



### Document Control Table

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### Document History

Version	Date	Author	Notes on Revisions
1.0	January 2010	Sarah Phillips, University Records Manager	
2.0	29 June 2015	Sian Collins, University Records Manager	Full review, major changes
3.1	June 2021	Sarah Phillips, Archivist & Records Manager	Full review, major changes

# Institutional Archive Acquisitions Policy

## 1. INTRODUCTION

- 1.1 Cardiff University recognises the importance of capturing and maintaining an archive to evidence its actions, decisions and achievements for posterity.
- 1.2 The Institutional Archive was formally recognised and approved by the University's Planning & Resources Committee in 2003. It was transferred to the University Library Service's Special Collections and Archives in 2017.
- 1.3 Special Collections & Archives collects, preserves and makes available evidence and information concerning the operations and governance of the University and its predecessors for the Institutional Archive collections. The collections provide insight into the impact of the University on the lives of its students, staff, local community, and the wider world. Through the collections the University is able to provide long term accountability and document its corporate memory.

## 2. PURPOSE STATEMENT

- 2.1 The purpose of this policy is to set out the categories of records that will be collected and preserved by Special Collection & Archives as part of the Institutional Archive collections.

## 3. RELATIONSHIP WITH OTHER POLICIES

This policy has a relationship with the following University policies:

- Records Management Policy
- Records Retention Schedule
- Institutional Archive terms governing gift and bequest of records (Appendix A)
- Special Collections & Archives Access policy
- Data Protection Policy
- Terms of Agreement for the Deposit of Research Archives

## 4. POLICY STATEMENT

### Collection Criteria

- 4.1 Cardiff University's Special Collections & Archives shall collect, manage, preserve and make publicly available, for the Institutional Archive collections, records generated by or relating to Cardiff University, its predecessors and subsidiary bodies. These records will contribute to the understanding of their:
- operations;
  - governance;
  - history;
  - achievements;
  - environment in which they have operated;
  - impact on the local area and the wider world, as well as that of alumni.
- 4.2 Such records include, but are not limited to:
- records generated by the University's senior management, governing bodies, departments, colleges and schools when carrying out their functions and activities (including research and teaching);

- records generated by individual members of staff and students which provide evidence of their experiences or their contribution to their field;
- records generated by other parts of the University community such as student/staff associations, clubs and societies;
- records generated by the University's wholly owned companies in the course of their activities.

4.3 Records in all formats, including digital, are accepted. Special Collections & Archives reserves the right to refuse or transfer material for which it does not possess the appropriate storage facilities or infrastructure to a specialist repository. Special Collections & Archives does not normally collect artefactual objects.

4.4 Special Collections & Archives shall make concerted efforts to capture records in Welsh and English where they have been created in both languages.

4.5 Some records captured for the Institutional Archive collections will include personal information about living individuals. Special Collections & Archives does this as part of its purpose of archiving in the public interest. Special Collections & Archives will ensure that the capture and preservation of any personal information in the Institutional Archive collections is fair and balanced against the rights of the individuals. As part of this process it will consider whether its purpose of archiving in the public interest can be fulfilled without capturing personal information or by capturing minimal personal information. It will also consider whether such collections are likely to cause significant damage or distress to the individuals involved. Measures will be taken to ensure any personal information archived is held securely and access is aligned with Data Protection principles and Freedom of Information Act exemptions. This will include personal information published in catalogues, finding aids and digitised content made available via the internet.

4.6 Special Collections & Archives may choose to focus collection development activity on the capturing of records to address legacy gaps in the corporate memory.

#### **Acquisition**

4.7 Records will normally be transferred from University departments, colleges and schools following identification through the University's Records Retention Schedule or in consultation with the Archivist & Records Manager.

4.8 Special Collections & Archives will accept gifts or bequests from members of the public and former staff and students where they meet the criteria for collection described above (see 4.1). Records will be accepted in line with the Institutional Archives terms of gift and bequest (see Appendix A).

4.9 Special Collections and Archives reserves the right to refuse to accept any material which it does not consider to be worthy of permanent preservation in the Institutional Archive collections.

4.10 Special Collections & Archives may also occasionally purchase records for the Institutional Archive collection.

4.11 Transfer of ownership is required by default. Records will not normally be accepted for the Institutional Archive collection, on long-term loan.

#### **Selection and Disposal**

4.12 Special Collections & Archives reserves the right to appraise records that have been accepted for the Institutional Archive collections, to deaccession and to responsibly

dispose of material which does not meet its criteria for permanent preservation. This includes legacy material within the collections. Records not required for permanent preservation will be returned to the donor, transferred to a more appropriate repository or confidentially destroyed in line with the Information Security Framework policies and guidelines, depending on the express wishes of the donor.

#### **Co-operation and Collaboration**

- 4.13 Under its wider remit, Special Collections and Archives also collects print and archival items, including the personal papers of academic staff, where they support the University's core research and teaching programmes and institutional culture.
- 4.14 Special Collections & Archives will communicate with key related public archive repositories, such as the Glamorgan Archives and the National Library of Wales, in relation to the Institutional Archive collections, to avoid duplication of effort and material.

#### **5. RESPONSIBILITIES**

- 5.1 The Head of Special Collections & Archives will be responsible for ensuring that all acquisitions adhere to the terms laid out in this policy.

#### **6. ETHICS**

- 6.1 When undertaking these activities Special Collections & Archives will abide by the International Council on Archives Code of Ethics<sup>1</sup> which provides a standard of conduct for the archival profession.

#### **7. DEFINITIONS**

**Archive** – a collection of records that has been selected for permanent preservation due to their historical or evidential value.

**Gift or bequest** – whereby the legal ownership of records is transferred to Cardiff University.

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<sup>1</sup> [https://www.ica.org/sites/default/files/ICA\\_1996-09-06\\_code%20of%20ethics\\_EN.pdf](https://www.ica.org/sites/default/files/ICA_1996-09-06_code%20of%20ethics_EN.pdf)

## **Appendix A: Terms governing gift and bequests of records**

### **Purpose**

This document sets out the terms on which records are accepted as gifts or bequest by Cardiff University's Special Collections & Archives as part of the Institutional Archive collections. These terms do not relate to records transferred from within the University.

### **Background**

Cardiff University's Special Collections & Archives seeks to collect (as part of the Institutional Archive collections) records generated by or relating to Cardiff University, its predecessors and subsidiary bodies. These records will contribute to the understanding of their operations, governance, history, achievements, the environment in which they have operated and the impact that they and alumni have made on the local area and the wider world.

### **Gifts and bequests**

Ownership of any archives gifted or bequeathed to Special Collections & Archives for the Institutional Archive collections will pass to Cardiff University. Any donor gifting or bequeathing records to Special Collections & Archives must be entitled to do so as the legal owner of the records or as agent for the legal owner.

### **Processing**

Special Collections & Archives will accession the records and provide the donor with a receipt. All records received will be appraised and any unwanted items disposed of in accordance with the donor's wishes. Records will be catalogued as resources allow in line with international standards, namely ISAD(G): General International Standard Archival Description. Copies of catalogues may be made available on the Archives Hub, National Register of Archives and the University's website. Records will be marked in pencil with a reference number to aid retrieval and security.

### **Storage**

Paper records will be stored securely in strongrooms where the temperature and humidity will be monitored. Digital records will be removed from physical media and placed on backed up storage, once virus checks and integrity checks have been undertaken.

### **Access**

Archives will be made available to the public for research purposes in the Special Collections & Archives Reading Room where members of the public will be supervised and required to adhere to Special Collections & Archives reading room regulations. Special Collections & Archives reserves the right to restrict access to records if such access might physically damage them. Special Collections & Archives may also place restrictions on access to records containing personal data or information which is potentially exempt under the Freedom of Information Act 2000 or any other relevant legislation.

### **Copyright**

Copies of records may be supplied to members of the public in line with copyright law.

### **Conservation**

Special Collections & Archives will undertake cleaning and packaging of records when considered necessary. From time to time records may be sent to a conservator for conservation. Subject to copyright legislation digitised surrogate copies of records may be made in order to protect the originals and make the records more widely available.

**Data Protection**

Personal details of donors will be held securely and not passed on to third parties without permission from the donor unless the Freedom of Information Act requires such disclosure. Cardiff University will become the Data Controller for personal data contained in the records gifted, or bequeathed.

**Exhibitions**

Records may be used in exhibitions on University premises only. Appropriate steps will be taken to ensure the security and safety of the records. For exhibitions outside University premises, we may supply a copy of the original record.

**Liability**

Special Collections & Archives will take every reasonable precaution to ensure that storage conditions for records are adequate, and that access to the records is supervised and controlled. Special Collections & Archives does not accept any liability for any loss, damage or theft, howsoever arising, suffered by any records in storage, during periods of access or display.

## Transfer of Ownership

<b>Name:</b>	
<b>Address:</b>	
<b>Telephone:</b>	
<b>Email:</b>	
<b>Description of records:</b>	
<b>Can we destroy any unwanted material:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No	
<b><i>If No, the donor is responsible for notifying Special Collections &amp; Archives of any change of address. Special Collections &amp; Archives reserves the right to destroy unwanted material in the event that we are unable to contact the donor using the contact details provided.</i></b>	
I declare that I have read and accepted the terms governing the gift and bequest of records. I hereby transfer ownership of the above records to Cardiff University. I declare that I am entitled to do so as the legal owner of the records or as agent for the legal owner	
Signature..... Date.....	