Preservation Policy

Function and purpose

The intention and purpose of Archives & Special Collections is to collect, care for and make accessible archives, manuscripts, rare books and other unique and distinctive materials for the core function of supporting the work of the University in all its aspects and also provide a valuable resource for the wider scholarly community. Moreover, many of these collections represent a resource held in trust for the benefit of present and future generations.

Liverpool Hope Library and Learning Spaces' vision is:
"To continuously develop and enhance innovative services, facilities and resources to meet and exceed the needs of our users to achieve their high quality academic pursuit by placing the library at the heart of the University supporting Learning, Teaching and Research activities."

This vision developed out of the University's Corporate Plan 2012-2016 to *'educate in the round'* and, in particular, be a natural epicentre for research and to enable high quality academic pursuit through the range of resources provided.

The development and management of our collections is a key element in the provision of resources to support research activities. 'Developing and exploiting collections' and 'To advance support and facilities for researchers' are two of six key themes in the Library Development Plan 2015 – 2020.

This policy aims to provide a comprehensive statement of intent and framework for the care of the collections entrusted to Liverpool Hope University and to communicate the principles that guide the preservation activities of Archives & Special Collections. For the remainder of this report, Archives & Special Collections will be more commonly referred to as 'Special Collections'.

Definitions

For the purposes of this document the following key terms used to describe activities within Special Collections have been defined to ensure common understanding.

Collections care – "range of activities intended to safeguard a collection". *These activities can include organizational policies, security, storage, cleaning, maintenance, handling, environmental monitoring and control, exhibitions and loans, conservation, provision of surrogates and emergency planning*.[1]

[1] Definition from: The British Standards Institution (BSI) (2012). PAS 198 *Specification for managing environmental conditions for cultural collections.*

Conservation – "interventive techniques applied to a collection item to achieve chemical and physical stabilization for the purpose of extending the useful life of the collection item to ensure its continued availability" (also known as interventive conservation) [2]

Preservation – "retention and protection of different formats of archive and library materials and/or their information content in order to maximize their useful life"[3]

Relative humidity (RH) – "ratio, defined as a percentage, of the existing partial vapour pressure of water to the vapour pressure at saturation" [4]

Archive - "Materials created or received by a person, family, or organization, public or private, in the conduct of their affairs and preserved because of the enduring value contained in the information they contain or as evidence of the functions and responsibilities of their creator, especially those materials maintained using the principles of provenance, original order, and collective control; permanent records."[5]

Scope

This policy covers archives, manuscripts and printed collections and existing digital collections, such as microfilm, microfiche and compact disks, managed by Special Collections. It does not cover such material held elsewhere in the University. It does not cover the management of born-digital material.

As this is a public document we do not discuss the specifics of our security arrangements, details of which are available as an internal document for relevant personnel only.

Context

This Preservation Policy is complemented by detailed documents as follows:

- Special Collections Management Policy
- Preservation Assessment Survey
- Library Development Plan
- Collection Management Policy
- Disaster Contingency Plan (available April 2016)
- Reading Room Regulations
- Guidelines for Handling Techniques

[2] Definition from: The British Standards Institution (BSI) (2012). PAS 198.
[3] Definition from: The British Standards Institution (BSI) (2012). PD 5454 *Guide for the storage and exhibition of archival materials.*
[4] Definition from: The British Standards Institution (BSI) (2012). PD 5454.
[5] Definition from: Society of American Archivists (2016). Available from: http://www2.archivists.org/glossary/terms/a/archives [accessed 15 March 2016].

Preservation philosophy, standards and ethics

The University has a Risk Management Policy which "recognises the need to manage risk in order to be able to meet its strategic goals to thrive as a teaching-led, research-informed University." This is managed through risk registers. Library and Learning Spaces produces a risk register which feeds into the Student Support and Well-Being risk register which in turn feeds into the University register. The risk registers are reviewed 3 times a year to ensure they are kept up to date with current circumstances. Risk assessments and workplace assessments are undertaken annually and twice a year respectively.

Preventive conservation aims to prevent and slow down damage and deterioration of the collections. Interventive conservation, the application of conservation and restoration treatments, aims to understand and retain the object's physical integrity as well as its cultural significance.

A Preservation Assessment Survey (PAS) was undertaken by the Special Collections Librarian and Julia Foster at *Library and Archive Surveys* in September 2015. The PAS combined information on access, significance, use, condition and preservation measures in place, to determine preservation needs and priorities. The following was stated in the full report:

There is the need for some interventive conservation to stabilise material however this is dependent on use. For example most low use material will be adequately cared for if given appropriate secondary protection. Minimal intervention will be suitable for much of the Liverpool Hope University collection allowing the history and original design of the item to be retained. (PAS 2015, 1.5 *Recommendations,* pg.8)

Based on this recommendation and the lack of in-house conservation facilities and expertise, a philosophy of preventive conservation will be adopted by Special Collections at Liverpool Hope University. Measures taken to achieve this are detailed in this policy and in the Preservation Strategy.

Standards and guidelines

The following standards and guidelines are employed to develop our policies and procedures:

- British Library Preservation Advisory Centre. *Preservation guidance booklets*
- British Standards Institution (2012). PD 5454: *Guide for the Storage and Exhibition of Archival Materials*
- British Standards Institution (2012). PAS 198: *Specification for Managing Environmental Conditions for Cultural Collections*
- Collections Trust (2011). *Benchmarks in Collections Care*

Information from the following organisations was used in the preparation of this policy:

- British Library Preservation Advisory Centre
- Harwell Document Recovery Services
- Library and Archive Surveys

Historical context

Liverpool Hope University's Archives & Special Collections was founded in January 2013 following the completion of the environmentally controlled collection space built to British Standard specifications, referred to as 'the vault', together with the Reading Room and the adjoining open access room for the 19th and 20th century material. The collections include those gifted to the University and those on permanent loan to which we have a duty of care as custodians.

As a fledgling service the first priorities identified included the implementation of procedures for access and use, the collation and dissemination of information on handling techniques, and training in environmental management of collections. The Special Collections Librarian worked closely with academic community with LHU, utilising their subject knowledge to prioritise material for cataloguing to make readily available for students, and to determine the immediate preservation requirements of the rare books most at risk. Working with the John Rylands Library's Centre for Heritage Imaging and Collection Care (CHICC) team, the manuscripts, incunabula and early printed books identified, from this process, as high priority were cleaned, measured and bespoke boxes made using archival quality material to provide secondary protection.

All aspects of collection care now show evidence of good practice and we are achieving the highest standards in many areas of practice. The PAS 2015 provided a benchmark against collection item condition and best preservation management practice to effectively identify strengths and weaknesses and to help prioritise actions to ensure the long-term accessibility of the collections. The recommendations, (PAS, pp.6-10), have influenced the future preservation priorities in special collections as outlined in the Preservation Strategy.

Roles and responsibilities

The Special Collections Librarian takes responsibility for co-ordinating all preservation activities in Special Collections. There is no provision of in-house conservation expertise and therefore any such work is outsourced (funded by donations or income generation). The Special Collections Librarian must keep up-to-date with developments in the sector by attending training courses and self-directed learning and be able to work with conservators to commission work.

Special Collections staff received comprehensive training in handling rare books by the British Library's Preservation Centre and also training in preservation cleaning delivered by CHICC. Preservation and collections care is a pervasive function and is an integral part of all library activities therefore every member of the library staff, key academic staff, student workers, interns and volunteers all receive the same training, delivered by the Special Collections Librarian. This encourages an atmosphere of due diligence and care amongst all users of special collections.

Managing risks to the collections

Security

All archives and special collections are stored in a secure collection space; either in the controlled access Reading Room area, including the closed access vault, or the staff-only area of the library. All contractors and other personnel who, on occasion, require access for maintenance and cleaning, are accompanied. Some discrete collections, such as the Education Research Collection, are housed in the main library to increase accessibility during unstaffed hours.

Further security measures are covered by Security, details of which are not appropriate in a public document but are available internally.

Emergency response and business continuity

The *Emergency Planning & Disaster Response Policy* is in working progress and will be completed by the end of the academic year 2016-17.

Storage and environment

All storage of special collections and archives are within The Sheppard-Worlock Library. An environmentally controlled collection space, referred to as the vault, was purposefully built to ensure all archives, manuscripts and rare books are housed in conditions which meet minimum standards appropriate to the nature of the material concerned following relevant guidelines as stipulated in PD 5454:2012 and specifications concerning temperature, relative humidity and other environmental concerns as detailed in PAS 198:2012. Systems are in place for reporting issues to Estates, Security or senior management, as appropriate, for the remediation of any environmental problems.

There are currently two environmental concerns that will be addressed in the Preservation Strategy:

- There is a lack of humidity control within the vault as highlighted in the PAS 2015 (pp. 8, 21). Daily humidity readings are taken to monitor levels and there are plans to liaise with Estates to rectify the situation.
- Action will need to be taken to introduce an Integrated Pest Management system. This will be researched and implemented by the Special Collections Librarian.

Housekeeping and cleaning

Ongoing environmental monitoring of the closed access vault will be undertaken to ensure the efficacy of existing controls and to inform preservation planning to include general housekeeping routines and a preservation cleaning programme. Good housekeeping is essential in reducing the risks from pests and the build-up of dust. All storage areas are cleaned on a rota system by the University Cleaning Services and monitored by the Special Collections Librarian.

Access

Special Collections is located in The Sheppard-Worlock Library, Hope Park Campus and collections are accessible to staff, students and other registered users of the library. Access will also be provided to visitors in accordance with the Access Information for External Users (www.hope.ac.uk/lifeathope/libraryand learningspaces/accessfor externalusers/) from Monday to Friday 09.30 to 16.30 during term time, and by appointment only during vacation periods.

For some material the financial value, the fragile or sensitive nature of the material, or the history or special attributes of a specific collection require such items to be used in the controlled conditions of the Reading Room supervised by a member of staff. They will be subject to particular procedures governing admission, security and the use and handling of such material.

Use and handling

The main cause of damage to library special collections is sustained through poor handling. Damage is often cumulative and not immediately apparent. A culture of good handling will ensure continued access to collections and help preserve them for future generations. All users have a responsibility for the care of the collections. Users are required to follow the Reading Room Regulations, such as no food or drink, bags to be stored in lockers, and pencils only.

All new users receive an induction which explains these regulations and the Special Collections Librarian demonstrates how to use the foam book supports and snake weights provided to help handle items carefully. The Special Collections Librarian or another member of Library staff are always present to supervise users and also to offer assistance when needed. Special Collections staff are empowered to enforce the regulations and are encouraged to do so in a supportive way by explaining the unique qualities of individual items.

There are a few items that are very fragile and over-handling could damage them. This concern is noted when they are catalogued, cleaned or otherwise handled and users notified accordingly. Such items are high priority for conservation work but this may not always be possible or appropriate. We will endeavour wherever possible to provide a surrogate for users to consult.

Transportation

Appropriate handling and security measures will be in place for the movement of any materials outside of their normal collection space and specific and more controlled procedures will be followed. The risks of transport will be regularly assessed and appropriate measures, including security measures, implemented and regularly reviewed to reduce risk wherever possible.

Photocopying and photography

Photocopying is not permitted for material held within Special Collections. Library staff will undertake copying of items, subject to its format and condition, and will endeavour to reduce the risk of damage to the original. Where the risk is too great, requests for copying will be refused.

Users are permitted to use digital cameras, smart phones or other hand-held devices (without the use of flash) to take images for private research and study only provided that permission from the

Special Collections Librarian has been obtained. Permission will be refused if there is a risk to the material, or if it breaches legal or contractual restrictions. The University Reprographics Services can provide professional reproductions of images for academic publication or commercial venture subject to permissions obtained from Collection Owners, compliance with UK Copyright Law and any contractual restrictions. A charge for these services may be applied. Each request will be dealt with on an individual basis by the Special Collections Librarian.

Surrogacy and digitisation

Surrogacy is the reproduction of fragile originals in a new format, usually created digitally in-house, although they may be printed for ease of handling in the Reading Room. A preservation surrogate can help prolong the life of an original in poor condition or subject to heavy use by protecting it from over handling and repeated copying. Users will be encouraged to consult surrogate copies if they are available, however, it is acknowledged that the historic significance of the original format may be as important as the content it provides. In these circumstances access to the originals may be permitted at the discretion of the Special Collections Librarian.

Special Collections is committed to investigating future development ideas in digitising the collections to preserve its special collections, and to disseminate and promote the information they contain more widely to users at LHU and beyond.

In the application of future digitisation projects the selection of content is governed by the following criteria:

- To promote the use of Special Collections to a wider audience
- The significance and value of the material
- The physical condition of the material
- The amount and nature of usage
- The exhibition of special collections materials

The Library is aware of the potential risk of damage to special collections materials and this will be considered in the event of a decision to establish a programme of digitisation. A conservation survey is an intrinsic part of any digitisation project and appropriate conservation work needs to be costed into all projects. Digitisation can often increase demand for access to the original so every attempt must be made to protect its integrity and conservation may take place to support this. All materials required for any form of surrogacy will be assessed for their suitability by the Special Collections Librarian. As progress is made towards plans for digitisation, appropriate documentation will be produced.

Exhibitions

Special Collections has two secure exhibition cases, of museum standard specifications, suitable for displaying rare books.

In the event of a collaboration with other partners on an external exhibition, original material would only be loaned if environmental conditions met our requirements and issues concerning security,

insurance and other legal requirements were satisfied. The borrower would be required to sign a standard agreement.

Donations and new acquisitions

There is no provision for a quarantined area for new donations or acquisitions coming into Special Collections, however, new material is not introduced to the closed access vault until a visual inspection has been made by the Special Collections Librarian. Wherever possible an inspection is made before an agreement has been formally accepted prior to transportation. If there is evidence of pest infestation or an outbreak of mould that could pose a threat to existing collections, the material will not be accepted. A survey will be undertaken as soon as possible after a new collection is received to record full details including the condition of the material on deposit.

Training

The Library and Learning Spaces Services recognises the need for continuing professional development (CPD) for all staff working with special collections in order to maintain the highest level of awareness of developments in preservation practice, materials and procedures.

Implementation of this policy

This policy sets out the fundamental principles for collections care in Liverpool Hope University's Archives & Special Collections, and is approved by the Library Steering Group.

The Director of Library and Learning Spaces and the Special Collection Librarian will also draw up a Strategy for Collections Care to address the key issues that arose from the Preservation Assessment Survey and propose a strategic way forward. This strategy will then be updated on an annual basis and embedded in the operational plans of all relevant Library activities.

Version & Policy review

This is the first version of this policy.

This policy will be reviewed by The Director of Library and Learning Spaces and the Special Collection Librarian on a biennial cycle and approved by the Library Steering Committee. The next review is due by June 2018.