

UNION COLLEGE
SCHAFFER LIBRARY
SPECIAL COLLECTIONS AND ARCHIVES DEPARTMENT
COLLECTION DEVELOPMENT POLICY
May 2010

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I. Mission

The Union College Special Collections & Archives Department (hereinafter referred to as SCAD or Department) appraises, collects, organizes, describes, preserves, and makes available the College's records of permanent administrative, legal, fiscal, and historical value. The Department is directed by the Head of Special Collections, who has primary responsibility for compliance with the Department's collection development policy. The Head of Special Collections is appointed by the Vice President for Academic Affairs, in consultation with the College Librarian.

A. Archives

The SCAD, in its archival function, is responsible for the collection, preservation, and cataloging of all official academic, financial, and legal documents produced by College offices and departments, in accordance with the *Union College Records Retention Policy* (2009). The SCAD supports and extends the curriculum of the College by offering classroom faculty the use of these materials for class instruction and projects.

B. Special Collections

The SCAD, in its special collections function, also serves as a repository for non-official historical materials relating to the history of the College, its founders, faculty, students, administrators, staff, and alumni. In addition, the SCAD administers several of the College's named, special collections, most notably the Rare Book Collection, the Schenectady Collection of Local History, the Union Collection, the Frank Bailey Collection of North American Wit and Humor, the John Bigelow Collection, the Carl B. Booth Collection of Eighteenth-Century British Literature, and the First Purchase Collection. Numerous manuscript collections, some connected with Union College alumni, are also housed in the Special Collections & Archives Department.

C. Curriculum and Research Support

As part of its mission, the SCAD provides facilities for the retention, preservation, and research use of its collections. The Department serves as a research center for the study of the College's history, and for the investigation of select topics of regional, national, or international significance as well as topics of cultural and scientific interest. Collections are made available_College and donor restrictions permitting_to members of the College community, as well as to undergraduate and graduate students, scholars, and serious researchers from the general public.

The SCAD serves in a public relations capacity by promoting knowledge and understanding of the origins, programs, and goals of the College. The SCAD accomplishes these goals through a program of reference and research services as well as outreach activities such as the development and installation of exhibitions and the production of publications in a variety of formats. The Department also emphasizes connections with students and classroom faculty as part of its mission.

II. Types of Materials Collected

A. Archives

The SCAD works with offices, departments, and faculty of the College to appraise the records that they create in the course of their activities and to select those that should be preserved for future use. Priority is given to those records that reflect the activities of College officers and committees that formulate or approve College or division-wide policy as well as faculty and administrative involvement in these activities. The governing document is the Union College Records Retention Policy.

Recorded information documenting College activities is collected regardless of format and may include: paper, microforms, films, photographs, audio and video discs, electronic files, etc. The SCAD acquires a variety of document types: administrative papers and files; publications, reports, and other printed material; photographs, and other pictorial material; maps and blueprints; sound recordings; moving image material; and ephemera and memorabilia.

B. Special Collections

1. Types of materials collected include:

- a) 17th-20th century rare books*
- b) American Wit and Humor (pre-1930)*
- c) Artist's books and fine press books*
- d) Books and manuscripts related to the Union College curriculum*
- e) Local history*
- f) Scientific revolution*

2. Unioniana

- a) **Manuscripts** – The SCAD collects manuscript material, including:*

- students' personal papers, especially those that illuminate life at the College;
- personal and professional papers of Union faculty and administrators that document their teaching, administrative and/or research careers, and the development of the College's curriculum;
- records of clubs, societies, and institutes established and maintained by Union students and other College personnel;
- papers of select noted alumni, especially those who have been active in the areas of local and national government, international affairs, art history, literature and culture, and higher education; course syllabi;
- materials relating to the Union founders, Union and the Civil War, and campus architecture;
- Bachelor's theses in all disciplines receiving honors and the major papers of students in selected courses. Beginning in 2008,

undergraduate honors theses are received in electronic formats and available as electronic files through the Library's website.

b) Visual Material – *The SCAD acquires a variety of visual material, including photographs in all formats, slides, negatives, films, videos, prints, scrapbooks, albums, postcards, and letterheads. Subject matter must relate to Union College, our geographic area, or the lives of our students, staff, and faculty. Every effort is made to forward offers of fine art, such as oil portraits and exclusive printings of intaglio or lithographic processes, to the Union College Permanent Collection.*

c) Oral Histories – *The SCAD maintains the tapes, transcripts, and records produced by the College's Oral History Program, and may accept oral histories of Union individuals produced by other Union College students, faculty or staff, or by other colleges and universities.*

d) Artifacts – *The SCAD acquires artifacts for the College's historical collections if the Department can properly preserve and provide access to them. Priority is given to items that document College life. Because of storage and preservation issues, offers of fine and decorative arts are normally forwarded to the Union College Permanent Collection.*

e) Published Works – *The SCAD acquires published works, regardless of format, which concern the history of the College, its alumni, faculty and staff, and our geographic area. These may include:*

- newspapers, journals, magazines, handbooks, and yearbooks produced by the student body, student clubs, and alumni classes;
- material pertaining to the history of our local geographic area, especially that which supports inquiries into the relations between the College and its community (in this region, every effort is made to complement rather than compete with other local collecting repositories);
- works authored by tenured members of the faculty;
- works by Union alumni;
- biographies and autobiographies of Union alumni, staff, faculty and donors;

- reference works and databases that support research performed with primary sources.

III. Acquisition of Materials

A. Methods of Acquisition of Materials

SCAD acquires materials through purchase, transfer from College offices and departments, and donation, as described below. SCAD requires legal transfer of title, deed of gift or deposit, or other official acknowledgement of the purchase, transfer, or donation, in consultation with College Counsel as needed, prior to transfer and acceptance. The Head of Special Collections will submit, on or before the Board of Trustees's Annual Meeting, an annual report of acquisitions to the President and the Board of Trustees.

1. Purchase

The Department employs endowed funds and one-time donations to purchase materials consistent with SCAD acquisitions policy. Named funds, for example, include the Ruth Anne Evans Fund, the Class of 1906 Fund, the Class of 1929 Fund, and the John Girdner Fund.

2. Transfer of College Archival Records

The SCAD works with offices, departments, and faculty of the College to appraise the records, consisting of documents that contain facts and relevant information, that they create in the course of their activities and to select those that should be preserved for future use. Priority is given to those records that reflect the activities of College officers and committees that formulate or approve College or division-wide policy as well as faculty and administrative involvement in these activities. The governing document is the Union College Records Retention Policy (2009).

3. Gifts

The Head of Special Collections will evaluate all potential donations to the collections. When specialized knowledge is required to appraise a gift, Library staff may consult with members of the faculty or others with relevant expertise. Some collections, or portions of collections, may be designated restricted for a reasonable and finite period of time, with prior agreement between the Department and the donor. SCAD does not accept materials that are restricted from public access in perpetuity. SCAD will not ordinarily accept gifts when their physical condition does not permit normal Library shelving and use. In some cases, the Department may accept items of sufficiently important content

or provenance, even if they require professional treatment to protect and preserve them. The SCAD reserves the right to reject the offer of any materials which by reason of content or physical condition do not meet the requirements of the Department or Union College, duplicates existing holdings, pose a substantial threat to College or staff, or other legitimate reasons.

B. Donor Responsibilities

It is the responsibility of a donor desiring a tax deduction to obtain an independent appraisal and to submit this evaluation to governmental tax agencies using IRS Form 8283 (Rev. 12-2006) as well as to the College and the Department. The Department will not provide appraisals or valuations to anyone other than an officer of the College or the Board of Trustees.

All approved donated object(s) are to be accompanied by an appropriate written confirmation of title transfer (see Appendix: Deed of Gift) to Union College. Title to all object(s) acquired for the SCAD shall be obtained free and clear of restrictions as to use, accession, and future disposition and shall not be encumbered by any conditions set by the donor unless there is an agreement between the donor and the College.

C. College Responsibilities

A stewardship letter of appreciation will be prepared by the Head of Special Collections and sent to the donor; a copy of this letter will be sent to the College Relations Office.

The donor will be sent a formal acknowledgement letter, together with any other necessary documentation required by the Internal Revenue Service to substantiate the receipt of the object(s), by the College Relations Office. These documents will serve as an official receipt for the donor's purposes. These documents will set forth an adequate description of the object(s) and state the nature of the transfer as a gift.

Object(s) accepted from a donor who has claimed a tax deduction will be retained by the College for the period specified by current rulings of the Internal Revenue Service.

IV. Finding Aids, Cataloging, and Preservation

All monographic acquisitions by SCAD are cataloged by Schaffer Library Technical Services staff, using ISBD and RBMS Standards as appropriate.

Descriptive records and/or finding aids are created for archival records and manuscript collections consistent with Society of American Archivists Standards.

Most materials are housed in an environmentally-controlled section of Schaffer Library. Selected materials are housed in an offsite facility.

V. Access to Materials

Collections are made available to College and donor restrictions permitting to members of the College community, as well as to undergraduate and graduate students, scholars, and serious researchers from the general public. Users must present appropriate credentials to a SCAD staff member before admission to the Department. Occasionally, SCAD materials can be lent to outside institutions or agencies providing adequate security and climate control.

VI. Deaccession of Materials

A. Introduction

Because of the primacy of preserving Special Collections materials in their original format and, concomitant with that, the role of Special Collections as a repository for cultural history, SCAD will carefully evaluate all materials before accepting them to lessen the likelihood of deaccession. This said, there are legitimate reasons why materials in the Department may be deaccessioned. Items identified for deaccessioning independently evaluated at a fair market value of more than \$5,000 will be submitted to the President of the College and the Board of Trustees for approval.

The Rare Book and Manuscripts Section of the Association of College and Research Libraries includes a lengthy set of guidelines for deaccessioning of

materials in [Standards for Ethical Conduct](#) for Rare Book, Manuscript, and Special Collections Librarians, with Guidelines for Institutional Practice in Support of the Standards, 2d edition, 1992. These guidelines are widely accepted as the professional standard for rare book libraries and archives. The Head of Special Collections administers the following policy for deaccessioning of materials from Special Collections and Archives incorporates and strives to uphold the standards established by RBMS for the ethical deaccessioning of materials from special collections.

B. Policy and Procedures

In the deaccessioning of rare books and manuscripts, SCAD will weigh carefully the policies, interests, and mission of the College.

Responsibility to the needs and reputation of Union College requires that, in preparing for and accomplishing any deaccessioning, SCAD will take care to define and publicly state the purpose of the deaccessioning and the intended use of monetary or other proceeds from the deaccessioning, to avoid any procedure which may detract from the College's reputation for honesty and responsible conduct. Proceeds from the sale of deaccessioned material are used solely for the maintenance of the Department.

C. Disclosure of Deaccessioning Actions

SCAD will not sell to any employee, officer, trustee, or volunteer of the College or any family member or any entity (including non-profit) which they or a family member control or which they serve as an officer or director or to any entity which has a significant commercial relationship with the College (e.g. suppliers, lawyers, consultants, brokers). Documentation of transfer will include a representation from the purchaser that his or her purchase is not in violation of the foregoing restriction.

Due consideration will be given to the library and museum community when items are deaccessioned. Sales to, or exchanges between, institutions will be explored in addition to disposition through the trade

D. Documentation of Deaccessioning Actions

1. Deaccessioning will be documented in writing by the creation of a Deaccession Form which will be kept on file permanently with the SCAD.

2. The Head of SCAD and the SCAD staff are responsible for preparing a Deaccession Form for object(s) being proposed for deaccession. This form includes the following:

- Date of recommendation and reason for deaccession.
- Object accession number.
- Condition and description of object.
- Name/address of source of object.
- Date of accession.
- Name/address of new owner.
- Sale price or exchange value.
- Any condition agreed to upon accession and the reasons for said conditions.
- Insured value.
- Estimated market value per appraisal.
- Proposed method of deaccession.

VII. APPENDICES

A. Deed of Gift

_____, a resident of _____ County, _____ (hereinafter, “Donor”), conveys to Union College Special Collections and Archives Department (SCAD) the item(s) of tangible personal property set forth as Exhibit A, attached hereto and made an integral part hereof (hereafter, “collection”).

In consideration of mutual promises and the conditions set forth below, the Donor and Union College agree as follows:

1. **Manifestation of Gift.** As a private liberal arts college, it is the goal of SCAD to make all acquired materials available to the broadest appropriate public audience. Donor makes this conveyance in recognition of this express goal, and from the desire to further the education, research, and service missions of the College.

2. **Ownership.** Donor represents both that it possesses the authority to transfer title in the collection to the College, and that the collection is free and clear of any liens or encumbrances to the collection.

3. **Authorization to Transfer.** Donor represents that it is authorized to sign this Deed of Gift transferring title to all materials constituting the collection to the College.

4. **Conveyance.** Donor hereby conveys all rights, title, and interests in the collection described in Exhibit A and conditioned only by this Deed of Gift.

5. **Acknowledgement of Gift and Acceptance.** SCAD hereby acknowledges the transfer and conveyance of the subject collection and accepts title upon actual receipt of the collection.

6. **Time of Title Transfer.** Special Collections shall assume ownership and control of the collection only upon actual receipt of the collection.

7. **Use of Materials.** SCAD, at its discretion, shall display, loan, or otherwise make use of the subject collection in support of scholarship, research and education. Donor understands and agrees that consistent with the shared goal of making the collection available to the broadest appropriate audience,

images may be created or reproduced in any form, analog or digital, now known or hereafter discovered or invented. The College may arrange or rearrange materials to render them more accessible in support of research and scholarship, and if materials are deemed to be duplicative or extraneous given existing library collections, SCAD must reserve the right to deaccession such materials consistent with its archival principles and practices.

8. Access to Collection. Special Collections agrees that upon reasonable notice, Donor shall have access to the collection during regular operating hours. Upon reasonable notice, the Libraries shall provide copies of materials in the collection at a cost recovery charge.

9. Preservation Copies. SCAD expressly reserves the right to select the media and/or method for reproducing a preservation copy of the subject collection.

10. Copyright and Intellectual Property. Donor hereby conveys and quit claims to SCAD any and all intellectual property rights, including copyright, to the extent such rights are owned or controlled by Donor. Specifically, Donor expressly supports use of the subject collection to further individual research and scholarship.

11. Jurisdiction. It is agreed by and between the parties hereto that all issues surrounding the execution, construction or interpretation of this agreement shall be controlled by New York law and disputes shall be resolved in the Supreme Court of the State of New York, Schenectady County, or the United District Court for the Northern District of New York.

10. Entire Agreement. It is expressly agreed and acknowledged by the signatures below that only this document and any Exhibits hereto, constitute the entire agreement between the parties. This contract suspends any and all prior oral or written statements or agreements that may have occurred between the respective parties.

13. Modification and Amendment. The parties agree that this agreement may only be modified by mutual agreement, executed in writing and signed by authorized representatives of both parties.

14. Donor Contact Information:

Signature of Donor or Donor's Authorized Representative:

Signature

Date

Printed Name

Title

Address

STATE OF _____)

COUNTY OF _____) ss:

On the _____ day of _____ in the year _____
before me, the undersigned, personally appeared
_____ ("Donor"), personally known to me or
proved to me on the basis of satisfactory evidence to be the individual(s) whose
name(s) is (are) subscribed to the within instrument and acknowledged to me
that he/she/they executed the same in his/her/their capacity(ies), and that by
his/her/their signature(s) on the instrument, the individual(s), or the person upon
behalf of which the individual(s) acted, executed the instrument.

NOTARY PUBLIC

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(Fill in State, District of Columbia, Territory, Possession, or Foreign Country)

_____)ss.:

On the _____ day of _____ in the year
 _____ before me, the undersigned, personally appeared
 _____ (“Donor”), personally known to me or
 proved to me on the basis of satisfactory evidence to be the individual(s) whose
 name(s) is (are) subscribed to the within instrument and acknowledged to me
 that he/she/they executed the same in his/her/their capacity(ies), and that by
 his/her/their signature(s) on the instrument, the individual(s), or the person upon
 behalf of which the individual(s) acted, executed the instrument.

*(Signature and office of individual taking
 acknowledgement.)*

 Office

Acknowledgement and Acceptance by Special Collections and Archives
 Department, Union College:

 Signature

 Date

 Printed Name

 Title

B. Glossary of Terms

ACCESS

The archival term for authority to obtain information from or to perform research in archival materials.

ACCESSION

(v.) To transfer physical and legal custody of documentary materials to an archival institution.

ACQUISITION

The process of identifying and acquiring, by donation or purchase, historical materials from sources outside the archival institution.

ADMINISTRATIVE VALUE

The value of records for the ongoing business of the agency of records creation or its successor in function.

APPRAISAL

The process of determining whether documentary materials have sufficient value to warrant acquisition by an archival institution.

ARCHIVES

- (1) The noncurrent records of an organization or institution preserved because of their continuing value.
- (2) The agency responsible for selecting, preserving, and making available records determined to have permanent or continuing value.
- (3) The building in which an archival institution is located.

ARCHIVIST

The professional staff member within an archival institution responsible for any aspect of the selection, preservation, or use of archival materials.

ARRANGEMENT

The archival process of organizing documentary materials in accordance with archival principles.

COLLECTING POLICY

A policy established by an archival institution concerning subject areas, time periods, and formats of materials to seek for donation or purchase.

COLLECTION

(1) An artificial accumulation of materials devoted to a single theme, person, event, or type of document acquired from a variety of sources.

(2) In a manuscript repository, a body of historical materials relating to an individual, family, or organization.

COLLECTION DEVELOPMENT

The process of building an institution's holdings of historical materials through acquisition activities.

DEED OF GIFT

A legal document accomplishing donation of documentary materials to an archival institution through transfer of title.

DEPOSIT AGREEMENT

A legal document providing for deposit of historical materials in physical custody of an archival institution while legal title to the materials is retained by the donor.

DESCRIPTION

The process of establishing intellectual control over holdings of an archival institution through preparation of finding aids.

DISPOSITION

The final action that puts into effect the results of an appraisal decision for a series of records. Transfer to an archival institution, transfer to a records center, and destruction are among possible dispositions.

DISPOSITION SCHEDULE

Instructions governing retention and disposition of current and noncurrent recurring records series of an organization or agency.

DONATED HISTORICAL MATERIALS

Historical materials transferred to an archival institution through a donor's gift rather than in accordance with law or regulation.

FINDING AID

A description from any source that provides information about the contents and nature of documentary materials.

ISBD

Abbreviation for *International Standard Bibliographic Description*, prepared by the Working Group on the General International Standard Bibliographic Description set up by the International Federation of Library Associations and Institutions (IFLA) Committee on Cataloguing (London, IFLA International Office for UBC, 1977). The *Anglo-American Cataloguing Rules* (second edition) are based on the ISBD general framework for the description of library materials, including the order of elements in the catalog entry and prescribed punctuation.

LEGAL CUSTODY

Ownership of title to documentary materials.

MANUSCRIPT

A handwritten or typed document, including a letterpress or carbon copy, or any document annotated in handwriting or typescript.

PROCESSING

All steps taken in an archival repository to prepare documentary materials for access and reference use.

RBMS

The Rare Books and Manuscript Section (RBMS) of the Association of College and Research Libraries (ACRL), a division of the American Library Association (ALA), strives to represent and promote the interests of librarians who work with rare books, manuscripts, and other types of special collections.

RECORDS

All recorded information, regardless of media or characteristics, made or received and maintained by an organization or institution. [The Federal Records Act definition of "records" can be found at: [44 USC Sec. 3301.](#)]

REFERENCE SERVICE

The archival function of providing information about or from holdings of an archival institution, making holdings available to researchers, and providing copies, reproductions, or loans of holdings.

REVIEW

The process of surveying documentary materials in an archival institution to determine whether the materials may be open for access by researchers or must be restricted in accordance with law, a donor's requirements, or an institution's regulations.

