

Lancaster University Special Collections and Archives University Archives Collection Development Policy

1. Introduction

- 1.1. This policy sets out how the Special Collections and Archive at Lancaster University seeks to develop our institutional archive collection, known hereafter as the University Archive. This policy should be read in conjunction with the Special Collections and Archives' policies relating to wider collection development, access and collection care.
- 1.2. This policy has been developed following the Writing a Collections Development Policy and Plan (2018) by The National Archives and the Code of Ethics produced by the Archives and Records Association.
- 1.3. The policy has considered the following legislation and standards:
- Data Protection Act, 2018 with UK GDPR.
 - Freedom of Information Act, 2000.
 - Copyright, Design and Patents Act, 1988, following exceptions for Library and Archives introduced in 2014.
 - Open archival information system (OAIS) Reference model, ISO 14721:2012.

2. Vision

- 2.1. The Special Collections and Archives (SCA) preserves and provides access to Lancaster University's unique collections. The SCA will use our collections to support the research profile of the Library and the University. We aim to make our heritage available for everyone and enhance learning and research activities at the University and beyond. We aim to continually improve our services and create meaningful experiences for people to engage with our collections.
- 2.2. This vision is closely aligned with the themes in The Library Towards 2025, is ambitious and will help to re-define our approach to developing collections:
- **Digital Physical:** We take a digital first approach to developing, managing and enhancing access to our collections, ensuring that there is no separation between digital and physical.

- **Connected Connector:** We will place our collections and activities at the heart of our communities both within and outside the University to enhance and develop partnerships.
- **Equality, diversity and inclusion:** We will ensure our activities and collections are diverse, inclusive and provide equitable access to all.
- **Innovative Sustainable:** We will be innovative and sustainable in our approach to the management of our collections.
- **Local Global:** We will maximise the reach and impact of our services to place the SCA within a global context while engaging with the local area.

3. Purpose

3.1. The Special Collections and Archives are responsible for the collection, management, preservation and providing access to the University Archive. Our University Archive provides long term accountability and documents our corporate memory by contributing to the understanding of:

- Our history
- Our achievements
- Our Governance and operations
- The environment in which the University operates
- Our impact on our communities both locally and internationally.

3.2. The University Archive is retained by Lancaster University for the purpose of:

- Institutional compliance with record keeping legislation
- Furthering research and scholarship
- Supporting teaching and learning
- Public benefit.

4. Scope

4.1. The University Archive comprises records of historical importance generated or directly related to the activities of Lancaster University since its conception in 1961. This includes, but is not limited to:

- Records generated by Lancaster's Council, Senate, Senior Officers and Executive Management, Faculties, Departments, Divisions, Research Centres and Institutes Schools, and Colleges when carrying out their functions and activities. Categories of records collected will be informed by the Lancaster University Retention Schedule.

- Records generated by our wider communities directly related to the activities of the University or those which provide evidence of their experience at Lancaster, including students, alumni and affiliated organisations.

4.2. The materials can be in any format usually found in archives and libraries, including born-digital records, providing this form can be safely stored and readily made available to users given our staff and space constraints.

4.3. Materials which are indirectly related to the University, including the records of affiliated organisations or records resulting from research projects, will be considered on a case-by-case basis to decide whether they fall under the remit of the University Archive or should be treated as distinct collections under the remit of our wider SCA collections development policy.

4.4. Some records captured for University Archive include personal information about living individuals. The SCA does this as part of its purpose of archiving in the public interest. Measures will be taken to ensure any personal information archived is held securely and access is aligned with Data Protection principles and Freedom of Information Act exemptions.

5. Acquisition

5.1. Acquisitions for the University Archive will normally be transferred directly to the SCA by officers of the University who have records management responsibilities.

Transfers will only occur once the records have been deemed to be no longer required for active business purposes following the Lancaster University Retention Schedule. It is the responsibility of the officers to regularly review the retention status of the records they manage, with support from the Records Management Officer. Any types of records deemed not suitable for long-term preservation in the Lancaster University Retention Schedule should be disposed of securely after the end of their designated retention period. Training and support for officers responsible for records management will be available from the Strategic Planning and Governance and the SCA. The SCA reserves the right to contact officers to ensure that the University Archives represents an accurate and complete record of the activities of Lancaster University.

5.2. The SCA should be contacted before any records are transferred to the University Archive. Internal transfers will be managed following the University Archives' transfer

procedures and be documented by an accession transfer form and the University Archive accession register.

5.3. The SCA also accepts gifts or bequests of materials for the University Archive from other sources if they fall within the scope of the collection. Transfer of ownership is required by default and no materials will be accepted for the University Archive in the form of deposits or long-term loans. Donations will only be accepted from the legal owners of the materials and the SCA reserves the right to ask for proof of ownership. All external donors are required to complete the SCA donation agreement and donations will be documented on the University Archive accessions register.

5.4. The SCA reserves the right to refuse any transfers or donation of materials. This includes materials:

- Which do not fit within the remit of this collection policy.
- are duplicates of materials already held in our collections.
- Which pose a hazard to staff, researchers, or our existing collections. This includes materials infected with mould or pests or physical records treated with hazardous substances.
- which the SCA does not have the facilities to available or store it securely due to its size or format.

6. Accessioning and Cataloguing

6.1. Once transferred, the materials will be allocated an accession number and documented on the University Archive accession register. On receipt, SCA staff will allocate storage locations for the material and carry out basic preservation procedures following our Collections Care policy and related procedures. The transferring officer will be sent a receipt for the accession once it has been processed including an accession number and a brief description of the contents of the accession.

6.2. The materials will be added to a cataloguing schedule to be fully processed. They will be documented following current industry standards, and the catalogue data will be made publicly accessible following our documentation procedures.

7. Access Restrictions

- 7.1. Access to the University Archive will be governed by the SCA Access policy and procedures and will be subject to requests under the Freedom of Information Act (2000).
- 7.2. Closure periods can be requested by donor or transferring officer, this will be decided on a case-by-case basis and where possible open access will be preferred.
- 7.3. In line with the Freedom of Information Act 2000 and the Environmental Regulations 2004, records held in the University archive will be open to the public unless a specific exemption applies. Guidance on applications for information under the Freedom of Information Act 2000 can be found on the University [Freedom of Information Webpage](#).

8. Withdrawals

- 8.1. Materials transferred by Officers of the University may be subject to further appraisal following the Lancaster University Retention Schedule. Transferred materials cannot be returned once they have been officially accepted into the University Archive. Requests for access and loans from officers of the University will follow the SCA Access policy and related procedures.
- 8.2. Materials donated to the University Archive cannot be returned to their original owners after the signing of a donation agreement and they have been officially accepted into the collection.

9. Data Protection and UK GDPR

- 9.1. We will keep the details of any donors and University officers in line with current Data Protection and GDPR legislation. Their details will only be used in conjunction with the management of the collection and not shared without their consent. External donors can opt to have their name acknowledged on our catalogue descriptions.

10. Review

- 10.1. Policy prepared by Katie Waring, Special Collections and Archive Manager, Oct 2024. The policy was approved and review by the Library Strategic Advisory Group on 2 December 2024. This policy will be reviewed every two years. Next review is due by December 2025.