNERSHIP DETAILS

| | |
|-----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Document name: | Archive Collections Management Policy |
| Version Number: | 1.0 |
| Equality Impact Assessment: | Not relevant for this policy |
| Approved by: | University Research Committee |
| Date Approved: | 12 th June 2018 |
| Date for Review: | By 30 th June 2021 |
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| Owner (if different from above): | |
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| Related Policies/Procedures: | Data Protection Policy Library Collection Management and Development Policy Library Regulations Records Management Policy Records Retention Schedule Repository Policy Repository E-Theses Policy Research Data Management Policy Digital Preservation Policy (forthcoming) |

| REVISION HISTORY | | | |
|-------------------------|-------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|
| Version | Date | Revision description/Summary of changes | Author |
| V1.0 | May 2018 | First draft of new policy replacing previous policy suite last approved March 2014: Acquisition Policy Collections Information Policy Preservation Policy Access Policy | University Archivist & Records Manager |