**Shelby White and Leon Levy Archives Center**

**Acquisitions Manual**

Last Edit: 2021 August 23

**Institute for Advanced Study Mission**

The Institute is pledged to assemble a group of scientists and scholars who with their pupils and assistants may devote themselves to the task of pushing beyond the present limits of human knowledge and to training those who may ‘carry on’ in this sense.

**Shelby White and Leon Levy Archives Center Mission**The Shelby White and Leon Levy Archives Center documents, collects, and sustains the history of the Institute for Advanced Study. We provide equitable access to the diverse stories at the center of Institute life in order to inspire a creative and critical engagement with our past that promotes the value of advanced research for our collective future. We are committed to creating inclusive programming that connects the work of the Institute with the global community we serve.

**Purpose**

This Acquisitions Manual was created by the Archivist at the Institute for Advanced Study in order to provide a standardized approach to acquisition and collection development. This acquisition manual contains details about all accepted methods of acquisition, internal guidelines governing appraisal by acquisition type, and tools to assess acquisition costs and impact.

This manual additionally aggregates supporting documentation for acquisition, including:

* [Collection Development Policy (Internal),](https://docs.google.com/document/d/1Umn8m0ojrW3MwUf3n4KthCM1N-dajP_y_QH9cXHs_7A/edit?usp=sharing)
* [Transfer Request Form](https://docs.google.com/forms/d/1SQSfVMPOkRdFcTgNR2OszNn1UFDm0qrypS7kxFrZAdY/edit?usp=sharing),
* [Deed of Gift Templates,](https://docs.google.com/document/d/1sKilwSpiVf-q-fFiFrtmsB13IkutaeCcDaU2J4dzwVw/edit)
* Memorandum of Understanding Templates (Revised)
* Oral History Agreement Templates (Revised),
* [Guidelines for Preparing Materials for Transfer to Archives,](https://docs.google.com/document/d/1dP7CJhAaG7YC4-MmcbCLuf3oWJgu-odmGGLluDaARvM/edit?usp=sharing)
* [Basic Inventory Template](https://docs.google.com/spreadsheets/d/1iCtBLSlXUHQwxaESTYByaOs7GS6stRQkO0WoO8NV2Tk/edit?usp=sharing),
* [Receipt of Transfer Template](https://docs.google.com/document/d/1Lb2XNk4Sv2Y-FXgp8QC4tL8o0lyov_pSX7fEEgLjv_s/edit?usp=sharing), and
* [Acknowledgement Letter Template](https://docs.google.com/document/d/1Qph_25bwv7Uvc1k7j78k6GmNw6dXr4jxwEOvuRGNtEc/edit?usp=sharing).

**Methods of Acquisition**

The Shelby White and Leon Levy Archives Center currently accepts and acquires collections through the following methods:

* **Transfer:** In line with the Institute’s Intellectual Property Policy, we support the transfer of records created and accumulated by administration and individual employees over the course of their employment with the Institute. Inactive records of historic value are transferred to the archives with approval from the Institute’s Archivist.
* **Donation:** The Archives Center accepts donations in line with the goals stated in the [Collection Development Policy](https://docs.google.com/document/d/1Umn8m0ojrW3MwUf3n4KthCM1N-dajP_y_QH9cXHs_7A/edit?usp=sharing). The Archivist is responsible for coordinating and approving the terms of gifts.
* **Purchase:** The Archives Center very rarely acquires collection materials from private individuals and/or organizations with the support of the Institute Historical Studies-Social Sciences Library. In these cases, the Archivist is responsible for coordinating with the HS-SS Library Acquisitions Librarian to procure materials.
* **Post-Custodial Collecting:** The Archives Center remains committed to making use of post-custodial collecting strategies that leverage archival technologies to assist in preservation and stewardship while leaving a collection within its community. The Archivist provides consultation and assistance on post-custodial collecting projects on a case-by-case basis.
* **Web Archiving:** The Archives Center leverages the Internet Archive’s ArchiveIT technology to provide web archiving support for institutional and individual websites only with the express consent of creators. The Archivist coordinates appraisal, selection, and archiving of web content on a case by case basis.

**Acquisitions Workflow**

Regardless of the method of acquisition, the workflow for acquisition will generally follow the standardized steps as follows:

1. Institutional/Community Creator identifies materials as being of enduring value. Either Archivist or Creator initiates conversations around acquisition.
2. Archivist works with Creators to evaluate materials and assess the costs/impacts of acquisition.
3. Archivists and Creators compile formal agreement. For Institutional Creators, this will be the [Transfer Request Form](https://docs.google.com/forms/d/1SQSfVMPOkRdFcTgNR2OszNn1UFDm0qrypS7kxFrZAdY/edit?usp=sharing). For Community Creators, this will be either a [Deed of Gift](https://docs.google.com/document/d/1sKilwSpiVf-q-fFiFrtmsB13IkutaeCcDaU2J4dzwVw/edit) or Memorandum of Understanding.
4. Archivist provides Creators with [Guidelines for Preparing Materials for Transfer to Archives](https://docs.google.com/document/d/1dP7CJhAaG7YC4-MmcbCLuf3oWJgu-odmGGLluDaARvM/edit?usp=sharing) and [Basic Inventory Template](https://docs.google.com/spreadsheets/d/1iCtBLSlXUHQwxaESTYByaOs7GS6stRQkO0WoO8NV2Tk/edit?usp=sharing). Creators work with Archivist to ensure materials are ready for transfer of custody.
5. Materials transfer custody. Physical materials are sent to the archive. Digital materials are transferred via Box.
6. Archivist accepts materials by sending a [Receipt of Transfer Template](https://docs.google.com/document/d/1Lb2XNk4Sv2Y-FXgp8QC4tL8o0lyov_pSX7fEEgLjv_s/edit?usp=sharing) to Institutional Creators or an [Acknowledgement Letter](https://docs.google.com/document/d/1Qph_25bwv7Uvc1k7j78k6GmNw6dXr4jxwEOvuRGNtEc/edit?usp=sharing) to Community Creators.
7. Archivist compiles all acquisition documentation for the control folder and places the digital control folder on a shared network drive. Any physical materials are placed in the Accessioning Hold Room to await formal Accession and Storage.

**Guidelines for Evaluating Materials of Enduring Value**

The following guidelines for evaluating materials of enduring value have been adopted from the OCLC’s Total Cost of Stewardship Research. For every acquisition, the Archivist will either informally or formally work through all of the guidelines below to determine the feasibility of acquiring a given set of materials.

**Determining Research and Institutional Value**

* How does this acquisition support the mission of the Archives Center?
* How do these materials relate to the stated goals and strengths in the [Collection Development Policy](https://docs.google.com/document/d/1Umn8m0ojrW3MwUf3n4KthCM1N-dajP_y_QH9cXHs_7A/edit?usp=sharing)?
* Does this collection document historically marginalized communities and/or address gaps or weaknesses in the collection?
* Who are the anticipated audiences for this acquisition? How will those audiences use this material?
* Is this material largely unique or unavailable to this audience elsewhere? Do other repositories have holdings that duplicate or better complement this material?
* How does this acquisition relate to the existing holdings in our collection? Are there statistics to help support the demonstrated use of these existing holdings?

**Determining Value for Connections, Collaborations, and Community Building**

* Does this collection have any ties to other repositories? Is it part of a larger collection held by another institution? If so, have those institutions been offered this material?
* Does this collection require partnerships with other institutions or communities to steward responsibly? If so, have we explored the feasibility of supporting these partnerships over time?
* Does this collection present opportunities for connecting with communities that we hope to engage? If so, are there ways that we can acquire this material that support that community and/or their connection to the material either (via exhibition, digitization, or cultivation)?

**Determining Collection Needs**

* How was this material created, assembled, and used by the creators? Are the creators actively using these materials?
* What functions, actions, or activity did this material support or enable?
* What is the custodial history of the collection? Do the creators own this material?
* Is the material currently housed, arranged, and/or filed in a way that supports its use by the creator? If so, can the creator explain the arrangement?
* How large is this collection? What portions of this collection are candidates for acquisition? What portions should not be acquired?
* What formats are included in this collection (and in what amount)? Are there born-digital files, audiovisual items, and/or large amounts of print/published material that require cataloging?
* What is the current condition of the collection? Are there any major preservation concerns?

**Determining Rights and Restriction Needs**

* Will there be any restrictions on this material? Are those restrictions actionable and time- bound? Are restricted materials already separated or easy to identify?
* Is the material under copyright? What percentage of copyrighted material was created by the donor/seller? Is the donor/seller planning on licensing material under a creative commons license, licensing them to the repository, or signing copyright over to the repository?
* Does the born-digital material have a high likelihood of containing personally identifiable information (PII)?

**Determining Existing Capacity**

* How long will the material take to process or catalog?
* How does this rank in terms of existing cataloging or processing priorities?
* Would this acquisition change those current priorities or divert staff or other resources from existing planned priorities?
* Are current staffing levels, storage spaces, and available equipment and workspaces sufficient to meet the needs of this collection? Are there any timelines, deadlines, or other contingencies that need to be met for this acquisition to move forward?
* Does this acquisition demand significant resources from other units or campus partners (digitization, conservation, etc.) and can they provide those resources?

**Compiling a Formal Agreement and Preparing Materials for Transfer**

After completing the evaluation of each prospective acquisition, the Archivist will determine whether or not to move forward with a formal agreement. For Transfers, the Archivist will assist Institutional partners in filling out a [Transfer Request Form](https://docs.google.com/forms/d/1SQSfVMPOkRdFcTgNR2OszNn1UFDm0qrypS7kxFrZAdY/edit?usp=sharing). For Donations, the Archivists will draft either a [Deed of Gift](https://docs.google.com/document/d/1sKilwSpiVf-q-fFiFrtmsB13IkutaeCcDaU2J4dzwVw/edit) or Memorandum of Understanding. Each of these documents can be found as appendices to this manual.

In most instances, the Archivist will additionally provide creators with [Guidelines for Preparing Materials for Transfer to Archives](https://docs.google.com/document/d/1dP7CJhAaG7YC4-MmcbCLuf3oWJgu-odmGGLluDaARvM/edit?usp=sharing) and a [Basic Inventory Template](https://docs.google.com/spreadsheets/d/1iCtBLSlXUHQwxaESTYByaOs7GS6stRQkO0WoO8NV2Tk/edit?usp=sharing). Creators will notify the Archivist when materials are ready to be transferred into the custody of the Archives Center. (At times, the Archivist may provide assistance in this step.)

**Receiving New Acquisitions**

After materials are transferred into the custody of the Archives Center, the Archivist will receive and acknowledge all new acquisitions. For transfers, the Archivist will be responsible for completing a Receipt of Transfer to be filed and sent to the institutional contact. For donations, the Archivist will prepare an acknowledgement to be sent to the donor.

Once the Archivist acknowledges the acquisition, they will be responsible for gathering all correspondence and official documentation regarding the acquisition to be placed into a control folder on the shared network drive and directing all physical materials to the Accessioning Hold Room to await formal accessioning.

**Appendix A. Web Guidelines for Transfer**

The Shelby White and Leon Levy Archives Center provides a key connection between the Institute for Advanced Study and the broader public. By making the historic archives of the Institute available, we support the public’s ability to discover and engage with the historic community of scholars at the heart of the Institute’s mission. As part of this work, we collect, preserve, and provide access to the records that document the Institute’s historic activities, including the work of Institute administrators, scholars, and staff.

We welcome records from all departments and offices within the Institute regardless of format; however, given the vast amount of records created across the Institute each day, we strive to select only the approximately 5% of records created within a given institution that demonstrate an enduring value to our community. In order to assist staff, the Archivist offers in person consultation and appraisal of Institute records. For those who wish to evaluate records independently, we offer the following guidelines for evaluating Institute records.

**Evaluating Institute Records**

When evaluating records for transfer to the Archives Center, consider the following questions:

* Do these records document the impact of this department’s or school’s mission and/or its role within the broader community? Do these records illustrate changes in how we understand our work or its significance?
* Are these records considered no longer useful by our department and/or school? Do we no longer require access to these materials to conduct our routine work? If the materials are governed by a local retention schedule, have they passed the period of retention and disposition?
* Are these records considered to be the intellectual property of the Institute according to guidelines outlined in the Institute Intellectual Property Policy?
* Is this office the creator and owner of these records (rather than the holder of additional and/or reference copies)?

If you answer yes to any of the above questions, the records should be considered for transfer to the archives. If you require additional assistance, consult the Archivist.

**Records We Collect**  
The Archives Center regards the following types of records to be of enduring or historic value to the Institute:

* Articles of Incorporation, Constitutions, By-Laws, and Amendments
* Organizational Charts, Administrative Policies, Committee and Task Force Policies, Decadal Reviews, Annual Reports, Self-Studies, and Strategic Planning Documents
* Proposals for Programs and/or Facilities, Planning Documents, Program Reports, and Evaluations
* Administrative Reports, Office Correspondence and Memoranda, Subject Files for Activities, Programs, and Core Functions
* Faculty Self-Governance records, Executive Officer files, Meeting Minutes, and Committee Proceedings
* Materials related to Conferences, Activities, and Events, including Planning Documents, Programs and Agendas, Lists of Invited Speakers and Attendees, Flyers, Feedback, and Photographs
* Institute Publications, including Newsletters, Brochures, Monographs, Programs, and Posters
* Audiovisual Records (i.e., Film, Photographs, and Audio) of Institute Events, Gatherings, and Community Life

**Records to Withhold**

The Archives Center **cannot** accommodate the following types of records:

* Routine Financial and Administrative Records, including Requisitions, Travel Expenses, Payroll Time Sheets, and Weekly Budget Reports,
* Routine Acknowledgements, Circulars, Notifications, and Requests,
* Draft Correspondence or Reports,
* Blank Forms and/or Letterhead,
* Duplicate Copies of Single Documents,
* External Publications,
* Documents Containing Personal Information, including Social Security Numbers, Passport/Visa Numbers, Account and Personal Financial Information, etc.,
* Documents Created by Other Departments and Scholars

**Transferring Institute Records**

The Archives Center welcomes the transfer of Institute records in both physical and digital formats to help ensure their preservation and stewardship. The process to transfer records is quick and easy. Departments should simply follow the instructions below:

1. Evaluate Records for Transfer
2. Complete a [Transfer Request Form](https://docs.google.com/forms/d/1SQSfVMPOkRdFcTgNR2OszNn1UFDm0qrypS7kxFrZAdY/edit?usp=sharing)
3. Prepare Records for Transfer According to [Guidelines for Preparing Materials for Transfer to Archives](https://docs.google.com/document/d/1dP7CJhAaG7YC4-MmcbCLuf3oWJgu-odmGGLluDaARvM/edit?usp=sharing)
4. Send Physical and Digital Files to the Archives Center

The Archivist is happy to offer assistance at any point in the transfer process.

**Accessing Transferred Records**

Following the transfer of records, the Archives Center will provide public documentation to allow for the discovery and use of records as appropriate. As stated in the Institute’s Archival Policy, all Institute records will be restricted for a period of 30 years unless otherwise noted by the originating office. However, materials will be broadly described to support institutional use via the Archives Center’s database of finding aids at <https://www.archives.ias.edu.>

**Appendix B. Web Guidelines for Donations**

The Shelby White and Leon Levy Archives Center collects the work of Institute scholars who have made significant contributions to their respective fields and/or a broader, global community. In addition, we welcome the collections of scholars whose work aligns with the subject strengths and areas of acquisition prioritized in the [Shelby White and Leon Levy Archives Center’s Collection Development Policy](https://docs.google.com/document/d/1Umn8m0ojrW3MwUf3n4KthCM1N-dajP_y_QH9cXHs_7A/edit?usp=sharing).

We note that this includes an effort to collect the work of scholars whose voices have been structurally and systemically marginalized by the historic practices of archives. We actively seek to repair these historic harms by working with historically-marginalized creators to consider donations in ways that support and affirm their work.

**Evaluating Personal Collections**

When evaluating personal collections for transfer to the Archives Center, scholars should the following questions:

* Do these materials document the impact of this scholar’s work and research in a global community?
* Will these materials be of enduring use to future generations of researchers and scholars in the field?
* Does this material document other significant communities and individuals related to your work in a way that speaks to a wider network of scholarship?

If you answer yes to any of the above questions, these materials should be considered for donation to the archives. If you require additional assistance, please contact the Archivist for assistance.

**Materials We Collect**

The Archives Center regards the following types of materials to be of enduring or historic value:

* Biographical Information, Curriculum Vitae, and Published Biographical Sketches
* Institute Correspondence and Files
* Professional Correspondence and FIles
* Research Materials, Notebooks, Annotated Literature, Bibliographies, Datasets, Logs, Reports, and Project Files
* Personal Correspondence, Diaries, Journals, and Photographs
* Audiovisual Records, Photographs, Films, Sound/Video Recordings, Interviews and Oral Histories

**Materials to Withhold**

The Archives Center **cannot** accommodate the following types of records:

* Published Works Accessible via Library Catalogs and Databases, including Books, Journal Articles, and Reprints that Lack Original Markings and/or Annotations,
* Routine Financial and Administrative Records, including Personal Checks, Travel Expenses, Receipts, and Tax Forms
* Records Containing Personal Information, including Social Security Numbers, Passport/Visa Numbers, Account and Personal Financial Information, etc.,
* Blank Forms and/or Letterhead,
* Duplicate Copies of Single Documents,
* Personal Artifacts and/or Memorabilia

**Donating Personal Collections**

The Archives Center understands that the choice to donate scholarly collections is deeply personal and requires time and consideration. We welcome all scholars to contact the Institute Archivist with inquiries regarding personal donations at any time.

We have made the process for donating materials quick and easy. Prospective donors should contact the Institute Archivist directly to discuss potential gifts.

**Accessing Donated Materials**

Following the donation of personal materials, the Archives Center will provide public documentation to allow for the discovery and use of records as appropriate. Materials will be made accessible via the Archives Center’s database of finding aids at <https://www.archives.ias.edu.>Where appropriate, digitized materials will be discoverable via the Institute’s Digital Repository, Albert, at <https://www.albert.ias.edu>.

**Appendix C. Web Guidelines for Web-Archiving**

The Shelby White and Leon Levy Archives Center recognizes that increasingly both the Institute and our Community of Scholars is responsible for the creation and preservation of a plethora of content created for web-publication. In order to ensure the preservation and sustainability of web-content of historic value, the Archives Center leverages the Internet Archive’s ArchiveIt tool to preserve websites, social media, and other web content.

The Archives Center provides web archiving as a service to our community as well as a routine part of our effort to document Institute history.

**Evaluating Web-Based Content for Archival Capture**

When evaluating records for transfer to the Archives Center, consider the following questions:

* Does this website and/or web-based content document the impact of the Institute’s mission and/or its role within the broader community? Does this material illustrate changes in how we understand the Institute community’s work or its significance?
* Does this website or web-based content document the significance of an Institute community member’s significance to their respective field of research? Does this material demonstrate the global impact of Institute-sponsored scholarship?
* Will these materials be of enduring use to future generations of researchers and scholars in the field?
* Is this content considered to be the intellectual property of the Institute or the individual requesting preservation according to guidelines outlined in the Institute Intellectual Property Policy and United States Copyright Law?
* Does the individual requesting preservation have the express and informed consent of the parties whose content will be archived?

If you answer yes to any of the above questions, the content should be considered for web-archiving. If you require additional assistance, consult the Archivist.

**Web-Based Content We Collect**

The Archives Center regards the following types of materials to be of enduring or historic value:

* Institute for Advanced Study Website
* Institute Social Media Posts for Historic Events, Activities, or Conversations
* Institute for Advanced Study Community Websites
* Websites and Web-Based Content Considered Part of Personal Collections

**Content We Will Not Collect**

The Archives Center **cannot** accommodate the following types of records:

* Web-Based Content for which we do not have the expressed, informed consent of all creators,
* Web-Based Content that duplicates paper or born-digital media preserved elsewhere

**Requesting Web-Archiving Services**

The plethora of proprietary platforms used for web-based content requires that the Institute Archivist treat each request on a case-by-case basis. All requests will require consultation with the Institute Archivist for an individualized plan to support web capture.

**Accessing the Web-Based Collections**

The Shelby White and Leon Levy Archives Center makes all web-based content accessible via the Internet Archive at: <https://archive.org/details/instituteadvancedstudy?tab=collection>.

**Appendix D. Guidelines for Preparing Materials for Transfer to Archives**

The Archives Center relies upon our partners to help us preserve our community’s history. We appreciate immensely the help of our individual partners in evaluating and preparing materials for transfer to the archives. The following checklist should help guide individuals as they prepare their materials:

* **Archival materials should be reviewed for house-keeping.** Individual creators should make use of the [Basic Inventory Template](https://docs.google.com/spreadsheets/d/1iCtBLSlXUHQwxaESTYByaOs7GS6stRQkO0WoO8NV2Tk/edit?usp=sharing) to create a list of files being transferred. Additionally, creators should do a quick sweep to ensure that there are no materials that contain no archival content and would need to be deleted/disposed.
* **Archival materials should be prepared for transit.** All physical items should be placed in standard archival boxes with the hard copies of the inventory inside. Oversize should be separated and contained wherever possible. Audiovisual materials should be titled wherever possible to provide key details about their content. All digital files should include a digital copy of an inventory and should be scanned for viruses.
* **All materials should be labeled.**Archival boxes should be labeled with the following details:
  + **Name and Address of Creator**
  + **Institutional Department (Records Only)**
  + **Box Number**

An example might look as follows:

**Caitlin Rizzo (1 Einstein Drive, Princeton, NJ 08540)**

**Shelby White and Leon Levy Archives Center**

**Box 1 of 5**

Digital files should be labeled with meaningful file titles that include the following details:

* + **Name of Creator/Institutional Department (Records Only)**
  + **Content**
  + **File Extension**

An example might look as follows: **HSSSLibrary\_DEITaskForceMinutes.pdf**.

* **The Archives Center should be notified that materials are in transit.** The Archives Center will ensure that materials are transferred and received as soon as they arrive and will promptly inform you of their receipt; we only ask that you let us know to expect their arrival.

If you have any additional questions or require additional support, please contact the Archives Center at [archives@ias.edu](mailto:archives@ias.edu). We are happy to be of assistance!

**Appendix E. Receipt of Transfer Form**

Dear [Contact],

This is a note to inform you that the Archives Center received the following materials for transfer to archival custody.

Collection Title:

Collection Extents:

Brief Description of Contents:

Thank you for completing this transfer! The Archives Center will arrange, describe, and create a digital guide for access to these materials as quickly as possible. All digital guides will be available through the Archives Center’s database of finding aids at: <https://archives.ias.edu>.

If you have any questions or concerns, please feel free to contact the Archives Center at [archives@ias.edu](mailto:archives@ias.edu) for more information.

Received By:

Date Received:

**Appendix F. Acknowledgement Letter Template**

August 23, 2021

[DONOR]

[ADDRESS]

[CITY, STATE ZIP]

Dear [DONOR],

The Shelby White and Leon Levy Archives Center would like to express our gratitude for your recent gift of the [COLLECTION TITLE] donated to the Institute for Advanced Study on [DATE]. The Shelby White and Leon Levy Archives Center welcomes the opportunity to preserve and provide access to the [COLLECTION TITLE] for generations to come.

The [COLLECTION TITLE] will be of great use to researchers specializing in [XYZ].

In the weeks to come, our Archives Center will work to prepare these materials for use. This will include efforts to preserve, arrange, describe, and make materials accessible via our local databases. In the future, if you would like to consult or access these materials, you will be able to find them at our website at <https://archives.ias.edu>.

If you require additional assistance in accessing your collection, the Archives Center will be available at any time. Please do not hesitate to contact us at (609) 734-8368 or [archives@ias.edu](mailto:archives@ias.edu). Thank you again for this historic gift!

Sincerely,

Caitlin Rizzo

Archivist

Shelby White and Leon Levy Archives Center

Institute for Advanced Study

1 Einstein Drive

Princeton, NJ 08540