

# **ARCHIVES & SPECIAL COLLECTIONS** **MANDATE AND COLLECTION POLICY**

## **BROCK UNIVERSITY**

### **Mandate**

The mandate of Brock University's Archives & Special Collections is to collect, preserve, display and provide access to records that fulfill the collection needs identified in the following groups: Brock University Archives, Special Collections, Private Archives (Niagara themed), and Autism.

These records are maintained and made available to Brock University staff, students, alumni and to outside researchers in accordance to federal and provincial laws, University records policies and donor agreements.

### **Acquisition / Collection Policy**

#### **1.0 General**

- 1.1 The Archives & Special Collections acquisition / collection policy will be directed by the Head of Archives & Special Collections / Archivist through the administration of the University Librarian and the Associate University Librarian – Collections.
- 1.2 "Record" is defined as information in any format including print, manuscript, image, sound or digital media but not the mechanism that produces the record ie. computer software.
- 1.3 "Archival value" is defined as, those records which possess administrative, fiscal, legal, evidential and/or information value which justify their permanent preservation and are no longer of any immediate use to the creator.
- 1.4 Without established criteria for incoming records, the Archives will become unfocused, redundant and filled to capacity very quickly. These criteria will provide the framework wherein all potential collections will be evaluated. The criteria should not be viewed as obstacles, but rather as measures to ensure that consistent collections are maintained and that the proper measures of preservation and access can be attained. A collection's inability to meet the criteria should never be taken as a reflection of the lack of personal value of the records.

#### **2.0 University Archives**

- 2.1 Records to be transferred to the University Archives from Brock University are those that must be retained in accordance with provincial / federal legislation (including FIPPA) or

those that are of significant administrative, fiscal and historical value to the institution. These records must be past their active and semi-active lives and should primarily document the functions, policies and decisions of the University. These records should include:

- a. Administrative records created, received and maintained by the Offices of the President, Vice Presidents, Chief Information Officer, Chancellor, Secretary to the University, University Librarian, Internal Auditor, Deans, Departmental Chairs, Directors and other offices and positions of comparable significance;
- b. Minutes, reports and correspondence of the Board of Trustees, Board Committees, Senate, Senate Committees, University Committees and other governing bodies;
- c. University publications such as Brock News, Brock Research, Parenthesis, Surgite!, University Annual Report, Brock Review and past and future works;
- d. Promotional materials such as brochures, newsletters, posters, postcards, recruitment materials and the like created by the academic and administrative units within the University;
- e. Audio-visual / multimedia records (negatives, prints, film, video, digital files) taken by professionals hired by or under contract with the University;
- f. Select University building plans and contracts, campus maps and guides;
- g. Course calendars – graduate, undergraduate and continuing;
- h. Convocation programs and yearbooks;
- i. University telephone books and directories;

2.2 Such records should be identified and acquired through the established records management program out of the University Secretariat's office - <https://brocku.ca/legal/records/>.

2.3 As a supplement to the records of Brock University, the University Archives may accept the records of organizations and individuals that are affiliated with the University as long as the materials reflect their relationship to the University. These groups must enter into a mutually acceptable donor / transfer agreement with the Archives. At times when storage space is at a minimum, the records from Brock University will take precedence over these affiliated records. These records may come from:

- a. Brock University Faculty Association including collective agreements, newsletters and faculty handbooks;
- b. OSSTF including collective agreements, newsletters and constitutions;
- c. CUPE Locals 1295 and 4207 including collective agreements and newsletters;
- d. Brock University Students' Union (BUSU) including copies of the Brock Press and its previous and future incarnations;
- e. Graduate Students' Association (GSA)
- f. Other student organizations
- g. Brock University Alumni Association including Stay Connected;
- h. Private papers and works of prominent individual faculty, staff, students and alumni. Determined on a case by case basis with an emphasis on recognized accomplishments and obvious connections to the University and other collection priorities of the Archives & Special Collections.

- 2.4 Due to the space restrictions, the following records will be the collection priorities of the University Archives:
- a. Records of archival value from the Offices of the President, Vice Presidents and Chancellor;
  - b. Minutes and annual reports of the Board of Trustees, Board Committees, Senate and Senate Committees;
  - c. Publications - Brock News, Brock Research, Parenthesis, Surgite!, University Annual Report, and Brock Review;
  - d. Promotional materials produced by the University;
  - e. Audio-visual / multimedia records;
  - f. Select University building plans and contracts, campus maps and guides;
  - g. Course calendars – graduate, undergraduate and continuing;
  - h. Convocation programs and yearbooks;
  - i. University telephone books and directories;
  - j. Minutes of the Brock University Alumni Association Board of Directors meetings and the publication Stay Connected;
- 2.5 The University Archives will acquire records designated in the collection policy in the following manners:
- a. Internal Transfer: Following an agreement detailing what records will be accepted, records are sent to the Archives on regular intervals by participants. A transfer form and records inventory completed by the transferring party must accompany the records;
  - b. Donation: Records arriving via donations from groups or individuals will be subject to the terms agreed upon in the Special Collections & Archives Deed of Gift Agreement. All donated materials become the property of Brock University;
  - c. Loan: Loaning records on a short term basis will be accepted where a formal donation is not possible and the records will be reproduced for reference purposes or be used in a public display. Materials will be returned to original owner as soon as the project is completed. Long term loans will be handled according to the Long Term Loan Policy (below);
  - d. Purchase: Archives & Special Collections will attempt to purchase records relating to the University if acquisition by other means is not possible and the materials are of notable significance to Brock. Purchases are subject to the availability of funds and/or budget approval.
- 2.6 The title / ownership of the records must be clear. Donors may be asked to produce proof of title or sign a release absolving Brock University of liability resulting from any irregularities of title.
- 2.7 In the event of a refusal of a donation, the donor will be notified and will have a period of up to thirty days or a mutually agreed upon time to retrieve the materials. Brock University is not responsible for any records left longer than agreed. Following the established time after notification, the records may be disposed of in any manner deemed suitable by the Head of Archives & Special Collections.

- 2.8 Artifacts (ie. three dimensional, museum quality objects) are collected on a very limited basis. These items must support the use and understanding of specific archival records or represent a significant event in the University's history to be acquired and maintained.
- 2.9 Records that are duplicated and stored in other areas of the University or another institution may not be accepted unless they are of superior physical condition or are a better historical example.
- 2.10 Records and artifacts that do not fall within the scope of the University Archives' collection policy will be referred to other appropriate departments or institutions for possible deposit or be disposed of through other means.
- 2.11 If the collection size is too large, it may not be accepted. One collection cannot compromise the Archives' other obligations.
- 2.12 Records must have some semblance of order and context – if it is too difficult to identify the creator, subject or origins of the records, it may not be accepted
- 2.13 Records that will have lengthy access restrictions placed on them by the donor may not be accepted. The goal of the Archives is to make all records available to the public.
- 2.14 Records must be in reasonable physical condition. If too much time and resources have to be spent on the conservation of a single collection, it may not be accepted. Such records may also be a hazard to other collection in the Archives.
- 2.15 Records that arrive at Archives & Special Collections without the proper paperwork may not be accepted. The University Archivist will contact the owner and request that the records be returned until the documentation for transfer is complete. Archives & Special Collections will hold records for a period of thirty days from the time contact is made with the owner. After those thirty days, the University Archivist will dispose of the records. In the University Archivist's absence, a Temporary Receipt Form must be signed by all potential donors.
- 2.16 Records that have been illegally obtained, recovered under conditions deemed unethical by professional standards, or salvaged at the expense of another individual, group or organization will not be accepted.
- 2.17 Collections that come with financial support from the donor to help subsidize preservation and processing costs will be considered.
- 2.18 Records must have the potential to hold long-term research value for future users. Collections that suit the interests of a single individual or a limited few may not be accepted.
- 2.19 Brock University follows the regulations set out by the Canada Revenue Agency (CRA) governing the valuation of donations / gifts-in-kind. A charitable tax receipt can be

issued for the fair market value of the gift at the date the ownership is transferred to the University. For gifts valued at \$1000 or less, the University Archivist can appraise the materials. If the value of the gift is greater than \$1000, a third party (i.e. arm's length from both the donor and the University) is required from a qualified appraiser. To ensure independent appraisal integrity, the James A. Gibson Library will bear the costs of the appraisal, not the donor. Brock University also adheres to the Cultural Property Export and Import Act (CPEIA) on cultural items from outside Canada.

### **3.0 Special Collections**

- 3.1 Special Collections are mainly secondary source materials pulled together by a common subject or acquired because of the records' intrinsic nature.
- 3.2 The main focus of Special Collections is to acquire scholarly materials for the purpose of research and teaching.
- 3.3 Currently, major categories in Special Collections include the history of the Niagara Peninsula and its surroundings, War of 1812, travel journals, the United Empire Loyalists and works on Freemasonry. These are not necessarily exhaustive categories, but are areas that are actively developed and represent research interests of a significant portion of our users / supporters. Details of the scope of these collections within these categories are as follows:
  - a. The Niagara Collection – A comprehensive collection of monographs that covers the geography, environment, geology and human history of the area from its earliest geological formations to the present. This Collection will focus on non-fiction materials that support research on the varied influences on the region. Serial publications that encompass aspects the Niagara region will also be collected.
  - b. War of 1812 – Secondary sources documenting and analyzing the events of the War of 1812 with a primary interest in the Niagara area and secondary focus on other theatres of the War.
  - c. Travel journals – Narratives of men and women who have traveled through the Great Lakes region from the earliest explorers to the present. Works must include a detailed account of experiences in the area of the Niagara Peninsula.
  - d. United Empire Loyalists – Primary (microform) and secondary materials detailing the immigration, settlement and influences of the United Empire Loyalists in Canada with a heavy focus on the Niagara area.
  - e. Freemasons – Collection of printed works on the history, rituals, organization and influences of Freemasonry. The collection mainly deals with Freemasonry in Canada, the United States and England with some works on other areas of the world. Future acquisitions will maintain a focus on Masonry in Canada. Works on ritual, practice and other geographic areas will be collected in a more limited and controlled manner based on their research value.
- 3.4 Any collection offered that would initiate a new collection category within Special Collections must either complement an existing subject or offer substantial research potential in itself. Decisions on creating a new collection category will be made by the

Special Collections Librarian / Archivist with the assistance of the University Librarian, the Associate University Librarian – Collections and possibly a representative from the appropriate Brock University Faculty / Department.

- 3.5 The secure and controlled environment of Special Collections makes the area a reasonable place to store materials of a rare, expensive and unique nature. For printed material to be considered for storage in Special Collections, it must be directly related to research level programming at Brock University and comply with one or more of the following criteria:
- a. Date of Publication: printed in Canada before 1867 or printed outside of Canada before 1800;
  - b. Rarity / Limited Runs: a book with a stated or known limitation of 100 or less copies;
  - c. Books of Considerable Value: such as important first editions and books with inscriptions, autographs, or other material of importance (maps, illustrations, etc). The value of these materials must be estimated to be over \$750;
  - d. Significance as a Collection: a collection of printed materials that has value as a completed whole even if some items may neither be rare or valuable.
- 3.6 Special Collections will acquire records designated in the collection policy in the following manners:
- a. Donation: Records arriving via donations from groups or individuals will be subject to the terms agreed upon in the Special Collections & Archives Deed of Gift Agreement and must meet the criteria outlined in the Collection Policy (3.0 Special Collections). All donated materials become the property of Brock University;
  - b. Loan: Loaning records on a short term basis will be accepted where a formal donation is not possible and the records will be reproduced for reference purposes or be used in a public display. Materials will be returned to original owner as soon as the project is completed. Long term loans will be handled according to the Long Term Loan Policy (below);
  - c. Purchase: Purchases for Special Collections will be handled through the acquisitions budget provided from the Library and through various endowments to Archives & Special Collections. Some endowments have a specific collection mandate to comply to (Heritage Lodge and Runnalls / Standing Endowments = Masonic items). Purchases are subject to the availability of funds and/or budget approval. Expensive items / collections may require additional funds that must be approved and secured through the University Librarian and the Associate University Librarian – Collections. Acquisitions may be purchased through book dealers, retailers, organizations, auctions (including those online), authors and private individuals.
- 3.7 The title / ownership of the materials must be clear. Donors may be asked to produce proof of title or sign a release absolving Brock University of liability resulting from any irregularities of title.
- 3.8 In the event of a refusal of a donation, the donor will be notified and will have a period of up to thirty days or a mutually agreed upon time to retrieve the materials. Brock University is not responsible for any records left longer than agreed. Following the

established time after notification, the records may be disposed of in any manner deemed suitable by the University Archivist.

- 3.9 Artifacts (ie. three dimensional, museum quality objects) are collected on a very limited basis. These items must support the use and understanding of a subject area of the Special Collections to be acquired and maintained.
- 3.10 Materials that are duplicated and stored in other areas of the University or another institution may not be accepted unless they are of superior physical condition or are a better historical example.
- 3.11 Printed materials that are available in microform (either at Brock) or in digital media will not usually be purchased for Special Collections but will be accepted by donation.
- 3.12 Books categorized as art books, erotica, film or similar subjects will not be stored in Special Collections unless they meet the criteria outlined in 3.5.
- 3.13 Materials removed from the general collection will not be accepted into Special Collections for the sole reason that they are fragile, old or in poor condition.
- 3.14 Materials that do not fall within the scope of the Special Collection's collection policy will be referred to other appropriate institutions for possible deposit or be disposed of through other means.
- 3.15 If a collection size is too large, it may not be accepted. One collection cannot compromise the Department's other obligations.
- 3.16 Materials must be in reasonable physical condition. If too much time and resources have to be spent on the conservation of a single collection, it may not be accepted. Such records may also be a hazard to other collections in the Archives and Special Collections.
- 3.17 Materials that arrive at Archives & Special Collections without the proper paperwork may not be accepted. The University Archivist will contact the owner and request that the materials be returned until the documentation for transfer is complete. Archives & Special Collections will hold the materials for a period of thirty days from the time contact is made with the owner. After those thirty days, the University Archivist will dispose of the materials. In the University Archivist's absence, a Temporary Receipt Form must be signed by all potential donors.
- 3.18 Materials that have been illegally obtained, recovered under conditions deemed unethical by professional standards, or salvaged at the expense of another individual, group or organization will not be accepted.
- 3.19 Collections that come with financial support from the donor to help subsidize preservation and processing costs will be considered.

- 3.20 Materials must have the potential to hold long-term research value for future users. Collections that suit the interests of a single individual or a limited few may not be accepted.
- 3.21 Brock University follows the regulations set out by the Canada Revenue Agency (CRA) governing the valuation of donations / gifts-in-kind. A charitable tax receipt can be issued for the fair market value of the gift at the date the ownership is transferred to the University. For gifts valued at \$1000 or less, the University Archivist can appraise the materials. If the value of the gift is greater than \$1000, a third party (i.e. arm's length from both the donor and the University) is required from a qualified appraiser. To ensure independent appraisal integrity, the James A. Gibson Library will bear the costs of the appraisal, not the donor. Brock University also adheres to the Cultural Property Export and Import Act (CPEIA) on cultural items from outside Canada.

#### **4.0 Private Archives**

- 4.1 Private archives consist of records created or received by an individual, family or organization outside of Brock University during the natural conduct of their affairs and preserved because of the enduring informational value within the records or as evidence of the functions and responsibilities of their creators.
- 4.2 The main objective of collecting private archives is to acquire primary materials that enhance the information within our Special Collections and to support the research and teaching of faculty and students at Brock University.
- 4.3 Currently, major categories within the Private Archives include records of individuals and organizations that support the Niagara Collection focus, Brockiana Collection, Freemasonry, the Morely Poster Collection, Canadian public relations and marketing materials, and records that document the wine making industry in the Niagara area. These are not necessarily exhaustive categories, but are areas that are actively developed and / or represent research interests of a significant portion of our users / supporters. Details of the scope of these collections within these categories are as follows:
- a. The Niagara Collection – Comprised mainly of primary documents such as correspondence, diaries, minutes, maps, photographs, and ephemera that chronicle the daily business of individuals, families and organizations based in the Niagara Region. This includes materials relating to the War of 1812 and the United Empire Loyalists. Accessions into this collection focus should support the other materials within the Niagara Collection or should create a new subject focus that is supported by the expressed research interests of faculty and students at Brock University.
  - b. Niagara Grape and Wine Industry – Associated with the Niagara Collection, this collection will focus on the records of individuals and organizations that have contributed to the grape and wine industry in the Niagara area. A priority will be placed on records relating to the business, science and marketing of grape growing and wine making including field notebooks, photographs, motion pictures, brochures, catalogues, diaries, correspondence, meeting minutes, reports, and media items. Financial records (outside of summaries) and employee records will not be collected

- without the approval of the Archivist. This collection is reserved for inactive records that are available to all potential researchers. The Archives will not become storage space for operating groups and businesses. The Archivist must have the authority to retain / discard records as deemed appropriate.
- c. Canadian Public Relations and Marketing Collection – Composed primarily of the Ontario Editorial Bureau and Terry O’Malley Fonds, this collection reflects the history of public relations and marketing fields in Ontario / Canada over the last fifty years of the twentieth century. Further accessions into the O’Malley and O.E.B Fonds are possible. Expanding the collection will be done in a very deliberate manner as the volume of records can be problematic. Faculty assistance at identifying new collections and ensuring their use will be solicited.
  - d. Brockiana Collection – Comprised of any media that relates to the individual Sir Isaac Brock – the namesake of this University.
  - e. Freemasons – Collection of minute books, by-laws, attendance rolls and other ephemera relating to the Masonic Order in Ontario and Canada. This collection supports the Masonic book collection. Further accruals will be done on a limited basis using money from endowments created for this collection.
  - f. Morely Poster Collection – Comprised of public posters collected from all over the world. Future accruals from Mr. Morely are possible but will be done with some caution to the volume of materials. Future posters collected by the Archives should be of a specific subject relating to the collection interests of the Archives & Special Collections.
- 4.4 Any fonds offered that would initiate a new collection category within the Archives must either complement an existing subject or offer substantial research potential in itself. Decisions on creating a new collection category will be made by the Special Collections Librarian / Archivist with the assistance of the University Librarian, the Associate University Librarian – Collections and possibly a representative from the appropriate Brock University Faculty / Department.
- 4.5 Special Collections will acquire records designated in the collection policy in the following manners:
- a. Donation: Records arriving via donations from groups or individuals will be subject to the terms agreed upon in the Special Collections & Archives Deed of Gift Agreement and must meet the criteria outlined in the Collection Policy (4.0 Private Archives). All donated materials become the property of Brock University;
  - b. Loan: Loaning records on a short term basis will be accepted where a formal donation is not possible and the records will be reproduced for reference purposes or be used in a public display. Materials will be returned to original owner as soon as the project is completed. Long term loans will be handled according to the Long Term Loan Policy (below);
  - c. Purchase: Purchases for Special Collections will be handled through the acquisitions budget provided from the Library and through various endowments to Archives & Special Collections. Some endowments have a specific collection mandate to comply to (Heritage Lodge and Runnalls / Standring Endowments = Masonic items). Purchases are subject to the availability of funds and/or budget approval. Expensive

- items / collections may require additional funds that must be approved and secured through the University Librarian and the Associate University Librarian – Collections. Acquisitions may be purchased through book dealers, retailers, organizations, auctions (including those online), authors and private individuals.
- 4.6 The title / ownership of the materials must be clear. Donors may be asked to produce proof of title or sign a release absolving Brock University of liability resulting from any irregularities of title.
  - 4.7 Records that are transferred over to the Archives and do not fall within the collection policy will be referred to other appropriate institutions for possible deposit or be disposed of through other means deemed appropriate by the Archivist.
  - 4.8 In the event of a refusal of a donation, the donor will be notified and will have a period of up to thirty days or a mutually agreed upon time to retrieve the materials. Brock University is not responsible for any records left longer than agreed. Following the established time after notification, the records may be disposed of in any manner deemed suitable by the University Archivist.
  - 4.9 A majority of the transferred materials must be original / primary records. Secondary materials may be kept if they add to the Special Collections. Copies of records will not be accepted unless they are the only surviving record or their research value is substantial.
  - 4.10 Records must be in an accessible format or be accompanied with the appropriate hardware / software to read them.
  - 4.11 Artifacts (ie. three dimensional, museum quality objects) are collected on a very limited basis. These items must support the use and understanding of a subject area of the Archives & Special Collections to be acquired and maintained.
  - 4.12 Materials that are duplicated and stored in other areas of the University or another institution may not be accepted unless they are of superior physical condition or are a better historical example.
  - 4.13 Printed materials that are available in microform (either at Brock or through Inter Library Loan) or in digital media will not usually be purchased for Special Collections but will be accepted by donation.
  - 4.14 If a collection size is too large, it may not be accepted. One collection cannot compromise the Department's other obligations.
  - 4.15 Materials must be in reasonable physical condition. If too much time and resources have to be spent on the conservation of a single collection, it may not be accepted. Such records may also be a hazard to other collection in the Archives.

- 4.16 Materials that arrive at Archives & Special Collections without the proper paperwork may not be accepted. The University Archivist will contact the owner and request that the materials be returned until the documentation for transfer is complete. Archives & Special Collections will hold the materials for a period of thirty days from the time contact is made with the owner. After those thirty days, the University Archivist will dispose of the materials. In the University Archivist's absence, a Temporary Receipt Form must be signed by all potential donors.
- 4.17 Materials that have been illegally obtained, recovered under conditions deemed unethical by professional standards, or salvaged at the expense of another individual, group or organization will not be accepted.
- 4.18 Collections that come with financial support from the donor to help subsidize preservation and processing costs will be considered.
- 4.19 Materials must have the potential to hold long-term research value for future users. Collections that suit the interests of a single individual or a limited few may not be accepted.
- 4.20 Brock University follows the regulations set out by the Canada Revenue Agency (CRA) governing the valuation of donations / gifts-in-kind. A charitable tax receipt can be issued for the fair market value of the gift at the date the ownership is transferred to the University. For gifts valued at \$1000 or less, the University Archivist can appraise the materials. If the value of the gift is greater than \$1000, a third party (i.e. arm's length from both the donor and the University) is required from a qualified appraiser. To ensure independent appraisal integrity, the James A. Gibson Library will bear the costs of the appraisal, not the donor. Brock University also adheres to the Cultural Property Export and Import Act (CPEIA) on cultural items from outside Canada.

## **5.0 Autism Spectrum Disorder (ASD) Collection**

- 5.1 The main objectives for developing the Autism Spectrum Disorder (ASD) Collection are to preserve the unique, at risk and vital materials on this subject; to make these resources accessible to the academic and broader research communities; and to have Brock University stand out as a major institution for the study of autism.
- 5.2 The ASD Collection consists primarily of records created or received by an individual, family or organization during the natural conduct of their affairs and preserved because of the enduring informational value within the records or as evidence of the functions and responsibilities of their creators. Secondly, the Collection also includes published and assembled works on ASD that are identified as historic or rare.
- 5.3 Currently, there are five major categories for collection. These are not necessarily exhaustive categories, but are areas that are actively developed and/or represent research interests of a significant portion of our users / supporters. Details of the scope of these collections within these categories are as follows:

- a. Private records – This category is comprised mainly of primary documents such as correspondence, diaries, artwork, film, photographs, digital records and ephemera that chronicle the daily lives of individuals who live with ASD or work with those with ASD. The range of potential donors is limited to Canada and the United States and any other stipulation outlined within this policy.
  - b. Businesses and Organizations – This subject area focuses on the records of larger organizations whose mandate or purpose is principally to research, advocate for, or support people with ASD. Records can include correspondence, meeting minutes, reports, photographs, data, websites, digital records, promotional items and the like. Financial records (outside of summaries) and employee / health records will not be collected without the approval of the Archivist. This collection is reserved for inactive records that can be available to all potential researchers. The Archives will not become active storage space for operating groups and businesses. The Archivist must have the authority to retain / discard records as deemed appropriate. Due to the potential size of such collections, the primary range for potential donors will be organizations within Canada. Interested donors from the United States will be considered on a case by case basis.
  - c. ASD in Popular Culture – In instances where the subject of ASD is part of an artistic work such as a television show, film, play, book, or documentary, the records of the creator(s) of these works may be acquired with particular interest in any materials involving ASD. The range of potential donors is limited to Canada and the United States and any other stipulation outlined within this policy.
  - d. Scientific Research – This category encompasses records that document the study, experimentation and findings of scientific research involving ASD. Records can include field notes, correspondence, background research, images, audio / video, raw data, reports, publications, etc. Brock University will not take on duplicate materials that are stored in other repositories. The range of potential donors is limited to Canada and the United States and any other stipulation outlined within this policy. Stipulations for the collection of such research include: that research deposited in the archive meet recognized standards for privacy and confidentiality of subjects studied; we prefer to acquire data that can reside in the public domain; we require that data intended for public use be formatted so that identifiers inadvertently included in the data can be removed using standard practices without reducing the research value of the original data; and any access limitations that Brock might apply to specific research collections should be legally justified and manageable given the Brock University Library's resources, goals, and mission.
  - e. Historic and Rare secondary source materials – The Archives & Special Collections will also consider the retention of published works or collections about or including ASD that are considered historic, unique or rare.
- 5.4 Any fonds offered that would initiate a new collection category within the Archives must either complement an existing subject or offer substantial research potential in itself. Decisions on creating a new collection category will be made by the Special Collections Librarian / Archivist with the assistance of the University Librarian, the Associate University Librarian – Collections & Liaison Services and possibly a representative from the appropriate Brock University Faculty / Department.

- 5.5 Archives & Special Collections will acquire records designated in the collection policy in the following manners:
- a. Donation: Records arriving via donations from groups or individuals will be subject to the terms agreed upon in the Special Collections & Archives Deed of Gift Agreement and must meet the criteria outlined in the Collection Policy (4.0 Private Archives). All donated materials become the property of Brock University. Priority will be given to collections that are donated;
  - b. Loan: Loaned records will be accepted on a case-by-case basis when a formal donation is not immediately possible. The expectation will be that the records will eventually be donated to Brock University. Until a formal donation is achieved, the amount of professional work on the loaned materials may be limited. The records may be reproduced for reference purposes or be used in a public display. Materials will be returned to the original owner at a mutually agreed upon time. Long term loans will be handled according to the Long Term Loan Policy (below);
  - c. Purchase: Purchases for Special Collections will be handled through the acquisitions budget provided from the Library and through various endowments to Archives & Special Collections. Some endowments have a specific collection mandate to comply to. Purchases are subject to the availability of funds and/or budget approval. Expensive items / collections may require additional funds that must be approved and secured through the University Librarian and the Associate University Librarian – Collections & Liaison Services. Acquisitions may be purchased through book dealers, retailers, organizations, auctions (including those online), authors and private individuals.
- 5.6 The title / ownership of the materials must be clear. Donors may be asked to produce proof of title or sign a release absolving Brock University of liability resulting from any irregularities of title.
- 5.7 Records that are transferred over to the Archives and do not fall within the collection policy will be referred to other appropriate institutions for possible deposit or be disposed of through other means deemed appropriate by the Archivist.
- 5.8 In the event of a refusal of a donation, the donor will be notified and will have a period of up to thirty days or a mutually agreed upon time to retrieve the materials. Brock University is not responsible for any records left longer than agreed. Following the established time after notification, the records may be disposed of in any manner deemed suitable by the University Archivist.
- 5.9 A majority of the transferred materials must be original / primary records. Secondary materials may be kept if they add to the Archives & Special Collections. Copies of records will not be accepted unless they are the only surviving record or their research value is substantial.

- 5.10 Records must be in an accessible format or be accompanied with the appropriate hardware / software to read them. Some media formats and ephemera with historical value may be considered.
- 5.11 Artifacts (ie. three dimensional, museum quality objects) are collected on a very limited basis. These items must support the use and understanding of a subject area of the Archives & Special Collections to be acquired and maintained.
- 5.12 Printed materials that are available in microform (either at Brock or through Inter Library Loan) or in digital media will not usually be purchased for Special Collections but will be accepted by donation.
- 5.13 If a collection size is too large or has large aspects that divert too far from the subject of ASD, it may not be accepted. One collection cannot compromise the Archives & Special Collections' other obligations.
- 5.14 Materials must be in reasonable physical condition. If too much time and resources have to be spent on the conservation of a single collection, it may not be accepted. Such records may also be a hazard to other resources in the Archives.
- 5.15 Donors have a right to place certain restrictions on the access and use of the records for an agreed upon period of time. If these stipulations are too limiting, however, the donation may not be accepted.
- 5.16 Materials that come to Archives & Special Collections without the proper paperwork may not be accepted. The University Archivist will contact the owner and request that the materials be returned until the documentation for transfer is complete. Archives & Special Collections will hold the materials for a period of thirty days from the time contact is made with the owner. After those thirty days, the University Archivist will dispose of the materials. In the University Archivist's absence, a Temporary Receipt Form must be signed by all potential donors.
- 5.17 Materials that have been illegally obtained, recovered under conditions deemed unethical by professional standards, or salvaged at the expense of another individual, group or organization will not be accepted.
- 5.18 Collections that come with financial support from the donor to help subsidize preservation and processing costs will be considered.
- 5.19 Materials must have the potential to hold long-term research value for future users. Collections that suit the interests of a single individual or a limited few may not be accepted.
- 5.20 Brock University follows the regulations set out by the Canada Revenue Agency (CRA) governing the valuation of donations / gifts-in-kind. A charitable tax receipt can be issued for the fair market value of the gift at the date the ownership is transferred to the

University. For gifts valued at \$1000 or less, the University Archivist can appraise the materials. If the value of the gift is greater than \$1000, a third party (i.e. arm's length from both the donor and the University) is required from a qualified appraiser. To ensure independent appraisal integrity, the James A. Gibson Library will bear the costs of the appraisal, not the donor. Brock University also adheres to the Cultural Property Export and Import Act (CPEIA) on cultural items from outside Canada.

## **Deaccession Policy**

- 1.1 A deaccession is the official transfer of records out of the Archives and Special Collections.
- 1.2 All deaccessions from the permanent collection must be initiated by the Archivist and be approved by the University Librarian and the Associate University Librarian – Collections.
- 1.3 Any issues of unclear title and restrictions will be resolved before deaccessioning.
- 1.4 Brock University will attempt to respect the intentions of the donor while fulfilling its obligations to the rest of the Archives and Special Collections.
- 1.5 Records will be deaccessioned if they meet any of the following criteria:
  - a) The records duplicate materials already in the Archives and Special Collections or in another repository. For items at Brock University, those that possess the best quality and condition will be retained;
  - b) The records do not have a direct relation to the collection focus of the Archives & Special Collections;
  - c) The materials are hazardous to the rest of the collection;
  - d) Brock University can no longer care for the records or use them in the foreseeable future;
  - e) The records have been irrevocably destroyed to the point of ineffectiveness either by natural deterioration or by accidental damage. A professional conservator may be consulted to determine the extent of the damage;
  - f) If a record is determined to be permanently lost because of theft or other manner of disappearance, it will be considered a deaccession. As full documentation as possible of the circumstances of the disappearance will be made.
- 1.6 After the records are slated to be deaccessioned, they will be removed from the collection in one of the following ways:
  - a) Attempts will be made to contact the original owner to see he / she will want the records returned;
  - b) A more appropriate institution (archive, museum or library) will be contacted to see if they will take on the records;
  - c) Other educational institutions will be contacted to see if the records can be used in support of their curriculum;

- d) The records will be sold in a public auction or to a reputable book dealer. All proceeds from the sale of these materials will be used for the benefit of the collection. Records assumed to be of significant value must be appraised before sold (\$1,000 +);
- e) The records will be intentionally discarded.

### **Exchange or Trade with Other Parties**

- 1.1 The Brock University Archives & Special Collections may acquire collections by trade or exchange with other collecting institutions or dealers.
- 1.2 In addition to the general acquisitions criteria, the following policies and procedures specifically govern trades and exchanges:
  - a. Records removed from the collection for exchange will be deaccessioned in accordance to the established policies, procedures and criteria and must be duplicated or no longer valuable to the collection as a whole;
  - b. All exchanges must be equitable and in the best interests of the Brock University;
  - c. A manner of paying for the costs of removal and shipment of the records must be agreed upon before the transfer of the records.

### **Long Term Loan Policy**

- 1.1 Although loans are not the preferred way for the Archives & Special Collections to receive materials, there are the rare occasions where a loan will be accepted.
- 1.2 Any incoming loan must be approved by the Archivist, the University Librarian and the Associate University Librarian – Collections. Faculty members with a direct research interest in the materials may also be consulted.
- 1.3 Records must directly support the collection and research interests of the Archives & Special Collections, faculty and students.
- 1.4 All records must be made available to any researchers. Storage of materials for one individual's work will not be allowed without the written permission of the University Librarian.
- 1.5 The materials must be placed on loan for a minimum of eight years with the prospect of formal transfer of ownership over to Brock University at the end of that period.
- 1.6 The University Archivist and staff will process the materials according to minimal archival standards at the very least and will produce finding aids for the records.
- 1.7 If records are at risk of permanent damage due to acidic papers, adhesives, old staples and paperclips, etc., the University Archivist can perform conservation measures on the materials according to archival standards and within financial reason.

- 1.8 Deposit of the collection in the Archives & Special Collections does not imply endorsement of authenticity or of historical or monetary value of the records.
- 1.9 Records on loan can be removed from the Archives & Special Collections by the owner for use in research, meetings, displays and for preservation projects. The Archivist must be notified prior to removal and the two parties must establish a time frame for the return of materials.
- 1.10 The loan agreement will be reviewed every two years to ensure that all parties are satisfied with the treatment and condition of the collection and to discuss the future of the materials at Brock University.
- 1.11 A list of the records and their appraised value will be forwarded to the James A. Gibson Library and the University's insurance company. Appraisals must be secured by the depositor independent of Brock University.
- 1.12 After a pre-determined period of years, the loan will expire and the materials will either be returned to the depositor or become a permanent part of the Archives & Special Collections through the signing of a Deed of Gift form.
- 1.13 It is the obligation of the depositor to remove the records at the request of the Archivist and Brock University. Records not retrieved in a timely fashion may be stored at the depositor's expense. The Archivist will make every attempt to contact the donor to return the materials and will keep records on this process. If attempts to return the records fail, the records will be considered outright gifts to Brock University after three years from the first contact effort.
- 1.14 If materials are to be permanently removed from the Archives prior to the end of the loan agreement, a request to do so must be done in writing explaining the reasons for the removal. A meeting between the Archivist and the depositor must be arranged to resolve any issues. The owner of the records may be charged for monetary compensation for staff time and materials used to manage the collection.

### **Loans to Other Museums and Institutions**

- 1.1 The Archives & Special Collections may extend long term loans (six to twelve months) to other institutions.
- 1.2 The materials of such loans should be duplicated elsewhere in the collection.
- 1.3 A Facility Report must be completed and approved by the borrowing institution to ensure the safekeeping of the records. The Report will be updated if the loan is to be extended.

- 1.4 The borrowing institution will be responsible for the deductible in the event of an insurance claim.
- 1.5 A list of the records to be loaned along with their appraised values will be forwarded to the Brock University's insurance company prior to the materials leaving the premises.
- 1.6 Condition reports will be completed on the record(s) leaving the Archives & Special Collections.
- 1.7 The borrowing institution will be responsible for costs incurred for conservation treatment if the record(s) have been damaged or its condition has deteriorated from a lack of care or security while on loan at the borrowing institution.

### **Interlibrary Loans**

- 1.1 Interlibrary loan requests for Special Collection materials made to the James A. Gibson Library may be considered.
- 1.2 The item(s) must be inspected by the University Archivist prior to loan.
- 1.3 Permission may be denied due to the condition of the material, its age, rarity or value. In this case, requestors will be invited to visit Brock University to view the item(s).
- 1.4 When a loan is granted, the material is to be used in a secure and supervised environment (Special Collections or Archives department) at the receiving library. The item(s) cannot leave the receiving library.
- 1.5 No photocopies of loaned materials can be made without the permission of the University Archivist.
- 1.6 The borrowing institution will be responsible for costs incurred for conservation treatment if the material has been damaged or its condition has deteriorated from a lack of care or security while on loan at the borrowing institution.
- 1.7 Archival collections are not available for interlibrary loan.

### **Review**

- 1.1 The Brock University Archives & Special Collections Mandate and Collection Policy will be reviewed regularly or at any time when the Archivist, University Librarian and the Associate University Librarian – Collections consider changes necessary.