

## UNIVERSITY OF NEW MEXICO GENERAL LIBRARY

### DONATIONS POLICIES AND PROCEDURES

#### **General Library Mission and Purpose**

The University of New Mexico General Library accepts gifts of materials that support the Library's mission to advance the educational and research programs of the University and to support the research needs of the residents of New Mexico. Materials accepted for the collections normally include monographs, journals, media, software, manuscripts, photographs and realia.

#### **Policies and Procedures Related to All Donations**

Donations to the University of New Mexico General Library are governed by the University Business Policies and Procedures Manual, Policy 1030: Gifts Made to the University. See <http://www.unm.edu/~ubppm/ubppmanual/ubppm.htm>.

The acceptance of gifts does not imply that the General Library will keep all materials. Materials may be rejected because of their physical condition, because they duplicate materials owned by the Library, or because they are not within the collecting priorities of the Library. Rejected materials may be offered to other libraries or non-profit organizations or otherwise disposed of properly.

The General Library does not usually accept gifts that have conditions attached, such as those stipulating that all the materials must be added to the collections, retained permanently, or housed in a special manner. When donors make such requests, selectors and archivists must obtain the approval of the Director of the Collection Management and Resource Acquisitions Department and the Dean of Library Services. The University Counsel's Office will be consulted when appropriate.

If the General Library determines that a potential donation is not appropriate for the Library, the selectors may be able to suggest alternative institutions to the donors.

The General Library sends all donors letters thanking them for their donations (if the donors provide the Library with current mailing addresses); these letters can serve as the receipt required by the IRS.

Large donations: Because large donations may strain the abilities of the Library to deal with the collections, selectors and archivists review such potential donations at the donor's home or business. The General Library system has limited space to process and house large collections; selectors must consult with appropriate department and division heads before accepting collections that would require large amounts of space.

The Dean of Library Services or the Director of Collection Management and Resource Acquisitions should be consulted about any interpretations or questions related to this policy or to any donations.

### **Evaluation Processes: Manuscript and Archival Materials**

Most manuscript and archival materials accepted by the General Library are collected by the General Library's Center for Southwest Research, including its architectural, manuscripts, pictorial, political papers and University archives sections. All manuscripts and archival materials are reviewed by the General Library's archivists and collection management subject selectors. Please see Attachment 1 (page 4) for specific procedures concerning these materials.

### **Evaluation Processes: Monographs, Serials and Media**

Monographs, serials and media are received by the Gifts Section of the General Library Collection Management and Resource Acquisitions Department. The procedures and guidelines used by selectors in handling gifts are included in the *UNM General Library Selectors Manual*; please see Attachment 2 (page 11). The General Library Development Office is also involved when large donations are offered to the General Library.

If the General Library is offered a donation of more than approximately 2 boxes (or 3 shelves), the subject selectors will discuss the offer with the potential donor. If the donation consists of serials, the selectors will ask the donor for lists of the titles; the lists will be searched to identify which materials are needed before the materials are accepted.

When donations arrive at the library, gifts personnel review the donated materials and do an initial review and sorting of the materials.

Materials related to Southwestern, Latin American and Iberian studies are separated for review by the subject selectors.

Other materials in poor physical condition are disposed of. These may include books and journals with brittle paper, large amounts of underlining, or missing pages. Materials that are infested with insects, have mold, or cannot be cleaned to an acceptable level may not be accepted by the Library; materials with mold or insect infestations should not be brought into Library buildings to avoid contamination of existing collections.

Some types of materials are separated and disposed of, such as mass-market paperbacks. These are donated to other libraries, placed in a book sale or disposed of properly.

Serials are checked to determine whether the Library owns the titles and needs the issues. Selectors will ask the donors for lists of titles prior to any donation; the lists will be searched to determine whether the potential donation will be accepted. Titles not owned by the Library are reviewed by the subject specialists who decide whether the items will be added to the collections.

The remaining materials are reviewed by the selectors who evaluate the items and decide if they should be added to the collections. The selectors evaluate materials based upon the priorities of the subject areas, the needs of the departments, and the condition of the materials. Gifts help the Library fill in gaps, replace missing items, and provide additional copies of heavily used items.

While gifts do not cost money to purchase, they do cost money and time to evaluate, process, preserve and house. Selectors review materials carefully before deciding whether items should be added to the collections.

### **Evaluation Processes: Equipment, Realia, Etc.**

Some donations include equipment, art objects or other realia. These materials will be evaluated according to the same criteria as books, journals and manuscript materials: relevance to the Library collections; physical condition; and the ability of the Library to process, preserve and house the items. Materials that are inappropriate for the Library may be transferred to other departments, libraries, museums or non-profit organizations, or disposed of properly. Such donations may involve complications related to liens, titles, appraisals or environmental concerns. Selectors and archivists will work with the Director of the Collection Management and Resource Acquisitions Department and the Dean of Library Services on such questions.

### **Internal Revenue Service Regulations**

The Internal Revenue Service regulations concerning donations are very specific. Donations valued at over \$5,000 require an appraisal done by an authorized appraiser; the Library cannot do appraisals of materials that will be donated to the Library. The IRS has specific forms related to such donations; selectors should refer donors to the donors' accountants or lawyers for precise information about these regulations.

When donors claim tax deductions of more than \$5,000 for materials, there are restrictions on how the General Library can handle any items that will not be added to the collection. The General Library may not be able to dispose of any of the materials for two years unless it fills out and files the relevant tax adjustment forms. If the donor states that no items are valued at over \$500, the General Library may be able to dispose of some rejected items. The General Library must be prepared to retain the materials for the specified time period. Since the General Library is very short of storage space, selectors must be very careful when dealing with such gifts, and must work closely with the Directors of Collection Management and Development.

The Collection Management and Resource Acquisitions Director, the General Library Development Office and/or the UNM Foundation may disseminate some general information to help donors with the appropriate paperwork; the Library staff in these areas are not lawyers or accountants, and will not give legal advice.

January 25, 2002

## ATTACHMENT 1

### UNIVERSITY OF NEW MEXICO GENERAL LIBRARY

#### GUIDELINES FOR SELECTION OF MANUSCRIPT COLLECTIONS AND ARCHIVES

Most manuscript and archival collections accepted by the General Library are collected and managed by the General Library's Center for Southwest Research in its architectural, manuscripts, pictorial, political papers, and University archives sections. Significant resources are required to accession, process, catalog and store manuscripts and archives collections. Therefore, collections accepted for permanent retention at the General Library must be carefully chosen to conform to the following guidelines.

- The collection advances the mission of the General Library and conforms to the collection development policies of the unit.
- The collection contains material with high research potential.
- The information in the collection is unique. If it is not unique, it is in high demand and is difficult to obtain elsewhere.
- The collection is in a usable form. If reformatting or extensive conservation work is required, that treatment must be within the scope of the General Library's resources.
- Documentation is provided that clearly defines the provenance, legal ownership and intellectual property rights associated with the material.
- A written evaluation of the collection is completed before the collection is accepted for the General Library. See the attached "Review of Manuscript Collections and Archives" form.
- If donors request that the Library place restrictions on the collections or make requests with legal conditions or implications, the Library will work with the UNM University Counsel's Office to evaluate the requests.

The University Archives section collects, organizes and preserves materials of permanent value to the University including the materials that have historical, legal, fiscal or administrative significance. The collections include selected publications and realia created by University departments and personnel. Most materials in this collection are deposited directly with University Archives.

Collections will be evaluated by the archivists who will make recommendations to the Director of the Center for Southwest Research and the Director of Collection Management and Resource Acquisition. Their recommendation will go to the Director of Development and the General Library's Senior Team for the decision to accept or reject the donation.

REVIEW OF MANUSCRIPT COLLECTIONS AND ARCHIVES

Reviewed by:

Date of review:

Name of collection/creator of material:

Volume of material:

Dates of material:

Description (formats, context, subjects, arrangement):

Provenance:

Biographical/historical background:

Preservation required:

Relationship to other GL collections:

Potential use and research value:

Duplication or uniqueness of information:

Concentration of information:

Intrinsic value (personal association, physical form, aesthetic/artistic quality):

Other information regarding the context and/or acquisition of this collection:

Where would the collection rank in the processing backlog? Would it be a top priority to process? Why?

## REVIEWING COLLECTIONS PROCEDURE

### **Background:**

The Society of American Archivists outlines the following steps in analyzing potential acquisitions:

- 1) evaluation of available written documentation about the records,
- 2) consultation with record creators or custodians,
- 3) on-site inspection of records, and
- 4) assistance from outside experts.

On-site examinations should be carried out whenever possible. Advantages of on-site inspection include strengthening communication and cooperation with donors, a much better understanding of the material, and informed decisions regarding packing and storage of incoming materials. If an on-site examination is impossible, record samples should be examined.

Outside experts should be called in as needed. They can inform an acquisition decision, but should not make acquisition decisions. Too many other factors are known only to archives staff, such as relation to other collections, preservation, processing, and storage needs.

SAA recommends a final review of acquisition decisions, especially for collections that are controversial or expensive to process (large, complex, in need of extensive preservation, etc.).

### **Review Procedure:**

#### 1. Initial contact.

Contacts with donors and vendors occur in a variety of ways. Following initial contact, the Directors of CSWR, CMRA and Development are informed. A Collections Pending file is established. The file is kept in CSWR and the archivist sends copies of the file to the Directors of CMRA and Development.

#### 2. Review team.

At the point where an acquisition is imminent, the Director of CSWR identifies the archivist most appropriate to review the material, based on the types of materials in the collection. The Directors of CMRA and Development (or individuals selected by them) will work with the archivist to review the collection. The Collections Pending file is given to this group, who carry out the review. Outside opinion, especially regarding research value, may also be sought.

#### 3. Recommendations.

Using the criteria established by the General Library, the reviewers contact the owners, evaluate the potential donation, complete the "Review of Manuscript Collections and Archives" form, and make their recommendation. At this point the recommendation is discussed with the Director and, when necessary, with outside experts.

Reviewing Collections Procedure  
Page Two

4. Final decision.

The Director of CSWR makes an recommendation in written form to the Directors of CMRA and Development. The decision is made by the General Library Senior Team. If the collection is accepted, the Collections Pending file becomes the Accession folder. If the collection is refused, the Collections Pending file is marked “refused”.

DONATION AGREEMENT

I give to the University of New Mexico absolute and irrevocable ownership of the following described property:

The General Library or any successor organization of the University of New Mexico shall have possession, dominion, and control of the above property.

Additions to the property may be made by the donor, and shall be subject to the terms of this agreement.

Researchers are allowed to make notes and/or have materials duplicated for research purposes.

The donor gives to the University of New Mexico General Library all literary, artistic and intellectual property rights in these materials, including the right to reproduce, adapt, publish, perform and display said materials. If any materials have copyrights that are previously retained by any other individual, agency, organization or company, this condition is subject to such copyrights.

Signed: \_\_\_\_\_ (Donor) \_\_\_\_\_ (Date)

\_\_\_\_\_ (Print name)

\_\_\_\_\_ (Address)

\_\_\_\_\_

Signed: \_\_\_\_\_ (Library) \_\_\_\_\_ (Date)

\_\_\_\_\_ (Title)

## DONATION AGREEMENT

I (we) give to the University of New Mexico absolute and irrevocable ownership of the following described property:

The General Library or any successor organization of the University of New Mexico shall have possession, dominion, and control of the above property, with the following exceptions:

Additions to the property may be made by the donor, and shall be subject to the terms of this agreement.

Researchers are allowed to make notes and/or have materials duplicated for research purposes.

The donor retains to himself/herself and his/her heirs all literary, artistic and intellectual property rights in these materials. If any materials have copyrights that are previously retained by any other individual, agency, organization or company, this condition is subject to such copyrights.

Signed: \_\_\_\_\_ (Donor) \_\_\_\_\_ (Date)

\_\_\_\_\_ (Print name)

\_\_\_\_\_ (Address)

\_\_\_\_\_

Signed: \_\_\_\_\_ (Library) \_\_\_\_\_ (Date)

\_\_\_\_\_ (Title)

**ATTACHMENT 2**  
**SELECTORS MANUAL**  
**UNM GENERAL LIBRARY**

**Gifts**

5/02

The Library receives gifts of materials from a wide range of sources. These materials are evaluated by selectors who decide whether to add them to the collection, to discard them, to offer them to the Friends of the UNM Libraries for their book shop, or to use them for exchange.

Inquiries about potential gifts should be referred to the Gifts Section, to the appropriate selector, the appropriate coordinator, or the CMRA Director.

The Library is offered many donations that it cannot use. Before accepting donations, selectors must review the materials carefully. The Library usually will not accept gifts with conditions attached, such as specified locations. The selector should consult with the appropriate coordinator and the CMRA Director about such proposals. Gifts in fragile condition, or media that require special equipment to use, will not be added unless there are specific justifications, and funding is available to preserve the items. When the Library is offered donations that are larger than 2 boxes (about 3 shelves), the selector will discuss the potential gift with the donor before the materials are brought to the Library. When the Library is offered donations of serials, the selectors will request lists to be searched or will review the materials to determine what the Library needs before the materials are brought to the Library. When the Library is offered very large donations, the selectors must involve the Directors of CMRA and Development; the decisions on whether to accept such donations may be referred to the Senior Team.

Gifts of materials to the Library are usually received and processed by the Gifts Section of CMRA. The materials can be delivered to the Gifts Section, or received by any Library employee and sent to the Gifts Section with the donor's name and address. If selectors can specify types of materials that they would automatically reject, such as paperbacks, the Gifts Section can process those without the selector reviewing them.

Gifts can be picked up if that is necessary. The Gifts Section needs reasonable advance notice to arrange for this, since the Library van is frequently in use.

Gifts of archival or manuscript materials may present special concerns about access, copyright, and ownership. The selector must refer any such offers to the preservation or manuscript specialists in the Center for Southwest Research, the appropriate coordinator, the CMRA Director or the Director of Development.

Gifts valued at more than \$5,000 involve IRS regulations; selectors must consult the appropriate coordinator or the CMRA Director. There are tax guidelines that require that some discards must be stored for two years. The selector must consult with the appropriate coordinator to determine whether such gifts should be accepted.

If the Library is offered gifts that are not appropriate for this library, selectors may wish to work with the potential donors to find a more appropriate place for the materials.

#### For Selectors Reviewing Gifts:

- To add: fill out the Action Flag with fund, location, name, and the number of copies wanted.
- To reject: use the pink rejection slip for one item, or for an entire stack.
- Items with pink slips are from the Serials Section; write the decision on the pink slip, sign and date it.
- Blue notification slips will expedite processing.

The Gifts Section checks LIBROS for issues of serials. At the request of selectors, they will check the shelves to see if the gift is actually needed.

Items that selectors don't want, and those found to be duplicates, may go to the Friends of the UNM Libraries book shop, to other institutions, or to the trash.

If gifts are delivered to a branch library, or a selector wants to handle some of the initial processing, the Gifts Section needs statistics about the gift. The selectors need to send to the Gifts Section:

- A general description of the subject, nature, and size of the gift. Is it 200 books, or 200 issues of one journal? What is the topic? What was the size of the original donation? How much will finally be added?
- The name, address, and phone number of the donor.
- Any lists or correspondence about the gift. Selectors acknowledging gifts should do so on behalf of the Friends of the UNM Libraries.
- Any special instructions, such as book plates, priority processing, etc.

Selectors may send the gifts with Action Flags or rejection slips, instructions, the donor information, and the description of the gifts to the Gifts Section. They will start the materials through processing or dispose of any unwanted materials.

Appraisals. The Library cannot appraise materials given to us; it is a conflict of interest and a violation of federal regulations. The IRS will not accept an appraisal done by the person getting the gift. We can show donors the published sources on prices, such as Books in Print, or American Book Prices Current. There are many Internet sources that a donor can consult, such as Bibliofile or ABEbooks. If the donors need an official appraisal, which is required if the

donation will be valued at over \$5,000, there are some out-of-print/rare book dealers in town who could be hired to do it.

Book Plates. We can put book plates in gifts if it is requested, but we do not put them in all things. We have generic book plates which we use for most requests. Some exceptional gifts have received book plates designed specifically for that gift, but this is unusual. If a donor requests a book plate, be careful to get the exact wording desired.

Electronic “Book Plates”. We can recognize a donor by adding a field in the LIBROS record that includes a collection or donor name. This is done only for collections valued at over \$5,000 or of 1,000 or more items. The directors of CMRA and the Catalog Department must approve requests for these acknowledgments.

Lists: We do not list the titles in a gift for the donor unless there are exceptional circumstances. If the donor has already compiled a list, the Gifts Section would like a copy.

Acknowledgments. The Gifts Section acknowledges all gifts of small collections handled by the Gifts Section unless the donors say that it is not necessary. Acknowledgment letters will be sent to those donors for whom we have addresses. Individuals who have donated more than 200 items will receive a letter from the Dean. We do not acknowledge publishers’ gifts unless the selector requests it. If selectors write personal letters of acknowledgment, the Gifts Section needs a copy for the file. The Development Office is responsible for acknowledging all other types of gifts (money, equipment, etc.) with a letter from the Dean.

Donated Subscriptions. If an individual offers to donate a journal subscription to the Library, the selector needs to explain the options and our needs. The donation needs to be for at least three years. The Library cannot promise to continue a subscription if the donor does not continue to pay for the title. There are several ways to handle the donation; we would prefer the donor give us the money and allow us to place the order through our normal channels of ordering, processing, and claiming. Please consult with the appropriate coordinator, the CMRA Director, and/or the head of the Acquisitions and Serials Section for more information.

### **Grants or Cash Gifts**

6/01

Cash Gifts: Donations of money are handled by the Development Office. If the donations are designated for acquisitions, the Director of Development will ask the Director of CMRA to identify the appropriate selector and fund. When donors approach selectors with donations that are to be designated for acquisitions, the selectors must inform the Directors of CMRA and Development. The process depends upon how the funds are donated. In some cases, the materials are purchased and the funds are transferred into a Library account when the invoices are received and paid. In some cases, the money is put in a separate fund within the Library account, and materials are encumbered and expended from that fund.

Grants: Grants for projects that involve staff or other costs must be approved by the Dean and the University. Grants that provide money for materials do not require University approval, but must be approved by the CMRA Director, who will forward the information to the Senior Team. If selectors receive grants for the purchase of materials, they must inform the Directors of CMRA and Development. Selectors must work with Budget and Cost Management and the

Acquisitions and Serials Section to set up the process for handling the grant funds. All areas concerned must know the amount, the source, and the restrictions, if any.

Orders on grant funds may be designated by using the “grant” cards available in the Acquisitions Section. Innovacq does have a code to indicate grants, or a separate fund may be created to allow the selectors to track their funds.