Collection Storage and Service Delivery Policy

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Approved by: Executive
Policy owner/sponsor: Director Library Services
Policy Contact Officer: Branch Manager, Collection Preservation and Storage
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Date approved: 19 December 2011
Next review: December 2012

1. Summary
The Library’s physical collection is growing at approximately 2km a year and currently totals about 118 linear kilometres. Growth will continue as a result of the Library’s role to collect and maintain the documentary heritage of New South Wales.

The Collection Storage and Service Delivery Policy outlines how decisions are made to utilise finite storage space, at the same time meeting the needs of client and staff access to the collection, preservation and security of library materials, and occupational health and safety.

2. Policy statement
Collection storage decisions are made in an environment of change and will be based on guiding principles and criteria ensuring that the Library:

- provides service to clients
- protects the value of the collection, and
- complies with relevant laws and standards.
Guiding principles

Collection material will be organised to support research, optimum storage efficiency and easy access:

1. Collection categories to be relocated, stored offsite or returned onsite will be assessed according to agreed criteria
2. Collection security measures will be considered in relation to their impact on service delivery
3. Designated collection storage areas will be used for collection storage and not for non-collection items
4. Collection storage strategies will be implemented in line with the Collection Storage Masterplan and Collection Preservation Policy
5. The Library’s storage shelving standards will be applied to optimise collection storage space (See Attachment 1)
6. The collection will be stored in buildings maintained in compliance with the Building Code of Australia
7. Occupational health and safety will be maintained for all employees and other persons working at, or visiting the Library.

Criteria for decision making

Decisions about storage of collection categories will be made in a consistent way using a combination of the following criteria:

1. Effective access to support client service
2. Level of use
3. Complexity of use
4. Significance, value, rarity and ‘at risk’ factor
5. Format / size
6. Condition
7. Online availability
8. Collection integrity
9. Predictability for clients and staff

Definitions of the criteria above can be in this document at 4. Definitions and acronyms.

When deciding whether to store material offsite the following additional questions will be considered:

- Are guides, indexes, access tools available onsite?
- Are full text surrogate versions in online or microform formats available onsite?
- Can onsite delivery be provided via offsite user-initiated digitisation?
- Can access be provided consistent with the client service policies?
Current storage options

The Library is currently using the following facilities for storage of the collection:

- purpose built climate controlled storage space in the Mitchell Library and the Macquarie Wing
- purpose built, climate controlled collection storage facility at Moorebank
- cool storage at the Government Records Repository at Kingswood
- cold storage at National Library of Australia for microfilm preservation masters of closed NSW newspaper titles

The Collection Storage Master Plan

The Collection Storage Master Plan provides a framework for the continuing development of the Library’s collection storage. It aims to achieve an integrated onsite and offsite strategy with an indicative implementation schedule and costings. The framework considers all formats and includes the implementation of collection storage size standards which will assist in the processing and storage of future collections. The Master Plan provides for all Mitchell Wing stack collections to be relocated by the end of 2019-2020.

3. Legislative and Policy Framework

Alphabetical list of most relevant legislation

- Building Code of Australia, current year
- Library Act 1939
- NSW Copyright Act (Legal Deposit Provisions, ss5-7)
- Occupational Health and Safety Act 2000 (NSW)
- Occupational Health and Safety Regulation 2001 (NSW)

Alphabetical list of related or most relevant State Library and government policies, standards, frameworks and plans.

- Collection Acquisition Policy
- Collection Depreciation Policy
- Collection Development Policy
- Collection Preservation Policy
- Collection Storage Masterplan
- Collection Storage Standards
- Collection Stock take Policy
- Information Request Service Policy
- Lending Policy
- Metadata Framework
- Occupational Health and Safety Policy
- Physical Security Internal Audit by Deloitte
- Premier’s Memorandum M2000-15 Access to Published Information - Laws, Policy and Guidelines (library deposit)
4. Definitions and acronyms
The State Library as a member of NSLA has worked with other member libraries to develop commonly used principles in relation to stack management. Some definitions are adopted from the ‘NSLA Stack Management Working Group Commonly used principles for organising stack collections’ at Attachment 2.

**Level of use** - Determining the level of collection use requires data from the Library Management System’s circulation module and other methods for measuring collection use. This needs to be systematically recorded to ascertain and verify the use of collection categories. This is done to identify collection categories or sequences that receive more or less use when decisions are being made to move collections closer or further away from service points. Use of digital surrogates and online resources may also be recorded to further indicate areas of use by clients.

**Significance**¹ - The meaning and values of an item or collection, or what makes it important. Significance is the historic, aesthetic, scientific and social values that an item or collection has for past, present and future generations.

**Value of collection** - Informational and dollar value are both implied by this phrase.

**At risk** - An item may be considered to be at risk
  - of loss through theft
  - of misplacement due to unusual size or non-standard housing
  - of damage through vandalism, improper handling, improper storage or lengthy display

**Condition** - The relative state of an item or collection which indicates its fitness for use, handling or display (ie good condition, fragile condition)

**Predictability for clients and staff** - This refers to the ability of clients and staff to predict the location of material based on particular parameters such as place of publication, format, or year of publication. Examples include:

- Legal Deposit material will be part of the Mitchell Library collection
- current issues of *The Sydney Morning Herald* will be in hard copy in the State Reference Library Reading Room on LG1; issues more than 3 months old will be on microfilm in the Reading Room on LG2.

¹ *Significance 2.0: a guide to assessing the significance of collections* Roslyn Russell, Kylie Winkworth, © Commonwealth of Australia, 2010
5. Responsibilities
Executive Committee members are responsible for leading the implementation of this policy including its conformity to legislative and other compliance requirements, communicating this policy to managers and supervisors and other relevant activities regarding specific policy implementation.

The Collection Storage and Service Delivery Working Group has responsibility for developing policy and leading decision making according to this policy. The Terms of Reference for the Collection Storage and Service Delivery Working Group can be found at Attachment 3.

Managers and supervisors are responsible for managing processes relevant to this policy, seeking advice from staff regarding and communicating this policy to staff.

Staff are responsible for understanding and complying with this policy.

6. Approval
This policy was approved by Executive Committee on 19 December 2011

7. Implementation
This policy is implemented on 01 January 2012.

8. Prepared by:
A/Branch Manager Access & Information
Branch Manager Collection Preservation & Storage
Branch Manager Collection Services
A/Branch Manager Original Materials

9. Document History and Version Control

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*Proposed standards
NSLA (National and State Libraries Australasia)
Stack Management Working Group
Commonly used principles for organising stack collections

There are key principles fundamental to best-practice decision making about library collection access and storage. The context underlying the principles includes:

- effective provision of access to clients
- preservation of the collections
- OH & S for staff members and clients, and
- operational efficiency.

Each member organisation is also subject to individual constraints introduced, for example, by heritage buildings, the existing arrangement and housing of library collections and the forms of access required for items in those collections. These constraints will impact on how these principles are implemented.

1. Access

In every decision about collection storage, ease of retrieval supporting access to collection material by clients is a primary factor and should be maintained or improved consistent with agreed service delivery standards.

Shelving layouts that maximise retrieval efficiency should be adopted.

High use materials should be placed as close as possible to the delivery point.

Arrangement of collection items should match item location data in the library catalogue (or other tracking systems) to enable collection items to be located readily.

2. Storage Efficiency

In this context, the initial planning default should be to maximise the use of collection storage space.

The format and size of collection material should be key determinates for storage efficiency and collection care. Collection material size standards and shelving standards are critical to efficient, cost-effective collection storage that minimises damage to individual collection items.

Manufactured shelving should be used in a limited number of standard sizes and profiles, when possible, to ensure cost effective storage solutions.

3. Collection Care (See glossary.)

The preservation of collection materials is fundamental to all storage decisions, particularly in relation to heritage and legal deposit material.
Consistent solutions should be sought to address the physical requirements for housing and preserving various formats and categories of materials within the storage standards.

Environmental conditions that are applicable for each collection category and format should be maintained. If possible collections requiring similar environmental conditions should be housed in a single physical location to maintain stable environmental conditions and reduce operating costs.

The type of material to be housed and whether the stack layout will create microclimates or restrict air-circulation are further considerations when planning stack layouts.

The capacity to clean and the application of Integrated Pest Management Principles in a stack area are critical to the preservation of collection material. (See glossary.)

All staff members handling collections should be trained in collection care and handling. Shelving and equipment must be tested and approved for use, and staff members must be trained to use all equipment to obtain an optimum result without damage to collection material.

The implications for safe and careful handling of collection material must be considered in collection storage areas.

Accommodation must support disaster prevention and recovery activities.

4. Collection Integrity (See glossary.)

Maintaining integrity of particular collections may add to the value of the total collection, as the sum of the parts of such collections may be greater than the value of individual items. In the optimum situation the physical integrity of collections should be maintained.

The physical integrity of a particular collection may be so significant that at times it overrides storage efficiency principles.

It may be necessary to override physical integrity for security, format requirements, ease of use, storage efficiency or preservation of collection material and in this event collection integrity should be maintained intellectually through information recorded in the integrated library management system.

Similar categories of materials should be stored together and different storage profiles may be required for specific parts of a collection based on value, size, condition, format and use.

5. Security

Access to collection material must be balanced with security issues.

The security of collection materials is a significant factor that must be incorporated into collection storage planning, particularly in relation to heritage and legal deposit material.
A methodology of tracking staff access to collection storage areas should be accessible to stack managers. Unauthorised staff members, contractors or clients should not work alone in stack areas.

Barcodes and security devices should be employed to minimise risk while still allowing access to the collection.

6. **OH & S for staff and clients**

Compliance with OH & S standards must be maintained or improved through the adoption of new storage plans.

Stack areas and shelving should be planned to minimise the amount of manual handling required by staff members.

Appropriate equipment should be provided for staff members and staff members must be trained to use it.

Safe evacuation that complies with relevant building codes must be possible from collection storage areas.

Staff members working alone in stack areas must be monitored.

7. **Monitoring collection growth and use**

Informed long term storage planning requires development of methodologies for measuring (and/or estimating) and recording collection growth and available storage space.

Informed decision making on relocating, relegating or reinstatement of collection materials also requires development of systems to measure and record collection use.

Collection use indicators may be used to reassess collection material for possible de-accessioning (where a library’s collection development policy permits this). Indicators of use of rare and vulnerable materials may help to determine priorities for creation of surrogates.

8. **Implementation of principles**

Decisions about relocating existing collection material which is not currently housed according to adopted size standards should be made on a case-by-case basis, taking into consideration costs and resources.

In detailed planning, an allowance should be made, when possible, to support the continuation of current storage practices as well as desired future outcomes to remove possible constraints to progress and implementation.

Staffing and other costs associated with relocating, rehousing and re-cataloguing to make collections accessible may be considerable and must be considered in planning relocation projects.
Stack management projects should be broken into manageable segments.

There is a need to provide continuing funding for the relocation of collection material resulting from deselection, uneven growth based on the publishing output particularly in Legal Deposit libraries, large retrospective acquisitions and changes to collection development policies.

**Glossary**

*Collection care* includes providing appropriate environmental conditions, conservation assessment and treatments, risk management, housing, handling and access conditions.

*Collection integrity* relates to the relationships between items in a ‘collection’. This could infer the same donor, the same subject or format, for example the David Scott Mitchell collection is a bequest from a single donor, and includes pamphlets, books, journals, newspapers, manuscripts, maps and pictorial material as well as realia, stamps, coins and furniture.

*Integrated Pest Management* is a preventative approach to pest management. It aims to make the library environment unattractive to damaging influences including insects, rodents and mould by using good housekeeping, physical exclusion, environmental monitoring and early detection to prevent or eliminate pests before they can gain a foothold. State Library of New South Wales
Collection Storage and Service Delivery Working Group

Terms of Reference

Purpose and Objectives

The Working Group will coordinate activities and projects required to implement the Collection Storage Master Plan and the Collection Storage and Service Delivery Policy.

The roles and responsibilities of the Working Group are to:

- provide input to policy development related to collection storage and service delivery
- identify the most effective and efficient options to implement the Collection Storage Master Plan. This includes prioritising and sequencing projects to provide a staged program and contributing to future planning, budgeting and business cases/economic appraisals for collection storage and access.
- identify collection storage issues
- make decisions about collection storage according to the guiding principles and criteria in the Collection Storage and Service Delivery Policy
- seek input for decisions from their respective Branches and communicate the decisions made in the Working Group back to their respective Branches
- ensure up to date information about collection storage and access is communicated to staff members in teams providing client service across the Library to support effective client service
- actively scan the environment for developments in technology and thinking which may support improved collection storage and access
- maintain awareness of disaster preparedness
- identify OH&S issues, implement solutions as appropriate or refer to the OH&S Committee
- identify non-collection storage issues and raise with convenor to refer for resolution.

Relationship to Strategic Directions

The Library Services Divisional Plan 2011-12 includes:

**Strategic Priority:** Sustainability

**Outcome:** Develop Efficient and Effective Processes

**Divisional objective:** Streamline and transform processes

**Divisional Activity:** Implementation of Collection Storage Masterplan
Meeting Frequency
Monthly

Reporting
The Convenor will report regularly to the Director Library Services on the outcomes of the meetings of the Working Group.

Membership
The Working group will comprise:

- Manager, Collection Preservation & Storage (Convenor)
- Manager, Access & Information
- Manager, Collection Services
- Manager, Original Materials
- Program Manager, eRecords
- Coordinator Bibliographic Access, Collection Services
- Coordinator Collections Access, Access & Information
- Senior Conservator, Collection Preservation & Storage
- Coordinator Collection Storage and Access, Collection Preservation & Storage (Secretary)

Executive Sponsor
Director Library Services

Responsibilities of Committee members
- Executive Sponsor - Champion implementation and resourcing of Collection Storage Master Plan and implementation of Collection Storage and Service Delivery Policy. Ensure Working Group outcomes are consistent with Library wide priorities.
- Convenor - Set meeting dates; determine the agenda, chair meetings, and present reports.
- Secretary - Circulate agendas, papers, minutes and/or reports to nominated staff, and ensure a complete set of records is maintained on the specified administrative files.
- Members - Responsible for regularly attending meetings, consulting and reporting back to stakeholders they represent.

Review
The operation of the Working Group will be evaluated formally after 12 months.