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ARCHIVES AND SPECIAL COLLECTIONS POLICY

ENABLING LEGISLATION + LINKED POLICIES

All related ECU policies:

- *9.5 Data Backup and Recovery*
- *9.6 Information Protection*
- *Library Donation Guidelines*
- *Library Collection Development Policy*

OBJECTIVE

This objective of this document is to describe the mandate, acquisition and access policies of the Emily Carr University of Art + Design Archives and Special Collections (hereafter “the ECU Archives) including the agents and means by which the ECU Archives acquires records and other materials (as defined herein), and the rationale by which the ECU Archives selects records and other materials for preservation and provides access.

SCOPE + APPLICATION

The ECU Archives, operating under the auspices of the Library + Learning Commons, is the official repository for ECU's records of permanent value created or received by University officers or employees in the course of their duties on behalf of the institution and records donated to the ECU Archives that adhere to the mandate outlined below. This document covers Definitions; Archives and Special Collections Mandate; Principles; Research Community and Access; Methods of Acquisition; Access Guidelines; Retention of Material; Referral to Other Repositories; Roles and Responsibilities; and Policy Supports and Guidelines.

This document applies to staff of the Emily Carr Library + Learning Commons involved in the acquisition and selection of records and other materials for long-term preservation.

POLICY PRINCIPLES

The ECU Archives carries out the acquisition and care of archival materials in accordance with the following principles:

1. *Adherence to the principle of respect des fonds* - In accordance with the principle of respect des fonds, the ECU Archives and Special Collections endeavors to acquire fonds in their

entirety. If only part of a fonds is available for acquisition, the ECU Archives and Special Collections may choose to accept it if it meets established selection criteria; when possible, the ECU Archives and Special Collections will acquire the remainder of the fonds as a later accrual.

2. *Acquisition of collections and discrete items* - The ECU Archives and Special Collections recognizes that records and other materials may be physically severed from fonds before they are available for acquisition. Therefore, the ECU Archives and Special Collections also acquires individual records and other materials in the form of collections and discrete items, provided they meet established selection criteria.

DEFINITIONS

Appraisal – the process of assessing the value of records for the purpose of determining the length and condition of their preservation.

Collection – a grouping of documents/materials intentionally assembled on the basis of a common characteristic, from any provenance. A collection does not include groupings of documents/materials naturally accumulated by a creator in the course of practical activities.

Creator – the individual, group or organization responsible for the production, accumulation or formation of a grouping of records.

Deaccession – the permanent removal of material from the ECUAD Archives & Special Collections holdings.

Discrete item – an individual object that is not part of a larger body of material (e.g. fonds or collection).

Fonds – the whole of the records, regardless of form or medium, organically created and/or accumulated and used by a person, family or organization in the course of that creator's activities or functions; the highest-level archival aggregation.

Material(s) – object(s), including records, that bear recorded information and that the ECUAD Archives & Special Collections may acquire, preserve and make accessible.

Record(s) – document(s) made or received in the course of a practical activity as an instrument or by-product of such activity, and set aside for future action or reference.

“Respect des fonds” – the core archival principle that no subset of a creator's archival records should be alienated from the whole, nor should it be intermixed with the records of other creators.

ARCHIVES AND SPECIAL COLLECTIONS MANDATE

The mandate of the ECU Archives is to acquire, preserve, and make accessible the records of Emily Carr University of Art + Design and its various departments, offices and governing bodies. Additionally, to supplement the information in the University's corporate records, the ECU Archives acquires the private papers of selected faculty members, administrators and alumni, as well as the records of independent student, alumni and employee organizations. The ECU

Archives and Special Collections supports the research of faculty, students, alumni and scholars through access; and supports teaching/enhancing the curriculum as appropriate.

The ECU Archives does not generally acquire original works of art by faculty, students, alumni or others; three-dimensional objects or records from outside organizations.

RESEARCH COMMUNITY AND ACCESS

The ECU Archives are open to ECU community members (alumni, faculty, staff and students) as well as the general public, with the completion of a 'Research Agreement form'.

The ECU Archives are open to researchers by appointment and will provide research assistance and support.

METHODS OF ACQUISITION

Emily Carr University of Art + Design institutional records

The ECU Archives will work with academic and administrative departments to transfer materials according to records retention schedules and recordkeeping practices. The process includes identifying permanently valuable ECU records and providing for their transfer to the Archives when they become inactive.

The ECU Archives will also accept transfers of unscheduled records. This includes identifying older ECU records (i.e., not scheduled) that have permanent value and ensuring that they are transferred to the Archives, and identifying those that may have been alienated from the custody of the University and negotiating for their return

Private/community records

The ECU Archives may acquire custody of private records through the following methods:

Donation

Donation is the preferred method of acquisition for private/community records.

To donate materials to the ECU Archives and Special Collections, a donor must have clear title to the material or documentation that supports their authority to donate the material.

Tax receipts are issued by the University Advancement Office in accordance with Canada Revenue Agency guidelines. Tax receipts will not be issued for donations with a value of less than \$100. Donations valued at over \$1000 must be appraised by a qualified third party at arm's length from both the University and the Donor(s). The University Advancement Office may seek a second appraisal on donations of high value or of a complicated nature. The cost of an external appraisal is borne by the donor.

Abandoned or orphaned material

The ECU Archives may acquire material for which documentation of legal transfer of custody or ownership is not available (i.e., for which a formal donation agreement was not created) provided that the ECU Archives has a good-faith belief that its actions to acquire, preserve and provide access to the material will not infringe upon any existing intellectual or physical property rights to the material.

In cases where material has been abandoned at or inherited by the ECU Archives, the ECU Archives may assert ownership over, dispose of and incorporate into its holdings said material provided that it is reasonable to believe that the material was intentionally abandoned or

anonymously donated to the ECU Archives, and that a reasonable amount of time has elapsed since the discovery of the material without any third party enquiring about or asserting a claim to the material.

Loan or Purchase

In exceptional circumstances, the ECU Archives may acquire materials by loan or purchase. Materials being considered for loan or purchase must demonstrate a strong fit with multiple acquisition criteria, and any agreement must take into consideration the effect on the ECU Archives current and future resources and operations. Any material considered for acquisition through purchase must receive the approval of the University Librarian.

In order to manage, preserve, administer conservation activities and provide access to materials the ECU Archives seeks to understand and document ownership over physical materials and associated intellectual property rights, particularly copyright. The ECU Archives prefers to acquire ownership of or license, such as through Creative Commons, to reproduce (digitize/transfer) and provide ongoing access to acquired materials. Loans and offers of sale will not be accepted, except in extraordinary circumstances.

ACCESS GUIDELINES

The ECU Archives are open by appointment to students, faculty, staff, visiting scholars and artists, researchers and members of the general public.

Researchers wishing to use the ECU Archives will be required to contact the Archivist to make an appointment and if not a member of the ECU Community, complete a one-time Research Agreement form.

The materials in the care of the ECU Archives are valuable one-of-a-kind and unique, therefore there are some regulations for research and access to the materials. Researchers will not be permitted to browse the ECU Archives and Special Collections storage area. For security reasons, the researcher may have access to one box or file at a time. All ECU Archives materials are non-circulating and must stay in the reading room (C1245). Exceptions may be made for ECU faculty or staff on a case-by-case basis.

Notebooks, phones, computers and cameras may be brought in to the Reading Room. Food and drinks (including water) may not be consumed in the reading room. The researcher may use pencil to make notes, however pens will not be permitted in the Reading Room as accidental ink-marks can be caused by even the most careful researchers, and marks from pens cannot be removed from materials without damaging them.

The use of certain documents may be restricted by statute (in particular the Provincial Freedom of Information and Protection of Privacy Act), or by the original donor. The researcher must assume full responsibility for fulfilling the terms connected with the use of restricted material. For the protection of its holdings, the ECU Archives reserves the right to restrict the use of materials which are not arranged or are in the process of being arranged, materials of exceptional value, and fragile materials.

Photocopies and scans must be made by ECU Archives or Library staff. Researchers may take their own photographs of research material with approval of ECU Archives staff. In giving permission to copy, quote from, or publish, the ECU Archives does not surrender its own right to

publish such material or to grant permission to others to do so. The researcher assumes full responsibility for the use of material and for conformity to the laws of defamation, privacy, and copyright, and shall indemnify and hold harmless ECU from claims arising as a result of use of the material so obtained. The researcher assumes full responsibility for obtaining permission to publish such items in whole or in part.

RETENTION OF MATERIAL

Records acquired by the ECU Archives by any means may not be retained in their entirety.

1. Appraisal and selection – Emily Carr University of Art + Design institutional records

Records acquired from ECU departments may have an associated records retention and disposition plan that provides guidelines for permissible selection criteria. In the absence of a retention and disposition plan, the ECU Archives may perform appraisal and selection consistent with the best interests of ECU, based on archival principles. Records not selected for preservation will be securely destroyed.

2. Appraisal and selection – Private/community records

The ECU Archives may perform appraisal and selection on donated private/community materials in a manner that supports the ECU Archives mandate and criteria, and that is informed by archival principles. The ECU Archives will return to the donor any material that is not selected for preservation. Materials not returned to the donor will be securely destroyed.

3. Deaccessioning

The ECU Archives may deaccession material in its holdings that clearly falls outside the conditions of the Archives and Special Collections Mandate. The ECU Archives will not deaccession material that, if removed from the ECU Archives, would damage the integrity and decrease the usefulness of the remaining fonds. As much as possible, the ECU Archives will seek to transfer deaccessioned material to a suitable repository.

REFERRAL TO OTHER REPOSITORIES

If material offered to the ECU Archives for donation is considered to be outside the scope of the Archives Mandate, the ECU Archives may refer the donor to other/another more pertinent institution(s).

If material is considered to be within the scope of the Archives Mandate, but may be more appropriately held at another local repository, the ECU Archives will refer the donor to that repository. If the other repository declines the donation, the ECU Archives will reconsider the option to acquire the donation.

ROLES AND RESPONSIBILITIES

The University Librarian has final authority for all acquisition and deaccessioning decisions. Transfers of ECU institutional materials will be arranged and mediated by the Archivist. Acquisitions of private/community records and other materials are considered on a case by-case basis by the Archivist, University Librarian and the University Advancement Office.

POLICY REVIEW

Policy should be reviewed and updated every three years.