EDUCATION AND STUDENT EXPERIENCE
LIBRARY & CULTURE SERVICES
HERITAGE COLLECTIONS

Collections Development Policy – Special Collections

1. General

As part of its commitment to education and research, The University of Exeter collects specialist materials through its Heritage Collections for access and preservation. Our policy for accepting and managing these collections is set out below, together with guidelines on the decision-making processes.

Heritage Collections currently builds on its existing collection strengths. The aim for future collecting is to create a development strategy in consultation with the University’s Colleges. This will be published following consultation and will ensure our collections are managed in accordance with national guidelines, whilst remaining relevant to the University’s research strategy and research-led teaching (see Section 2 below).

2. Collection Development

Current areas of specialisation are:

- Special materials of individuals, predominantly creative writers, who have lived in, or have clear connections, with the South West, especially Devon, Cornwall, Somerset, Dorset and Wiltshire, where these support the research and teaching strategies of the University.
- Special materials of literary, cultural and historical organisations and individuals, which relate directly to the South West.
- Special materials (predominantly English-language) relating to the Middle East and its relationship to the UK, where these cover areas of research and teaching strategies.

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1 For information and research on drivers for acquiring material in higher education institutions see Caroline Williams, Collecting Drivers for Higher Institutions with Archives and Unique and Distinctive Collections (RLUK, TNA) November 2016 [http://www.rluk.ac.uk/wp-content/uploads/2014/02/collecting-drivers-for-higher-education-institutions.pdf](http://www.rluk.ac.uk/wp-content/uploads/2014/02/collecting-drivers-for-higher-education-institutions.pdf).

2 Under review.
• Special materials which are directly relevant to, add to, or complete, existing holdings (i.e. additions to an existing archive collection).
• Special materials of cultural significance that are demonstrably related to the above collecting themes, the research and teaching strategies of the University and are appropriate for long-term preservation.

3. Acquisition and Management

3.1 As part of its responsibility to meet national standards in the care and use of collections, the University maintains an accession register of all additions to the collection and follows appropriate procedures for collections management. We take account of limitations on collecting imposed by factors such as staffing, storage and ongoing care of collections.

3.2 Collections are accepted as donations, or occasionally purchases.

3.3 Other than in exceptional circumstances, loans are not accepted. No collections or single items are accepted on 'permanent loan'.

3.4 All new additions to the collections must include information on provenance and donors must confirm they have the legal authority to transfer the material to Heritage Collections. Donors may be asked to provide documentary proof of ownership.

3.5 Major heritage items can be acquired through the Arts Council England's Acceptance in Lieu scheme which offers substantial tax advantages.

3.6 New additions are collected in a range of formats, subject to significance, relevance, storage needs and curatorial capacity.

3.7 Archive collections are held in closed-access controlled storage areas amounting to 2.5 km.

3.8 Book collections are held in a range of closed access storage facilities, amounting to 2.3 km.

3.9 Acquisitions purchased with the assistance of grant aid will be held subject to the terms and conditions applied by the funding bodies.

3.10 Lists of materials must be provided with deposits where bulk is likely to render the documents otherwise inaccessible until processed.

3.11 All acquisitions are appraised on accession, and materials not selected for preservation are returned or de-accessioned and disposed of.

3.12 Heritage Collections will undertake the sorting, weeding and listing of collections in a strict order of priority, based on relevance for research and teaching, staffing resource and any existing cataloguing backlogs (see also Draft Guidelines on Deposit, below)
4. **Items Not Accepted**

4.1 The University does not accept materials that:

- Fall clearly within the collecting policies of other repositories, unless by agreement with another institution.
- Would contravene any international, national or local ethical policies if collected.
- Are of insufficient significance, quality or authenticity to be considered appropriate for long-term preservation.
- Do not fit with thematic strengths of the collection.
- Duplicate material already held in Heritage Collections or elsewhere in the Library.
- Require significant conservation work, or may put other collections at risk if added to the collections (i.e. show signs of active pest activity) unless there is funding attached to the items to undertake appropriate remedial/conservation work.
- Cannot be adequately stored or made accessible within the Heritage Collections resources.

Heritage Collections may recommend other organizations or institutions to a prospective donor if appropriate.

5. **Access and cataloguing**

5.1 The University of Exeter acquires material in order to make it available for research and public access (subject to Data Protection legislation). Special conditions of closure for materials may be negotiated on deposit in exceptional circumstances, where the importance of retaining closed records for future posterity clearly outweighs the issues of managing closed records.

5.2 Access to the physical collections is provided during opening hours through the Ronald Duncan Reading Room in the Old Library, with the following exceptions:

- Specific items or sets of items that are currently closed or are subject to restrictions under Data Protection legislation.
- Specific items or sets of items are unfit for production due to their physical condition. (A digital surrogate may be offered if a physical item is unfit for production).
- The collection is not catalogued/listed to an adequate level to ensure its security if opened for research (see below).

5.3 Materials in Special Collections are catalogued onto the online archives catalogue and the University library catalogue, accessible from the library’s homepage. A collection level description of new materials is completed as soon as possible after accession on the University’s archive catalogue.

5.4 Subject to resource, access and consultation copies of items may be made available digitally.
5.5 Information on our collections is also provided to the National Archives (Discovery database), the register of English Literary Manuscripts and letters, the Archives Hub and, via the Archives Hub, the European Archives Portal. A selection of digital materials are accessible on the University’s digital repository and are freely available to download.

6. Terms of Disposal/De-accession

6.1 It may be necessary on occasion to transfer or de-accession materials.

6.2 Disposal is carried out transparently and in cases where transfer/de-accession is considered the appropriate course of action, expert advice will be sought and the views of internal and external stakeholders including donors, researchers and the communities served by the Heritage Collections will be taken into account. Heritage Collections staff will also establish if materials were acquired with the aid of an external funding organisation. In such cases, any conditions attached to the original grant will be followed.

6.3 Heritage Collections does not undertake disposal motivated principally by financial reasons.

7. Making a Donation - Guidance

7.1 As there is an expectation that donations are gifted permanently to the collections, prior to accepting a collection these are the key areas for consideration:

7.1.1 Academic content, significance, quality and depth of research

Curatorial staff consult academic colleagues to ascertain whether and how the proposed donation will contribute to research and teaching in the institution.

- For collections relating to English south west studies (the strategic focus of current acquisitions) curatorial staff consult with the appropriate Deans for Research and Education in the College of Humanities.
- For collections relating to other Colleges, curatorial staff consult with the appropriate Associate Deans for Research and Education in the first instance.
- Advice from members of the Colleges will form the key business case for why the University should accept material on the basis of its research/teaching potential.

7.1.2 Management context

- How a collection fits in with existing collection policies by completing or adding to an important collection.
- If it is a “new” area for collecting, whether it is likely to provide sufficient depth as a resource for research?
7.1.3 Ethics

- Whether acquisition would comply with the Code of Ethics of the Archives and Records Association (of which the University is a corporate member).³

7.1.4 Resource to manage and provide access

- Whether there is a realistic opportunity to attract research and cataloguing funding for the collection. Whether applications for grants will be submitted for research on the collection.
- If the potential donor is offering funding to assist with maintaining the collection in the future.
- Whether there are sufficient appropriately trained professional staff to catalogue and render the resource accessible. If not, how additional resource will be funded.
- Whether an inventory of the collection will be provided by the donor on deposit to enable access to the collection prior to full cataloguing.
- Size of the collection and whether there is physical/digital space to manage it.

7.1.5 Condition

- Whether the acquisition requires significant preparation/conservation before it can be consulted. If conservation is required, whether there are funds in the University, or externally, to assist with this.

The decision-making process can take time and donations cannot be accepted “off the cuff”, without consultation.

Donations are accepted on behalf of the University of Exeter, subject to completed legal agreements where appropriate, or clear documentary information demonstrating the donor’s offer to give the material to the University and its acceptance by the University. In all cases it is recommended that donors discuss the potential donation with the Head of Heritage Collections prior to making any offer.

The checklist in the Appendix will assist in consultation and the decision-making process. Curatorial staff may make a site visit prior to acceptance of a collection.

8. Review

³ The Code states that members should acquire records in accordance with the purposes and resources of their institutions. They should not seek or accept acquisitions when this would endanger the integrity or security of records; they should co-operate to ensure the preservation of these records in the most appropriate repository.
8.1 This collection policy is an active document which will be reviewed in the light of changes in the Library and the University, not less than every five years.

This collection development policy has been created from previous collections policies in consultation with documentation produced by colleagues on the Cornwall campus.

CJ Faunch, Head of Heritage Collections

Appendix 1
Checklist for potential donations – it is important to work through the checklist when considering a donation as this will provide the main business case for accepting an archive.⁴

<table>
<thead>
<tr>
<th>Area</th>
<th>Guidance</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Donor Details</td>
<td>Name/address/telephone/email</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Relationship/link with the institution</td>
<td></td>
</tr>
<tr>
<td>Collection rationale/history</td>
<td>Theme/rationale/history of the collection and reason for collecting this material</td>
<td></td>
</tr>
<tr>
<td>Scope of collection</td>
<td>Dates, breadth/will this be an on-going collection with future deposits?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>If yes, what are the space/growth implications?</td>
<td></td>
</tr>
<tr>
<td>Details of the collection</td>
<td>What formats are contained within the collection e.g. books, papers, art work including size, digital material (specify)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Are there any obsolete formats that will require specialist work to make them available for research? For example, reel to reel tapes?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Will the donor supply a list or comprehensive description?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Estimated value of the collection if appropriate (any valuation details) and insurance costs.</td>
<td></td>
</tr>
</tbody>
</table>

⁴ Checklist created by S Jane, Archivist, Cornwall Campus, with additional information by C Faunch.
| **Size of collection** | To include potential shelf space required (in metres) number of volumes, number and approximate size & condition of boxes.  
Will the collection physically fit onto the shelf in its current packaging or will it require re-packaging prior to transfer? |
|------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| **Condition of the collection** | Is the material in good condition; is there any evidence of pest or mould damage, are repairs and/or digital surrogates needed?  
If so what are the potential costs of this? |
| **Maintaining the collection** | What is required in terms of storage, packaging, preservation? Are there specific storage conditions required?  
Proposed location of the collection?  
Are there any security aspects to be taken into account? |
| **Terms of the donation** | Is the donation an outright gift with no conditions attached?  
If there are conditions, would it be possible/realistic to accommodate these in the longer as well as short term?  
Note: the strongly preferred position is gift, with no conditions attached, as this allows the University to make the collection available and to bid for external funds to complete work such as cataloguing. |
| **Copyright** | What are the copyright conditions of the collections? Can these be negotiated or licenced to the Heritage Collections? This may not always be known/clear.  
(NB. transfer of ownership for the Collection does NOT equal transfer of ownership of copyright of the materials, but it is strongly recommended that negotiation to obtain copyright/or licence for specified use, is negotiated.) |
| **Costs and funding** | What are the potential cataloguing costs of the material?  
What are the potential processing, packaging, display, conservation, and stationery costs? |
<table>
<thead>
<tr>
<th>Relevance to research</th>
<th>We would normally expect the donor to make arrangements concerning transportation to the University at their own cost and risk.</th>
</tr>
</thead>
</table>
| Relevance to research to learning and teaching | Is this donation sponsored by academic colleagues? (see above)  
If so, what research opportunities have been identified with this material?  
Is the donation likely to be substantial enough for a potential PhD? |
| Relevance to learning and teaching | How will this material be used in research and taught courses of the institution?  
Does it fit with the profile of the institution (i.e. is there a more suitable repository)? |
| Funding | What research-related funding opportunities are available and is there a realistic expectation of obtaining them?  
What funding opportunities, if any, are available in the archives, cultural or alumni/legacy sectors?  
Is the donor able to offer financial assistance to make the collection accessible (i.e. funding towards cataloguing/preservation)? |
| Links to other collections/archives | Are there other linked collections elsewhere? Are there potential opportunities for collaboration with other organizations e.g. funding bids?  
Is there the potential to loan to other institutions/organisations? |
| Access | Are there any access restrictions relating to the material?  
If so please give details.  
Is any specialist equipment needed to provide access to non-standard formats (i.e. vinyl records, transfer to digital formats)? |
| Decision to proceed | Consultation  
- Head of Library & Culture Services in the case of large, important collections  
- Head of Heritage Collections  
- College representative |
<table>
<thead>
<tr>
<th>Decision to Accept/Reject</th>
<th>Communicated to donor. Next steps:</th>
</tr>
</thead>
<tbody>
<tr>
<td>If accept then next stage pre-transfer arrangements</td>
<td>- Legal agreement</td>
</tr>
<tr>
<td></td>
<td>- Dialogue with Donor</td>
</tr>
<tr>
<td></td>
<td>- Timescale</td>
</tr>
<tr>
<td></td>
<td>- Preliminary lists</td>
</tr>
<tr>
<td></td>
<td>- Transfer</td>
</tr>
</tbody>
</table>
## Appendix 2

### INDICATIVE COSTINGS FOR ARCHIVAL PACKAGING, LISTING AND STORAGE

<table>
<thead>
<tr>
<th></th>
<th>Single Unit</th>
<th>Box</th>
<th>Shelf (based on 6 boxes per shelf)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Archival box</td>
<td>£5.40**</td>
<td>£5.40</td>
<td>£32.40</td>
</tr>
<tr>
<td>Folders</td>
<td>£0.58</td>
<td>£8.70</td>
<td>£57.87 per 100</td>
</tr>
<tr>
<td>A4 Polyester sleeve</td>
<td>£0.86</td>
<td>£43.20 (pack of 50)</td>
<td>£259.20</td>
</tr>
<tr>
<td>A3 Polyester sleeve</td>
<td>£2.30</td>
<td>£57.60 (packs of 25)</td>
<td>N/A</td>
</tr>
<tr>
<td>A1 Polyester sleeve</td>
<td>£3.82</td>
<td>£95.52 (pack of 25)</td>
<td>N/A</td>
</tr>
<tr>
<td>Photographic ring binder box</td>
<td>£40.74</td>
<td>£40.74</td>
<td>£244.44</td>
</tr>
<tr>
<td>Ringbinder sleeve 1-4 pocket</td>
<td>£2.00 (4 pockets)</td>
<td>£100 (pack of 50)</td>
<td>£150.00</td>
</tr>
<tr>
<td>Inserts</td>
<td>£0.23</td>
<td>£23.52 (pack of 100)</td>
<td>£142 (based on one pack per box)</td>
</tr>
<tr>
<td>Initial box listing with donor/archivist – NB additional liaison time, preparing agreements etc.</td>
<td>£19 per hour</td>
<td>£38</td>
<td>£228</td>
</tr>
<tr>
<td>Full cataloguing</td>
<td>£19 per hour (based on University pay grades)</td>
<td>£121 per box/day (based on average 1 box per 7 hour day).</td>
<td>£726 (average 1 shelf per week)</td>
</tr>
</tbody>
</table>

- **Conservation costs**
  - Immediate costs, variable, based on specific estimates

- **Storage**
  - Based on costings for external storage at favourable rates
  - *£95 per annum per shelf

- **Retrieval for readers/seminars**
  - *Average 25 retrievals per annum based on 30 minutes per retrieval

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5 Information supplied by S Jane with additional information by C Faunch.