

ARCHIVES AND SPECIAL COLLECTIONS POLICIES:

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Purpose

The Northwestern Health Sciences University Greenawalt Library Archives and Special Collections serves as the official memory unit of the institution, documenting the work and activities of the University and its students and faculty and staff members. It attempts to bridge the gap between the past, present, and future by preserving materials which document the growth and development of the institution. These materials include, but are not limited to unpublished records, audio-visual materials, ephemera, and equipment. The Special collections include older books that document procedures that have historical value and can be used by patrons for research. These policies have been developed to provide a description of how archival materials are received, selected, processed, and made available for use.

Definition

Archives: “Materials created or received by a person, family, or organization, public or private, in the conduct of their affairs and preserved because of the enduring value contained in the information they contain or as evidence of the functions and responsibilities of their creator, especially those materials maintained using the principles of provenance, original order, and collective control; permanent records,” “the division within an organization responsible for maintaining the organization’s records of enduring value,” and “an organization that collects the records of individuals, families, or other organizations; a collecting archives” – from the Society of American Archivists A Glossary of Archival and Records Terminology, 2005 (<http://archivists.org/glossary>)

Special collections: The bulk of this collection consists of books that reflect the scientific and sociological trends that influenced the formation of chiropractic. Moving forward, this collection will also build on premiere books in the fields of massage therapy, acupuncture and Chinese medicine, nutrition, and other books that support the school’s curriculum. All copies of the chiropractic green books and no more than two copies of other books are kept in the collection . Additional copies of non- green books can be added to the general collection if needed or given to students.

Scope

General Guidelines

Greenawalt Library Archives collects unpublished materials for its archives. General guidelines regarding the scope of the archives include:

1. Unpublished records and audio-visual materials that chronicle the history and development of the University as an institution, regardless of format.
2. Unpublished materials including personal papers and organizational records that document the work and activities of the University and its students, faculty and staff members, and alumni, including records from such institutional offices as the President, Vice-President, Deans, Directors, and Department Chairs

3. Unpublished materials including personal papers and organizational records that document the work and activities of chiropractors, acupuncturists, Chinese medicine practitioners, massage therapists, and other integrative health practitioners in Minnesota, North and South Dakota, and Wisconsin
4. Memorabilia, ephemera, and equipment pertaining to the University or its disciplines and their history, including, but not limited to photographs, prints, recordings, films, slides, artwork, buttons, plaques, signs, emblems, and textiles

Collection policies will remain flexible and adaptable to the changing needs of Library users and the University.

Collection Depth

Exhaustive: Records, personal papers, publications, ephemera, and equipment, regardless of format, that have a direct relationship to chronicling the history and development of the University.

Selective: Items relating to the disciplines of manual, complementary, or natural medicine are a relative indicator of their importance.

Retrospective Collecting

Materials will be added to the Archives and Special Collections to fill gaps in holdings, to expand holdings, to provide additional preservation oversight for significant materials, and to meet the guidelines above. When duplicate copies of archival materials exist, the best quality copy available will be given priority for collection, but lower quality copies will be considered depending on their scarcity and importance.

Language

Greenawalt Library Archives collects materials almost exclusively in English. Materials in other languages will be considered on a case-by-case basis.

Geographical Aspects

The primary geographical focus of Greenawalt Library Archives and Special Collections is the state of Minnesota, but materials from around the United States and the world are also included. The Library is part of the Chiropractic Library Collaboration (CLIBCON), and as such is tasked with collecting chiropractic publications from Minnesota, North Dakota, South Dakota, and Wisconsin.

Chronological Aspects

Records and associated materials from all time periods are included in the archives. Chiropractic materials from the 1890s through 1940s are given special emphasis, in order to better document the early development of the profession, particularly in Minnesota.

Valuation Criteria

Administrative value

Records are of first importance to the originating agency for administrative, fiscal, legal, and operating purposes. The archival collection has a fundamental concern with the use, management, and disposal of the records it holds, and has the power to place restrictions on access and usage as deemed

appropriate. Administrative value is based on vital operating records, and political and public relations. Fiscal value requires that records documenting financial authorization, obligations, and transactions provide an audit trail for subsequent verification. Legal value is the ability to document statutory provisions, litigation, and best evidence.

Research value

The archives must serve a broad administrative, academic, and public clientele, including researchers. Research value relies on the following concepts: uniqueness, credibility, understandability, time span, accessibility, type, and quality of use.

Archival value

The archives must have relation and value in concert with other records. The archivist also must consider the processing, preservation, and storage costs of any accessioned materials.

Types of Materials

Greenawalt Library Archives collects materials from the following non-exhaustive list of records categories: agendas; albums and scrapbooks; audio recordings; awards; broadsides; brochures; budgets; bylaws; calendars; catalogs; charts; correspondence; course syllabi, outlines, materials, and notes; diaries and journals; directories; electronic records; guides; histories; interviews; licenses; logs; manuals; maps; memoirs; memoranda; minutes; newsletters; organizational charts; photographs and slides; posters; proceedings; reports; rosters; schedules; speeches and lectures; surveys; tax returns; tickets; video recordings; websites; and wills.

Donation Criteria and Selection

Donations are welcomed by the Library. Donations are considered based on applicability to the scope of the archives, quality of materials, and potential usefulness to patrons. Appraisal services are not available, but a letter of gift will be supplied to each donor. Selection criteria include subject, topic, age, volume, condition, and format of donation items. Selection decisions will be made by the Archivist and the Library Technician.

Background of the Collection

The collection has developed organically since the library was founded. Many special collections materials were transferred from the library's circulating collection. Donations from alumni and members of the public, in addition to transfers from university departments, faculty members, administrators, and staff members, have built the archives collections.

Strengths & Weaknesses of the Collection

Strengths

The strengths of the collection lie in paper materials and ephemera from College of Chiropractic history 1940s-1990s and in University photographs 1940s-2010s.

Weaknesses

Holdings relating to acupuncture, oriental medicine, and massage therapy should be strengthened, as should University materials 1990s-2010s.

Techniques of Selection

Provenance and pertinence are essential criteria when selecting materials or pieces that are appropriate for inclusion in the archives. In a sense, it is the activity of critical appraisal. The source must identify the creators and contributors and list the types of documentation that it contains with a concise description for comparative evaluation.

Appropriate initial processing and later reappraisal and deaccessioning keeps the archives viable. The following types of materials do not need to be retained during initial processing and may be grounds for later reappraisal and deaccessioning:

1. Routine acknowledgments, circulars, notifications, requests, and transmittals
2. Duplicates or extra copies of letters maintained for temporary convenience or reference
3. Preliminary drafts of letters, memoranda, and reports where final versions exist
4. Machine-readable records of which there have been textual outputs
5. Stencils, masters, and offset plates where outputs exist
6. Extra copies of publications – two or three copies should be kept when available
7. Library materials retained for reference or exhibition purposes
8. Photographs that are duplicate or of poor technical quality, or where participants, events, and/or locations cannot be identified or connected with our collections

The archives will collect in areas that:

1. Extend research strengths, interest, and needs
2. Anticipate future research needs
3. Support the University's extensive holdings of archival and special collections materials
4. Do not directly compete with another major collection

The collection policy will include guidelines flexible enough to permit growth and adaptation to new circumstances.

Appraisals

Acting as a third-party appraiser is illegal and compromises archival ethics. However, a summary of gifts will be supplied to the donor.

In-house collection appraisals will be based on age, volume, condition, and form of the items and will help to quantify and analyze their functional, evidential, and informational characteristics. Age often best represents the scarcity of records. It defines the archival, historical, and research values of a permanent record. Volume and condition are crucial factors in records appraisal. The quantity and condition of records will determine where and how they will be housed. The physical or electronic form of the records will establish what measures will be taken to house and preserve them. This kind of record is usually an official record or personal paper, printed archives, or publication which might include policies, laws, codes, proceedings, minutes, photographs, sound recordings, and machine-readable records.

In addition to functional characteristics such as age, volume, condition, and form, there are also evidential and informational characteristics. Accessioned records should show evidence of organization, function, decisions, and policies of their originating office, institution, or individual. Informational characteristics usually cover the topics of people and personal contributions, and can take the form of personnel records, correspondence, logs, directories, and so on.

Processing

The archives will endeavor to follow the More Product, Less Process (MPLP) archives processing approach whenever possible: processing collections to a minimal acceptable level upon accession in order to make them discoverable and available to patrons more quickly, and then doing additional processing as needed based on demand. The processing steps described here are more detailed than may be required for all collections when processing to MPLP standards.

Inventory and Survey

All materials need an inventory and a survey. The inventory documents the materials that have been received. The survey reviews the condition of the materials and allows time for simple preservation steps to be taken: unfolding or flattening materials (only if they are in good enough shape that they will not be damaged); removal of staples when they pose an immediate risk to materials or when required to save space in boxes; removal of paper clips, rubber bands, and any other easily removed binders, regardless of their substance; dusting; and sandwiching photographs and particularly acidic materials between leaves of acid-free bond paper. Each item that has had staples or paper clips removed and that needs to have multiple sheets kept together should have pieces of blank acid-free paper inserted before and after the complete item. Do not use plastic paper clips or other devices to keep items together, as these will also damage items and take up unnecessary space in folders. Time taken to care for pieces before they are described and stored will add years to their life and potential use.

Provenance

Provenance refers to the origin and chain of custody of records and other archival materials. Provenance of all accessioned materials should be as thoroughly documented as possible.

Arranging Materials

Archival materials should be arranged according to their original order whenever possible. When the original order has been disturbed or otherwise cannot be determined, the archivist should arrange the materials in the most logical and useful order that can be determined. Materials should be (re)housed in archival-quality folders or other appropriately sized containers; old folders and other materials that have

reached the end of their useful lives should be discarded, while binders or other materials that may be reused should be retained in the library's supplies storage. After rehousing and after arrangement has been determined, folders should be labeled as following:

Collection #xx: Collection name – Series name (if applicable) – Folder name (if applicable), from date-to date – folder X of Y (if applicable)

Describing Materials and Writing Finding Aids

See: NWHSU Archives Description Standards in the Policy Manual

See: NWHSU Archives Finding Aid Template in the Archives ☐ Finding Aids folder

Cataloging and Library Catalog Entries

Traditional cataloging and classification schemes do not lend themselves to archival collections. The use of either call number labels or barcodes on an individual item does a great deal of harm and should therefore not be used. Items or collections must each have a separate item record in the online catalog as a reference aid to patrons. Additional annotations as to the limitations of usage, photocopying, and so on, must be included in the record.

Preservation and Storage

Archival materials are unique or rare and cannot readily be replaced. They must be kept in a controlled environment with steady temperature and humidity. They should have limited exposure to both sunlight and overhead lights. They should be monitored periodically for insect and animal infestation and damage. Archival materials are particularly susceptible to damage from lax storage practices, so books need to be kept upright while not being packed too tightly into shelves, and items in boxes should be kept as flat and upright as possible. Make use of file supports within archives boxes as needed to keep materials upright. The actual shelving plan of storage containers need not be complex, but there must be a proviso for housing different formats and for future growth of the collection. Listings of materials available by bookcase and/or shelf should be kept up-to-date.

Discovering Archival Materials

Each item or collection will have a separate bibliographic record in the online catalog. Any annotations (such as size, use, or special conditions) will show up in the public catalog records.

Access & Use of Archives Materials

Accessing Archives Materials

Requests for archival materials should be directed to the circulation desk, who will notify the archivist or another trained library staff member. Patrons using archives or special collections materials must be observed to ensure they handle materials appropriately and return them before leaving the library.

Archives materials must be used within the library only; they may not leave the library at any time. While archives materials do not circulate, patrons are welcome to return to the library as many times as necessary to use an item. There are no overdue fines on archives materials.

Patrons who check out archives items are responsible for the materials at all times during their possession. Patrons who lose, mutilate, mark in, or damage items in any way will be held accountable. Photocopying will be allowed only with consent of the library director or archivist.

Archives items may be used by students, staff, faculty, and all library patrons who are affiliated with the University, as long as the patron presents a valid ID card or has an existing account in the circulation system. The library allows use of archives items by unaffiliated patrons, as long as the patron presents a valid state ID or driver's license. No deposit is required for use of archives items by unaffiliated patrons.

All requests for archival materials must be submitted on the Archives Request Form, available at the circulation desk. The patron must also complete an Archives Use Policy Form. The completed request and signed use policy form, when filled, are then given to the archivist for tracking purposes.

Using Archives Materials

Patrons must use materials within sight of the circulation desk. Patrons are prohibited from using pen or having any food or drink, regardless of style of container, around any archival materials. Patrons may use pencils and paper or computers when using archival materials. Materials must be kept in the original order they are found in within each folder, and folders must stay in their original orders within boxes. Patrons should use one folder at a time. "Out" markers will be provided to patrons to mark the location of any removed folder within a box. Materials must not be written on or otherwise altered for any reason. Most materials may be photographed, provided that the camera flash and sounds are turned off. Patrons or library staff should check with the library director or archivist to determine whether items can be photographed or photocopied. Photocopy requests should be made through the archivist when possible, as some materials may require special handling for safe copying.

See: Access & Use of Archives Materials Procedure

Deaccession Policy for Archives Materials

Archival collections should be reviewed periodically to identify materials that no longer merit inclusion in the Archives according to the current collection policy and to ensure the collections are adequately preserved. Reappraisal refers to activities carried out during this review process and does not refer to activities carried out during the initial selection or processing of materials. Reappraisal of a collection may lead to the deaccessioning of part or all of that collection, a process in which accessioned materials are permanently removed from the Archives' holdings. The reappraisal and deaccessioning guidelines and process described here are based on the Society of American Archivists' Guidelines for Reappraisal and Deaccessioning (2017; hereafter called the SAA Guidelines) and are intended to be format neutral, including electronic and audiovisual materials. The guidelines and process here may not cover all potential collections, so archivists' professional judgement will be required in some cases. Staff members involved in archives decision-making must follow a systematic and transparent process for reappraisal and deaccessioning.

Rationale

Consider reappraisal and potential deaccessioning to meet any of the following objectives: improving overall access to materials, making split collections whole, assessing and prioritizing backlogs, correcting faulty appraisal at the time of acquisition, complying with current institutional collecting policies, assess collecting strengths and refining collecting focus, implementing change in repository's mission, and

better balancing research potential of collections with necessary allocation of resources for their care and preservation (SAA Guidelines 2017, 9).

See: NWHSU Archives Manual for reappraisal and deaccessioning procedures

Preservation

Archives materials are housed separately from the main library for several reasons. It is imperative to the preservation aspect of the collection that the location is secured and that humidity, light, and temperature are controlled. Because the holdings date from the 19th and 20th centuries, many materials are currently brittle or are at risk of becoming brittle. Materials must be stored in acid- and lignin-free folders and containers. Older materials are particularly susceptible to damage from lax storage practices and should be kept upright while not being packed too tightly into boxes. The use of either call number labels or barcodes on an individual item does a great deal of harm and should therefore not be used. Call numbers and barcodes should instead be placed on boxes, or on acid-free inserts ("tombstones") when individual items need to be labeled.

A dark, relatively dry, evenly cooled location is ideal. Materials should experience limited exposure to both natural and artificial light. They should be monitored periodically for insect and animal infestation and damage. The space must use metal shelving, as the chemicals in wood shelving can damage materials. Additionally, the area should be protected from water pipes, stay at 65o-70o Fahrenheit, and maintain a level of 45%-50% humidity levels.

Archives materials are not intended for frequent or general usage, so a system in which a formal request is submitted in order to use items is essential to control and maintain the collection.

See: Access & Use of Archives Materials Procedure