Corporate Archive Collection Development Policy

1. Introduction

The British Library Corporate Archive (BLCA) collects corporate records for permanent preservation in accordance with this policy. This policy:

- defines the authority of the BLCA to collect
- defines the scope of collecting
- defines the criteria for selection decisions
- outlines the methods for acquiring and deaccessioning or disposing of material

This policy operates under the British Library Collection Development Policy and complies with the British Library Ethical Future Acquisitions Policy.

2. Scope

This Policy covers the collection of corporate records selected for permanent preservation in the BLCA.

It excludes:
- current or semi current corporate records still required for business purposes
- Library Collections (held by collections other than the Corporate Archive)
- structured data

3. Definitions

Acquisition - the process of acquiring records from any source by transfer, donation, or purchase, or the body of records so acquired.

Appraisal - is the process of evaluating records to determine how long to keep them, including to decide if the records have sufficient long term value to warrant the expense of preservation in an archive.

Archive - the part of an organisation responsible for appraising, acquiring, preserving and making available archival material.

Archives - an accumulation of records from an organisation or individual which are no longer needed to conduct current business and which are selected for preservation because of their continuing legal, evidential administrative or historical value.

Corporate records - records created or received during the course of an organisation's conduct of affairs or business transactions.

Deaccessioning - routine procedure that allows institutions to deal with out-of-scope materials that have been determined to be unworthy of continued retention through reappraisal.

Record - A collection of information, in any format or medium, created or received by the Library at designated points in specific business processes, and assembled or retained for one or more of the following purposes:

- Proper recording of activities undertaken by the Library
- Evidence of a transaction and its terms in the event of a dispute
- Audit
- Provision of intellectual input into future business decision making processes.
- Compliance with legislative, regulatory or professional requirements

Records Retention Schedule - a document that identifies and describes an organisation's records, usually at the series level, and provides instructions for the disposition of records throughout their life cycle. Retention schedules may also include instructions for the disposition of documents and other materials that are not official records.

Selection - the process of identifying materials to be preserved because of their enduring value, especially those materials to be physically transferred to an archive.

Structured Data - data held in structured line-of-business systems as evidence of a transaction with a third party, or for legal or regulatory compliance.

4. Aims & Objectives

To ensure the collection of a comprehensive record of the Library's corporate history for permanent preservation in the BLCA.

To reflect as objectively and accurately as possible all aspects of the British Library's past and present activities.

To ensure that in acquiring records every effort will be made to avoid conflict or duplication with the collecting policies of other areas of the British Library or other public institutions.

5. Roles and Responsibilities

The Corporate Information Management Unit has as part of its remit the selection and maintenance of the corporate records of the British Library suitable for permanent preservation, and the provision of support for those researching the history of the Library and its collections.

Responsibility for this lies specifically with the Records and Archives Manager.

The Corporate Archive Collecting Policy is subject to review and authorisation by the Corporate Information Governance Group (CIGG), the Chief Librarian and the Head of Governance.

6. Policy

6.1 Authority to Collect

The BLCA is a 'Place of Deposit' for public records as defined by the Public Records Acts 1958 and 1967. The records created and received by the British Library are treated as public records. Places of Deposit are appointed by the Secretary of State for the Department of Culture, Media and Sport (previously the Lord Chancellor) and approved by The National Archives as repositories for those public records selected for permanent preservation.

As such the BLCA is required to collect and preserve a selection of the Library's official corporate records and make them available for public consultation on request.

The BLCA collects personal information in accordance with all relevant data protection statutes and regulations currently in force.

6.2 Scope of Collecting

The BLCA is the Place of Deposit for the corporate records of the British Library, its predecessor and constituent bodies, in particular:

- Library departments of the British Museum
- National Central Library
- National Lending Library for Science and Technology
- National Reference Library of Science and Invention
- British National Bibliography
- India Office Library and Records
- British Institute of Recorded Sound

With certain limited exceptions (specified below), the collecting activities of the BLCA are restricted to those records created or accumulated by the British Library in the conduct of its affairs.

Appraisal decisions will be taken by the Records and Archives Manager in accordance with the Library's Records Retention Schedules and the selection criteria detailed in this policy and its appendix.

The BLCA may acquire material which sets the British Library in a broader context than that conveyed by the Library's official corporate records, such as memorabilia, ephemera, oral history recordings, or evidence of staff social activities. Such material will not be collected at the expense of preserving the Library's official records.

Records of the British Museum, other than those relating directly to those staff, departments and functions subsequently transferred to the British Library, will be referred to the British Museum for appraisal.

The BLCA does not normally collect the personal papers of individual members of staff unless they are acting in an official capacity, or the records of separate organisations and societies closely associated with the British Library, such as the Friends of the British Library.

The BLCA does not accept records for temporary storage. Records transferred to the BLCA for appraisal which are not selected for permanent preservation will be returned to the transferring department or destroyed.

The BLCA will not accept records whose ownership may not reasonably be established or is disputed.

The BLCA will accept records in any physical or digital format, providing that format is supported by the Library and accessible using Library equipment.

The BLCA reserves the right to refuse to accept material whose value is outweighed by poor condition, considerable bulk or in a format which is not supported by the Library.

6.3 Selection Criteria

In collecting records, the BLCA seeks to document the Library's:

- Organisation and governance
- Functions and activities
- Continuing legal rights and obligations
- Major developments and achievements
- Involvement with its stakeholders

The BLCA's criteria for selection are based on the principal functions of the Library:

- Corporate management and strategy
- Resource management
- Collection development and management
- Major projects and activities
- Commercial enterprise
- Involvement with stakeholders
- Reader administration and support

The scope of these functions and the specific types of records collected in order to document these functions are detailed in Appendix A of this policy.

Records that have been selected for permanent preservation will be transferred to the BLCA and formally accessioned into the collections.

6.4 Methods of Acquisition

The BLCA will normally acquire records by direct internal transfer. On occasion records may be acquired by:

- Donation
- Transfer from another public body

 The BLCA does not acquire records by purchase.

 The BLCA does not accept records on loan.

In all instances where items are acquired other than by internal transfer, the acquisition process will be fully documented in accordance with the Library's acquisition procedures, which includes a signed agreement transferring ownership to the British Library covering copyright, access arrangements and disposal rights.

6.5 Methods of Disposal and Deaccessioning

Records will be accepted by the BLCA on the principle of selection for permanent preservation.

Declared (those formally accessioned into the collections) public records cannot be deaccessioned without the approval of The National Archives or disposed of without the approval of the Secretary of State for Culture, Media and Sport in accordance with the Public Records Act 1958 and The Transfer of Functions (Information and Public Records) Order 2015. This includes public records of the British Museum's Library departments transferred to the British Library under the terms of the British Library Act 1972. The British Library Act 1972 also prohibits the destruction of collection items transferred to the British Library from the British Museum.

A substantial quantity of legacy material of no archival value has accumulated in the BCLA storage areas without having been formally appraised. Following appraisal, this material may be disposed of by the Records and Archives Manager, in consultation with stakeholders where appropriate, by:

- Transfer to the British Library's collections
- Transfer to another repository
- Transfer to the originating department or its successor body
- Destruction

 Legacy material will be de-accessioned and may be destroyed by the Records and Archives Manager if it:

- does not meet the selection criteria for the BLCA, or
- is not suitable for transfer to another part of the Library's collections, or
- is not suitable for transfer to another repository, or
- duplicates other records already held, or
- is found to be no longer suitable for continuing preservation following reappraisal, or
- is badly decomposed and beyond repair.

7. Policy Review

This policy was approved by the Corporate Information Governance Group on 7 December 2016 and will be reviewed every five years.

The date of the next review is December 2021.

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Appendix A: Selection Criteria

The appraisal criteria describe:
1) each function of the British Library;
2) the scope of each function for the purpose of archival selection;
3) the records of archival value that we will transfer to the BLCA in order to document each function and thereby, the history of the British Library as a whole.

These records include those defined as public records under the Public Records Act 1958 and 1967 and described in The National Archives' Records Collection Policy and supporting Operational Selection Policies.

The list of records is not exhaustive. If other records are discovered that document a British Library function as defined by the 'Scope of Function', these should be considered for permanent preservation in the BLCA and where appropriate, added to this criteria.

Where the term 'significant' has been used to describe the scope of a function, selection decisions should made on a case by case basis in order to determine what constitutes 'significant' and therefore what records should be retained.

1) BRITISH LIBRARY FUNCTION	2) SCOPE OF FUNCTION	3) RECORDS SELECTED FOR BLCA

Corporate Management and Strategy	• Why and when the Library was established.
	
	• Where the Library is located and why.
	
	• Who the key people and groups were in the life and development of the Library.
	
	• What the Library's strategic goals were and what it did to achieve those goals.
	
	• What policies the Library put in place and why. How policy was developed.
	
	• What the Library's management and organisational structures are/were and how they evolved.
	
	• Who was responsible for the governance of the Library and how it was carried out.
	
	• What major audits of Library functions were undertaken and what the results of these audits were.
		• Papers and correspondence relating to the Library's origins, statutes, and regulations.
		
		• Terms of reference; membership lists and member biographies (Board or Director level); agendas; minutes and supporting papers for:
		  ➢ BL Board and Board Committees
		  ➢ BL Advisory Council, Strategic
		  ➢ Leadership Team
		  ➢ Executive Leadership Team
		  ➢ PLR Advisory Committee
		  ➢ other groups with an official corporate governance role
		
		• Corporate strategies, plans, vision and mission statements, including significant revisions. Reports on the implementation of corporate strategies and plans and performance against them.
		
		• Corporate Policies including public-facing versions and significant revisions.
		
		• Official organisational structure charts and project records/strategies for organisational restructures (at

		department level or above)
		• Descriptions of British Library functions/business units.
		• Corporate Governance Frameworks and reports on framework reviews.
		• Formal correspondence of the Chief Executive, Chairman, Chief Officers, and other significant Direct Reports of the Chief Executive or equivalent.
		• Reports on the audit or review of Library functions.
Resource Management	• What premises the Library owned and/or used, and on what terms. • What significant equipment/systems the Library owned and/or used and why it was purchased or otherwise acquired. • How the Library was funded and how, in broad terms, the money was spent. • Who the Library's staff were; how staff were selected, managed and rewarded. • What significant facilities and resources were provided for staff.	• Title deeds and other records of property ownership or leasing. Records of the acquisition/sales of properties; or of the design, build and fitting-out of new premises *(see project records below for specific record types).* • Records of the acquisition/build, development and decommissioning of unique or Library-specific equipment and systems that support core business *(see project records below for specific record types).* • Annual Reports and Accounts; Grant in Aid agreements and related

		correspondence with government; Grant in Aid spending reports. • Reports on fundraising activities; agreements for major donations/grants/legacies (above £100k); correspondence with major donors and biographies/profiles of major donors. • HR staff lists/directories; HR policies *(included in Corporate Policies, above)* • Staff handbooks and newsletters
Collection Development and Management	• What collections strategies, plans and policies were put in place and what did they aim to achieve. How successfully they were implemented. • What collections and collection items were acquired, including how, why and when. • How and where the collections are housed. • How the collections are preserved and what work is done to conserve them. • What collections items are loaned-out, including when, to where, and for how	• Collection strategies, plans and policies on development, information/description, and access. Performance reports against strategies and plans. • Acquisition records: donation agreements, transfer agreements purchasing records, Legal Deposit lists. Associated contextual information/correspondence that describes the provenance of the collection/collection items *(only if forming part of acquisition records, generally records concerning provenance should sit with collections themselves).* • Records of items and collections

	long.	declined.
	• What collections/collection items have been deaccessioned, including why and when.	• Accessions registers
	• What collections items have been stolen, lost or damaged.	• Records of restitution/repatriation of collections/items and correspondence/agreements relating to exchanges of items with other institutions.
	• The contribution the collections made to significant research activities (both internal and external).	• Broad plans of the storage locations of collections.
	• The activities of the Endangered Archives Programme.	• Project records *(see project records below for specific record types)* and reports on the development, installation and monitoring of environmental control systems.
	• How the Library has planned for, and evolved in, the digital age regarding its collections management activities.	• Preservation and conservation strategies, plans and policies and performance reports against these.
		• Records of the conservation treatment of individual items and condition reports/assessments.
		• Conservation survey reports
		• Loan policies and loan files
		• Records of the decisions to deaccession

		collections/collection items and justification. • Reports/Case files on thefts of collections/collection items, reports on missing/damaged items; lists of missing/damaged/stolen items. • Reports or records of research projects/initiatives that the BL collections supported *(see project records below for specific record types)*. • Endangered Archives Programme: panel meetings; successful and completed grant applications and agreements; individual project records *(see project records below for specific record types)*. • Digital strategies, plans and policy. Records of projects to develop the Library's digital offering, capabilities and systems *(see project records below for specific record types)* .
Major Projects and activities (including Exhibitions)	• Projects that appear on lists of formal or significant Library projects (i.e. have been assigned a project number and are managed formally). • Projects that resulted in the creation of	• Project files: ➢ Project Board papers ➢ Project initiation documents ➢ Business case ➢ Feasibility studies ➢ Contracts/agreements

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a new Library function, the discontinuation of a Library function, or significantly changed/developed a Library function

- Projects that impacted on relationships with external Library stakeholder groups (including readers, visitors, funders, government), or otherwise impacted on the external world.

- Projects that directly support corporate strategies and those referenced in corporate strategies, annual reports.

- Projects that significantly alter the fabric of the British Library buildings.

- Projects with a budget which exceeds EU procurement thresholds (as defined by Procurement Policy).

- All public exhibitions and the associated programme of events tours and talks.

- Significant/special events or occasions (e.g. visits by VIPs, new building openings)

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➢ Designs (including maps, plans, drawing and photographs)
➢ Key correspondence, consultation or interaction with project stakeholders
➢ Summaries of project methodologies/processes
➢ End reports
➢ Lessons learnt
➢ Finance summaries/end reports
➢ Publicity/marketing materials.

- Exhibition files:
  Project documents listed above, plus:
  ➢ Final exhibition catalogues/object lists and the text accompanying them
  ➢ Final exhibition designs
  ➢ Loan agreements
  ➢ Final photographs of exhibition
  ➢ Reports on visitor numbers
  ➢ Opening event details and attendance lists
  ➢ Programmes of associated events and attendance figures
  ➢ Press reports/cuttings

- Significant/special events:
  ➢ Itineraries/schedules
  ➢ Attendance lists
  ➢ Photographs,
  ➢ Press reports

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Commercial Enterprise	• What commercial strategies, plans and policy were put in place and what did they aim to achieve. How successfully they were implemented. • What commercial activities the Library has undertaken. • What specific products the British Library develops and sells. • What income the Library generates from its commercial activities.	• Commercial activities policies, strategies and plans and reports on performance against these. • Catalogues, lists, photographs of British Library merchandise, publications and Library-branded products/products developed specifically for the Library. • Brand licensing and usage guidelines and policy. • Annual reports on income generated by commercial activities.
Involvement with Stakeholders	• What relationship the Library has with the following stakeholders. What impact the Library has on these stakeholders and vice versa: ➢ local community ➢ the research and academic community ➢ the national and international Library community ➢ museum and gallery sector ➢ government ➢ trade unions ➢ its funders and sponsors ➢ its partners	• Correspondence and records of meetings with stakeholders on issues which resulted in a significant impact on either the stakeholder or the Library, or their relationship. • Correspondence and meeting records of British Library staff who represented the Library on external groups, where representation had influence or impact on the external world (e.g. Knowledge Quarter) • Reports on the results of major

	• What the role of the PLR Office is, how it operates and is funded; what payments it makes. • What learning opportunities the Library offers and the impact this has on schools, teachers and learners. • What support the Library offers to the business community (business owners, entrepreneurs, inventors) and the impact this has on the business community. • How the institution promotes itself to readers, visitors, customers, and the general public and how successful this is. • What the public perception of the Library is and how the library manages public perception.	stakeholder surveys and how the survey results were used to effect change. • Trade union correspondence and meeting records (at corporate level). • Memoranda of Understanding (MoUs) with partner organisations and other collaboration agreements for longstanding/significant partnerships. • Records of overseas travel of senior staff members in support of government 'soft power' initiatives. • PLR Policy, plans and strategies; PLR annual statements (detailing payments); Annual summaries/reports on PLR sampled loans data; Annual PLR grant award letters/contracts; PLR publicity and marketing materials. • Learning policy, plans and strategies; publicity materials; summary reports on learning activities and their impact. • Business support policy, plans and strategies; publicity materials; summary reports on activities and their impact. • Publicity and marketing materials (posters, brochures, leaflets) which

		publicise/market any Library offering. Major campaign strategies/plans; reports on success/impact of publicity/marketing activities. • Reports on Library features/mentions in press/media; press cuttings; press releases/statements.
Reader Administration and Support	• What commercial strategies, plans and policy were put in place and what did they aim to achieve. How successfully they were implemented. • • What strategies, policies and plans regarding reader administration and support were put in place and what did they aim to achieve. How successfully they were implemented. • What services the Library offers readers and what systems/processes are put in place to support those services. • How the Library communicates its services. • Who the Library's readers are (broadly speaking) and how many of them there are.	• Policy, strategy and plans regarding reader administration and support; reports on performance/progress against policy, strategy and plans. • Descriptions of the services offered to Readers and the systems that support them as well as documented procedures and processes for providing services. • Publicity materials generated to promote reader services • Reader guides/finding aids provided to assist readers in reading rooms. • Reports and statistics on reader numbers, complaints/enquiries, demographics, and analysis (including trends) of this data and reports on how this data is used to focus/change services. • Reports/statistics on collection items

	• What collections/collection items the Library's readers consult.	supplied to readers.
	• What the Library's relationship is with its readers, how it interacts with them and its impact on them (as a stakeholder group) and vice versa.	• Reader surveys, analysis and reports on how the survey results were used to effect change.
	• What conduct the Library requires of its readers	• Guidelines on reading room use and Reader codes of conduct