Archives & Special Collections
Access Policy

1. Purpose and scope

In line with the vision of the Library Development Plan,

> *"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",*

Archives & Special Collections (A&SC) cares for and makes available in perpetuity the unique and distinctive collections of the Liverpool Hope University (LHU), and aims to enable the widest possible use of its collections by students, staff, the wider scholarly community and university stakeholders.

This Access Policy is intended to outline the standards and processes involved in making the collections discoverable and accessible, including plans for future development and improvement, and to provide information on the nature of the different users and guidance to the services offered to them.

This policy is supported by other policy documents:

- A&SC Collection Development & Management Policy
- A&SC Collection Care & Conservation Policy
- A&SC Salvage Plan
- Reading Room Regulations and Handling Guidelines
- Liverpool Hope University Major Incident Plan
- Information Literacy Strategy (IL Strategy)

The context and definition of the service and collections are discussed more fully in the *A&SC Collection Development & Management Policy*.

2. Principles of access

A&SC aims to ensure that access to our rich collections are free and accessible to all whilst safeguarding them for future generations. Primarily, access is provided to Liverpool Hope University staff and students, in the form of teaching sessions and research support, and to other audiences by request.

A&SC is committed to engaging with Liverpool Hope University's policy on Equality and Diversity.[1] The Library also works with the Learning Support Team[2] in helping support students with additional needs.

3. Service Users

A&SC services are accessed by multiple stakeholders. Statistics are kept in order to gather detailed evidence about our users. These include: numbers of research visits; researcher type and institution (if appropriate); teaching session use; internal and external collaborations; remote enquiry statistics; and informal feedback.

Our core users fall into the following categories:

- LHU students (undergraduate and postgraduate)
- LHU academic staff
- LHU professional services staff (including Corporate Communications, Student Development and Well-being, International Unit, Student Recruitment)
- LHU alumni and former members of staff
- Students and academics from other UK HE institutions
- Students and academics from international HE institutions
- Independent researchers
- Local community groups
- Donors and depositors of collections and partnerships developed through the deposit and loan of collections

A&SC is keen to contribute to the University's mission to engage in the culture and heritage activities of the wider community, and in addition will proactively identify and cultivate new audiences.

A&SC is part of the Library's *Information Literacy Strategy* (IL Strategy) and as such proactively encourages the use of the archives and special collections in teaching sessions within the Reading Room. Sessions should be booked in advance with the Special Collections Librarian who will prepare the materials required, provide appropriate

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[1] Liverpool Hope University (2019). *Equality and Diversity Policy* [online]. Liverpool Hope University. Available from:
<https://www.hope.ac.uk/media/gateway/studentgateway/supportandwellbeing/studentadministrationdocuments/Equality%20and%20Diversity%20Policy%202018%20(2).pdf> [accessed 26 June 2020].
[2] Liverpool Hope University (2019). *Learning Support* [online]. Liverpool Hope University. Available from:
<https://www.hope.ac.uk/gateway/staff/studentsupportandwell-being/learningsupport/> [accessed 26 June 2020].

equipment e.g. book rests, and guidance on how to handle the rare materials. Information is also available on the website, including the *Reading Room Regulations*[3].

Visiting researchers wishing to view the archives and special collections may do so only by prior arrangement. Such appointments will be offered when appropriate library staff are available and therefore may not be possible at short notice. Priority will be given to LHU staff and students in pursuit of supporting the learning, teaching and research activities of the university. Use of the collections for commercial purposes is not prioritised, and can be limited due to the restrictions to access as stated below.

4. Services

4.1 Using the Reading Room

The A&SC Reading Room in The Sheppard-Worlock Library provides facilities for all users to consult collections, supervised by library staff. Opening hours are from 9.30am to 4.30pm, Monday to Friday, except during closed access periods over the Christmas and Easter vacations. Dates are revised and advertised on the library website. Visitors are requested to book an appointment to view materials in advance to enable staff to prepare resources. All users have a duty of care and are required to abide by regulations pertinent to the use of archives and special collections as stipulated by the *Reading Room Regulations*.

The Reading Room holds the reference collection, printed catalogues and finding aids, seating for 20 users, sockets for laptops and wi-fi access. Reading aids such as magnifiers and a light sheet are available upon request. Secure storage is provided for readers' coats and bags in the adjacent open access room. Upstairs in the Andrew F. Walls Centre there is a PC dedicated solely to searching the library catalogue and a microfilm/fiche reader with attached PC software for capturing images to pen drive. The Reading Room is used for individual research, teaching sessions and outreach activities and is fully wheelchair accessible.

4.2 Enquiries and Appointments

The A&SC enquiry service is operated primarily by email (specialcollections@hope.ac.uk) and telephone (0151 291 2027), with some enquiries received by post and social media. We aim to reply within two working days, but the time will vary depending on the nature of the request.

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[3] Liverpool Hope University (n.d.). *Reading Room Regulations and Handling Guidelines* [online]. Archives & Special Collections. Available from: <https://www.hope.ac.uk/media/lifeathope/library/documents/Guide%20to%20handling%20rare%20books.pdf> [accessed 26 June 2020].

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A&SC does not operate a paid research service, and does not have the capacity to undertake detailed research for enquirers, however, library staff will endeavour to answer queries as fully as possible within the limits of its resources.

To make an appointment to visit the A&SC Reading Room, please give a brief description of the research being undertaken, a favourable date(s) most convenient for a visit, and an estimate of the time allocated for each visit, i.e. number of hours, half a day, or several concurrent days.

Please also indicate the **name** of the archive, the **box number**, or the **reference/call number** of the item(s) you wish to view, if known. This information is available from the Library catalogue or indicated on the corresponding finding aid, available to download from the A&SC webpages.

You may be asked to bring to the appointment one or both of the following:

- a photographic form of ID e.g. a passport, student ID
- a letter of recommendation from the university you attend or the organisation you are employed by

The Special Collections Librarian will advise you on what you need to bring, how to find us, and what to do when you arrive on campus. A&SC is located in The Sheppard-Worlock Library at the Hope Park campus in Childwall.

4.3 Reprographics

A&SC offers a reprographics service, subject to copyright law, preservation stipulations as outlined in the *A&SC Collection Care & Conservation Policy,* data protection and business sensitivity. Surrogate copies may be available and, where possible, will be provided by the Special Collections Librarian. Visitors to the Reading Room may take their own digital photographs free of charge, without flash, for non-commercial research purposes only, and subject to staff approval. Users will be required to complete a *Use of Digital Photography Form*. A&SC also offers a copying service for readers and remote users, by digital scanning or digital photography. There is a fee to cover the cost for providing this service, further details can be found in the *Reprographics Services Request form*, available from our website.

5. Restrictions to access

The catalogued collections of A&SC are open to all, unless there are legal or other substantive reasons to restrict access to them.

5.1 Legislation

A&SC complies with legislation that informs the management of archives and special collections including:

- Copyright and Related Rights Regulation 2003[4]
- Data Protection Act 2018[5]
- Freedom of Information Act 2000[6]
- Equality Act 2010[7]

For personal information restricted under the Data Protection Act 2018, it will be necessary to provide proof of 'next of kin' or a family connection. A&SC follows The National Archives guidance on archiving personal data[8] with particular reference to closure periods.[9] Access to information is at the discretion of the Special Collections Librarian. Restricted access to archives is indicated on the Library catalogue or on the accompanying finding aid with the restricted files clearly labelled, available on the website. Uncatalogued archives are not available until they have been assessed and any collections considered to be high risk are automatically restricted. Decisions on restrictions are reviewed when users request access.

5.2 Standards

A&SC aims to comply with the following standards:

- Collections Trust and British Standards Institution (2009). PAS 197: 2009, Code of Practice for Cultural Collection Management[10]
- British Standards Institution (2017). BS 4971:2017 Conservation and care of archive and library collections[11]

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[4] *Copyright and Related Rights Regulation 2003.* (SI 2003/2498). London: HMSO. [Online]. Available from: <http://www.legislation.gov.uk/uksi/2003/2498/contents/made> [accessed 26 June 2020].

[5] *Data Protection Act 2018*. (c.12). London: HMSO. [Online]. Available from: <http://www.legislation.gov.uk/ukpga/2018/12/contents/enacted> [accessed 28 May 2020].

[6] *Freedom of Information Act 2000*. (c.36). London: HMSO. [Online]. Available from: <http://www.legislation.gov.uk/ukpga/2000/36/contents> [accessed 28 May 2020].

[7] *Equality Act 2010*. (c.15). London: HMSO. [Online]. Available from: <http://www.legislation.gov.uk/ukpga/2010/15/contents> [accessed 26 June2020].

[8] The National Archives (2018). *Guide to archiving personal data* [online]. The National Archives. Available from: <https://www.nationalarchives.gov.uk/documents/information-management/guide-to-archiving-personal-data.pdf> [accessed on 26 June 2020].

[9] The National Archives (2019). *Closure periods* [online]. The National Archives. Available from: <https://www.nationalarchives.gov.uk/documents/information-management/closure-periods.pdf> [accessed 26 June2020].

[10] Collections Trust and British Standards Institution (BSI) (2009). *PAS 197:2009 Code of Practice for Cultural Collection Management* [online]. Available from: <https://shop.bsigroup.com/ProductDetail?pid=000000000030175180> [accessed 28 May 2020].

[11] The British Standards Institution (BSI) (2017). *BS 4971:2017 Conservation and care of archive and library collections* [online]. Available from: <https://shop.bsigroup.com/ProductDetail/?pid=000000000030343305> [accessed 28 May 2020].

5.3 Guidelines

The corporate lead in these areas is taken by the University's Legal Services, Governance and Risk. A&SC also seeks help from experts in the sector, particularly The National Archives and The British Library.

5.4 Conservation

Special Collections aims to enable the widest possible use of its collections by students, staff and researchers and provide reasonable access within a framework of regulations designed to preserve rare, valuable and fragile materials. Restrictions to access may be imposed when considering issues such as; use and handling, surrogacy and digitisation, and photocopying and photography as specified in the *A&SC Collection Care & Conservation Policy.* All users unfamiliar with handling archives and rare materials will be given instruction by the Special Collections Librarian. For material deemed too fragile, a surrogate in the form of a digital reproduction may be provided. Refer to *Reprographics* above for further information.

6. Discoverability

6.1 Cataloguing

The Sheppard-Worlock Library implemented a new Library Management System (LMS), *Ex Libris Alma*, in January 2019. *Ex Libris Primo* is the integrated patron-facing discovery tool, rebranded locally as *OneSearch*.

6.1.1 Printed books

The number of books in A&SC currently searchable on the library catalogue, *OneSearch*, stands at over 38,000 items. There is an historic backlog of uncatalogued items including 19th and 20th century printed material, pamphlet sequences, medieval manuscripts, incunabula and early printed material to c.1801 and a collection of early 20th century private press books.

The cataloguing of post-1801 printed material in Special Collections conforms to recognised standards AACR2[12], MARC21[13] and local cataloguing rules. MARC21 format for bibliographic data is the presumed format for presentation and communication of machine-readable cataloguing. Library of Congress Authorities[14] are used as controlled vocabularies for name

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[12] American Library Association, Chartered Institute of Library and Information Professionals and the Canadian Library Association (2006). *Anglo-American Cataloguing Rules*.

[13] Library of Congress (2020). *MARC21 Format for bibliographic data* [online]. Library of Congress. Available from: <www.loc.gov/marc/bibliographic> [accessed 26 June 2020].

[14] Library of Congress (2020). *Library of Congress Authorities* [online]. Library of Congress. Available from: <https://authorities.loc.gov/> [accessed 26 June 2020].

and subject. New acquisitions to the Andrew Walls Centre are catalogued, to RDA[15] standards using imported records, whenever available. There are currently no plans to upgrade existing records due to other priorities. Manuscripts and early printed material (before 1801) are catalogued using the rare book standard DCRM(B)[16] and AACR2 for descriptive cataloguing, using RDA guidelines for access points as appropriate. This allows for additional descriptive bibliography, such as provenance, binding, and item condition to document more fully the book as artefact and to permit the identification of copy specific resources. We have a number of bibliographic publications and resources to help describe these elements correctly, although we have not adopted a controlled vocabulary. The Bibliographic Standards Committee is currently working on Descriptive Cataloguing of Rare Materials (RDA Edition) (DCRMR) and an accompanying set of policy statements to RDA.[17]

6.1.2 Archives
Archives are catalogued using Excel spreadsheets according to ISAD(G),[18] the internationally agreed standard for archival material, and are available to download from the website. A&SC aims to create a collection-level description for each archive for discovery on *OneSearch*. Staffing levels and user demand restricts us from producing full catalogues at series and file level to deal with the backlog of existing archival material, as this is very labour-intensive work. There is currently no appointed, qualified archivist at LHU. Archive descriptions and finding aids, such as content lists, are available to view or download from the website.

6.1.3 Other formats (including digital):
Pamphlets and other ephemera in the Andrew Walls Centre and the Talbot Library are, as yet, unsorted and uncatalogued. The most appropriate way to organise and catalogue this material has not been established due to prioritisation of other formats, however, they are available to browse, and in some instances, there are content lists available to download from the website.

Collections information regarding microfiche, microfilm, and CD formats are available via the library catalogue in the same way as for analogue material. Microfiche/film collections

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[15] Library of Congress (2016). *Resource Description and Access* [online]. Library of Congress. Available from: <www.loc.gov/aba/rda> [accessed 26 June 2020].

[16] Association of College and Research Libraries and Library of Congress (2008). *Descriptive Cataloguing of Rare Materials (Books)* [online]. Library of Congress. Available from: <https://www.loc.gov/cds/PDFdownloads/dcrm/DCRM(B)_2008.pdf> [accessed 26 June 2020].

[17] Association of College and Research Libraries (2020). DCRM and RDA [online]. ACRL. Available from: <http://rbms.info/dcrm/rda/> [accessed 26 June 2020].

[18] International Council on Archives (ICA) (2000). *ISAD(G): General International Standard Archival Description*. Second edition. [Online]. Available from: <https://www.ica.org/sites/default/files/CBPS_2000_Guidelines_ISAD%28G%29_Second-edition_EN.pdf> [accessed on 14 May 2020].

have a catalogued collection-level description bibliographic record with a link attached to redirect users to the A&SC website to download the finding aid. Software connected with the microfiche/film reader allows visitors to capture images and save onto a portable pen-drive [not provided]. Printed copies of all finding aids are also available in the Reading Room.

The *A&SC* recognises the importance of collecting and preserving digital archives, as noted in the *A&SC Collection Development & Management Policy*. Over time it is acknowledged that digital objects will become a major component of the University archive and of deposited collections. The provision of digital surrogates of analogue material is saved and stored on an external hard-drive and regularly backed-up. Digitisation of special collections is an area for future development and a suitable digitisation strategy will be envisaged with supporting policy.

6.1.4 Uncatalogued collections and forward planning

With the implementation of *ExLibris Alma* and discovery tool, *OneSearch*, much work went into improving the standard of existing catalogue records for mapping the data effectively. Approximately one third of the printed and archival collections are currently uncatalogued. Historically, uncatalogued material has been managed in an ad hoc manner, based on demand and availability of staff time. In recent years serious efforts have been made to quantify existing backlogs and monitor progress on the *Collections Cataloguing Status* spreadsheet and plan cataloguing on a system of prioritisation. Factors considered when prioritising material for cataloguing include:

- How the material complements, enriches or builds on the collection strengths, as expressed in the *A&SC Collection Development & Management Policy*
- How substantially the material supports the interests of the University's agenda in teaching, research and public engagement
- it is of intrinsic local, national or international heritage significance
- Whether the material is known to be of interest to the wider research community
- Any specific conditions made by the donor or depositor, or by a funding body
- Whether the material is in poor physical condition.

6.1.5 Priorities

Priorities for cataloguing the collections are based on user demand, governed by university learning and teaching and learning, University events and anniversaries related to the collection and by the availability of staff time and resources. Cataloguing is carried out by the Special Collections Librarian and, if funds are available, by temporary project cataloguers.

6.1.6 Classification

A&SC uses a simple classification system based on a combination of provenance information, size hierarchy, sequential numbering, and/or location. The Dewey Decimal Classification (DDC) scheme, as used in the main library, is a faceted, enumerative classification designed to place similar subjects together. This can be limiting when applied to a collection with a narrow subject field, as is often the case in A&SC. The Radcliffe and Gradwell Collections were historically catalogued on card catalogue using their own unique classification schemes, which have been retained. The classification used for the Andrew Walls Centre is based on the bibliography of the *International Review of Mission* and is a geographically based, faceted classification scheme. All classification schemes are available to download from the A&SC website.

6.2 Online Resources

Collection-level descriptions of archives and special collections are shared to online resources *Archives Hub*[19] and *Archives Portal Europe*[20] (APE) using EAD[21] with the aim of increasing the visibility of the archives to the wider research community. There are also plans to upload collection-level descriptions and information from existing finding aids in different formats, such as Excel spreadsheet, and map across to *The National Archives Discovery*[22] catalogue using the Manage Your Collections (MYC) tool.

Future progression with Alma data tidying will enable the configuration of our bibliographic records for export to Jisc's *Library Hub Discover*[23] (formerly COPAC and SUNCAT), a database of over 162 UK and Irish academic, national and specialist library catalogues. This will allow our collections to be reached by a larger audience and also enable cataloguers to manipulate imported records for quicker cataloguing. Twenty-six items have been reported to the Incunabula Short-Title Catalogue (ISTC),[24] the international database of 15th century European printing, and work continues to identify and report holdings to the British Library's English Short-Title Catalogue (ESTC).[25] There are also plans to import records from

[19] JISC (2020). *Archives Hub* [online]. Archives Hub. Available from <https://archiveshub.jisc.ac.uk/> [accessed on 27 May 2020]

[20] European Commission (2019). *Archives Portal Europe* [online]. Archives Portal Europe. Available from: <https://www.archivesportaleurope.net/> [accessed on 27 May 2020].

[21] Library of Congress and Society of American Archivists (2019) *Encoded Archival Description* [online]. Library of Congress. Available from: <www.loc.gov/ead> [accessed 27 May 2020].

[22] The National Archives (n.d.) *The National Archives Discovery* [online]. The National Archives. Available from: <https://discovery.nationalarchives.gov.uk/> [accessed 27 May 2020].

[23] JISC (n.d.). *Library Hub Discover* [online]. JISC. Available from: <https://discover.libraryhub.jisc.ac.uk/> [accessed 26 June 2020].

[24] The British Library and Consortium of European Research Libraries (2016). *Incunabula Short Title Catalogue* [online]. BL and CERL. Available from: <https://data.cerl.org/istc/_search> [accessed 26 June 2020].

[25] The British Library (n.d.). *English Short Title Catalogue* [online]. The British Library. Available from: <http://estc.bl.uk/F/?func=file&file_name=login-bl-estc> [accessed 26 June 2020].

the ESTC, of holdings already reported, and add item specific information to each bibliographic record.

Access is provided to collection descriptions and service information via the A&SC website,[26] which also provides a gateway to the online finding aids and links to external resources. The A&SC blog, *Liverpool Hope Special Collections,[27]* provides a showcase for collections, new acquisitions, exhibitions, collaborations and other outreach activities. Guest posts from students, academics and visiting researchers are encouraged. A&SC is also represented on Instagram, *hopespecialcollections*, and promotes the service via the Library's social media accounts, Twitter *@Hope_Library,* and Facebook *@hopelibrary,* and the #HopeASC and #LHUSpecColl hashtags. A&SC also engages more widely with University social media platforms.

6.3 Digitisation

A&SC has contributed to *The Sarum Hymnal Project*[28], with phase I completed the digitised images of the Sarum Hymnal, (Rouen 1518 - Radcliffe B97), are hosted by Newcastle University as an ATNU pilot project. The project is now moving towards phase II, to host the complete image set on the Oxford site DIAMM (Digital Image Archive of Medieval Music). It is hoped that the project will progress into phase III and the digitisation of service books, chief among them the Sarum Antiphoner, (1520 - Radcliffe B66). A&SC is committed to widening access to its collections via digitised content, as far as resources permit, and plans to actively seek opportunities to develop this area of activity.

6.4 Exhibitions and Events

6.4.1 Internal

A&SC has a dedicated space outside the Reading Room entrance with two moveable, standalone, flat-bed display cases which provide a safe and secure environment for rare and fragile materials, requirements are outlined in the *A&SC Collection Care & Conservation Policy*. There are also two upright display cases for books, archives, objects, or surrogates that do not have conservation concerns. Exhibitions are curated by Library staff, and occasionally co-curated by academics, with a focus on relevant University anniversaries, conferences, learning and teaching initiatives, or wider events in the City of Liverpool and

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[26] Liverpool Hope University (2020). *Special Collections* [online]. Liverpool Hope University. Available from: <https://www.hope.ac.uk/library/specialcollections/> [accessed 26 June 2020].

[27] Liverpool Hope University Archives & Special Collections (2020). *Liverpool Hope Special Collections* [blog]. Available from: <https://liverpoolhopelibraryblog.wordpress.com/> [accessed 26 June 2020].

[28] Newcastle University (n.d.) *Animating Text Newcastle University* [online]. Newcastle University. Available from: <https://research.ncl.ac.uk/atnu/projects/sarummanuscript/> [accessed 26 June 2020].

Merseyside region. Exhibitions curated by students for critical assessment work are also welcomed.

6.4.2 External

A&SC material is exhibited externally both locally, Liverpool Central Library for example, and nationally at The British Library. The loan of original material must be approved by the Special Collections Librarian, the Director of Library and Learning Spaces, and permission sought from the loan donor(s), as referenced in the *Collection Loan Agreement*. Loan for exhibition can only be approved if compliance with the standards of care can be satisfied as outlined in the *A&SC Collection Care & Conservation Policy*. A&SC also participates in projects and events organised by externally funded bodies, such as *Being Human: A festival of the humanities*, with the aim of sharing our collections and innovative research with a wider audience.

6.5 Feedback

A&SC provides feedback forms for visiting researchers in the Reading Room and encourages feedback via all its communication platforms. University staff and students may leave feedback anonymously using cards provided in the main foyer of The Sheppard-Worlock. All feedback is logged and responded to, either directly if contact details are given, or via the "You said … We did …" information board located in the foyer. Library staff work to act on issues as and when they arise.

6.6 Service Continuity

Access to A&SC services depends on the availability of staff, collections, facilities and technology. Any disruption to the service will be advertised on the website and via social media. Business continuity plans for buildings and systems are operated by the University's Estates Department and IT Services. Emergency situations within A&SC are covered by the *A&SC Salvage Plan* and the University's *Major Incident Plan.*

7. Policy version and review process

This policy statement will be reviewed at intervals of not more than five years except in the case of significant change.

Date of issue current version: 2020/21
Date of review: 2025/26

7.1 Associated documents:
- Collections Cataloguing Status
- Collections Framework

- Deed of Gift or Loan Agreement
- Finding aids
- Reproduction and Licensing Request form
- Reading Room Regulations and Handling Guidelines
- Reprographics Services Request form
- Use of Digital Photography form