

THE REDWOOD LIBRARY & ATHENÆUM
LIBRARY COLLECTION MANAGEMENT POLICY

2012-2013

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Section I: Overview

1. Purpose

This Library Collection Management Policy will provide guidelines for consistent, informed decisions regarding all aspects of the acquisition and retention of printed and selected non-print materials in the Circulating and Special Collections. It has been written in accordance with professional standards as well as in consultation with collection management policies at other subscription libraries including the Providence and Boston Athenaeums.

The Redwood Library & Athenaeum is dedicated to the acquisition, circulation, preservation, interpretation and exhibition of circulating and non-circulating materials of literary or historical merit as well as objects, art works and other printed material relating to the history of Newport and Aquidneck Island as well as to American culture and its sources. The Redwood seeks to build on its collection strengths while emphasizing its 18th-century origins.

The Library Collection Management Policy applies to both general library collections including circulating books, periodicals, non-circulating reference books, and audio-visual materials, as well as to Special Collections including rare books, manuscripts, photographs and library archival materials. The Museum Collections Management Policy covers paintings, prints, drawings, maps, watercolors, sculpture, furniture and other decorative arts. Collections and loans are also subject to the Disaster Plan and Rights and Reproductions Policy.

General library collections are available for in-house use by both members and non-members. Members may borrow circulating materials. Special Collections materials do not circulate but are available for consultation by both members and non-members by appointment.

Library staff and the Library Committee will undertake an annual review of this policy as changing conditions warrant.

2. Authority and Responsibility

The Library Committee (see Appendix IV) is a standing committee of the Board of Directors, is co-chaired by a member of the board, and is composed of board members, staff and Redwood members with a demonstrated interest in the published collections of the Redwood Library.

The Collection Development Librarian and other professional librarians are responsible for the implementation of collection management policies and procedures. The librarians make recommendations to the Executive Director and the Library Committee on issues requiring approval as outlined in this policy and report collections activities to the committee.

The Executive Director is authorized to sign all legal documents pertaining to collection activities on behalf of the Redwood Library and Athenæum. The Director may authorize the librarians to sign loan agreements and receipts for collection activities.

3. Library Mission

The Company of the Redwood Library and Athenaeum is an educational and cultural institution that remains true to its 1747 Colonial charter establishing a library for “propagating Virtue, Knowledge and useful Learning.”

As a subscription library, the Redwood Library & Athenaeum must balance the diverse needs and desires of the members with the historic charge of collecting and retaining materials of educational and lasting value. Positioned as a unique resource, the Redwood provides value for the membership through acquiring materials not widely available in local area public and academic libraries, as well as acquiring works of popular interest. Additionally, as the Redwood is open to both researchers and the public, it must also balance the needs of these groups as well.

4. Redwood Community

From Redwood Library’s Strategic Plan, September 2008 (TDC):

The Redwood’s membership tends to be 55 years and older, highly educated, and residing in the Newport area. While annual household incomes vary, almost 40 percent are in the \$100,000 or higher bracket. The majority of respondents have been long time members of the institution. Survey results showed that family and friends introduced the majority of the members to the institution at a variety of ages—while the most respondents were introduced between the ages of 21 and 40, the second highest ranges were under 21 and 41 to 60. Respondents regularly visit the library and show a strong commitment to the institution.

And further,

The Circulating Collection is an important member benefit, and over three-quarters of respondents identified book-borrowing privileges as important or very important to their decision to join.

5. Ethical Standards

The Redwood Library applies the ethical standards of the American Library Association; The Association of College & Research Libraries, Rare Books and Manuscripts Section; and The Society of American Archivists (see Appendix VII) to privacy rights, censorship and professional responsibility.

Section II: Circulating Collection

1. Selection

The selection of materials for the circulating collections is the primary responsibility of the Collection Development Librarian in consultation with the Library Committee, staff members, library members, and knowledgeable community members. The library maintains a permanent research collection and provides popular reading materials as a service for members.

The development of the circulating collection should be informed *primarily* by the existing collection strengths, the library's mission statement, strategic goals and other on-going organizational planning tools. *Secondly*, the collection should reflect the interests and diversity of the membership when in agreement with the collection strengths. *Thirdly*, the selection process is informed by space considerations and the ability for the library to participate in the state and nation-wide interlibrary loan program (administered via LORI) with public, academic and special libraries. The overarching goal is to acquire quality materials of lasting value to the Redwood community. Members are encouraged to suggest titles for acquisition.

General criteria used in selecting an item for inclusion into the collection include:

1. Relationship to existing collection subject strengths
2. Local emphasis
3. Positive reviews in both general and scholarly, peer reviewed journals
4. Currency and accuracy of information
5. Creative, literary or technical quality
6. Redwood author events / book-signings
7. Reputation of author, publisher, editor, etc.
8. Scarcity of title in surrounding community libraries
9. Cost and availability

Selection Tools

A variety of resources are used to evaluate potential new acquisitions and gifts. The following are a list of book reviews and updates utilized frequently:

- *New York Review of Books*
- *Times Literary Supplement*
- *Literary Review*
- *New York Times Sunday Book Review*
- *Kirkus Review*
- *Choice*
- *Booklist*
- *Library Journal*
- *ForeWord*
- *School Library Journal*
- *Providence Journal Book Reviews*

- *Baker & Taylor Forecast* (and other vendor catalogs)

Subject-specific book reviews are consulted on a regular basis including but not limited to:

- *Winterthur Portfolio*
- *New England Quarterly*
- *William & Mary Quarterly*

Other sources including established bibliographies are utilized as time and resources permit.

2. Subject Strengths

A comprehensive collection count may be found in Appendix I.

The following may be used as a schema for current and future active collection development.

a. Core Primary Strengths

Aim to collect and retain authoritative, comprehensive and generalized texts to support Special Collections and in-depth research in these fields:

- **18th - 19th century U.S. Biography**
- **17th - 21st century U.S. Architecture and Historic Preservation**
- **18th - early 20th century (pre-1950) U.S. political, social and economic history**
- **18th - 19th century U.S. Fine and Decorative Arts**

With most concentration on Newport, Aquidneck Island, RI and New England, radiating with less concentration geographically towards other U.S. environs (see chart below).

b. Secondary non-core strengths

Aim to support member reading interests and to collect authoritative and comprehensive texts to supplement initial research in these fields:

- English-language popular fiction & mystery including Literary Anthologies
- American literature and poetry including Literary Anthologies
- American architecture, general
- American and Western European fine and decorative arts, general
- American social and political biographies
- American political, social and economic history (post-1950)
- 17th – 20th century British history and biography
- Sports & leisure including but not limited to the following: polo, lawn tennis, yachting, golf, and historical treatment of social activities as reflecting Newport life.
- New England, U.S. eastern-seaboard and western European geography
- American and British natural history
- 18th – 21st century English-language travelogues

- History of American and international gardening and landscape design
- History of Western libraries, books and printing

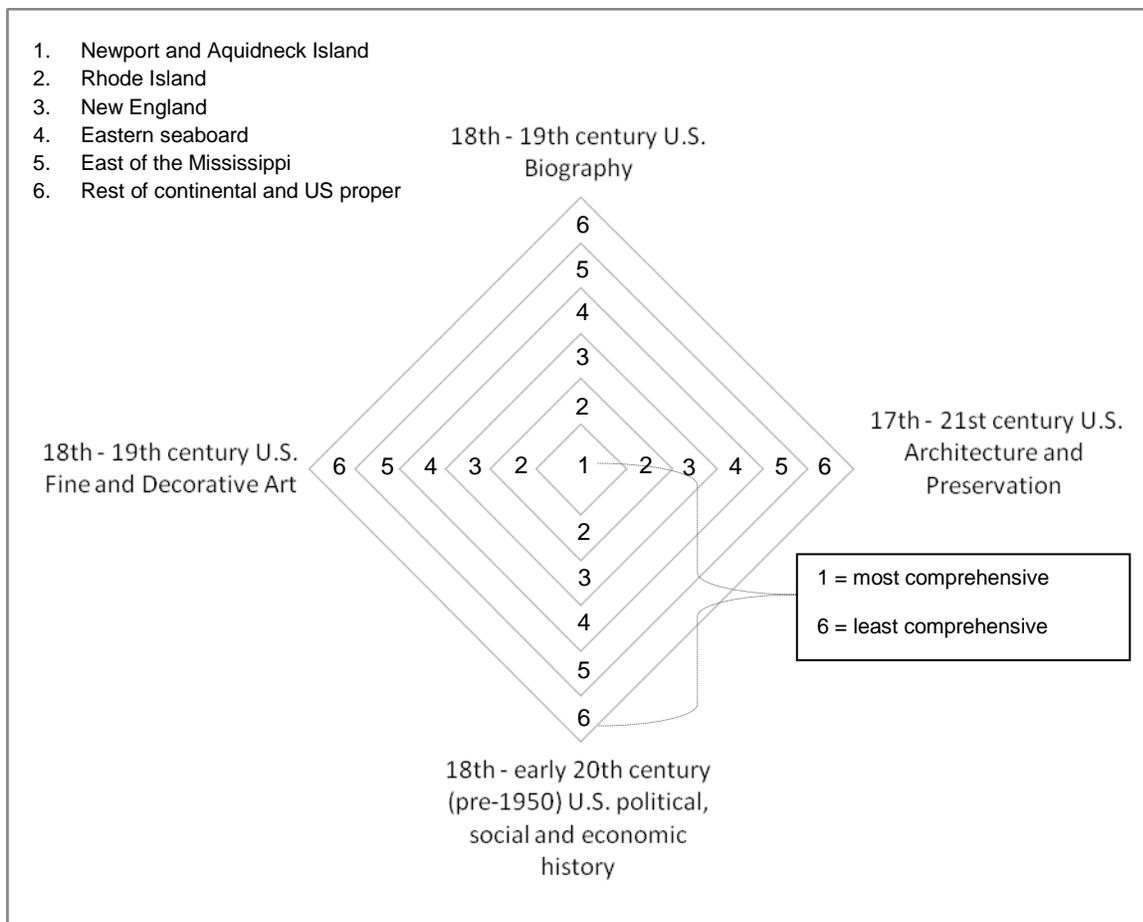
c. Tertiary non-core generalized strengths

Aim to collect a small number of authoritative texts in these fields if and when they neither dovetail nor overlap with the primary and secondary collection strengths.

- Agriculture
- Cooking/Home economics
- Hard sciences, including medical sciences
- Military sciences
- Music
- Philosophy
- Psychology
- Technology
- Religion
- Social sciences
- World literature and poetry

Notes:

- We do not actively collect nor retain any current guides or do-it-yourself manuals.
- We do not actively collect nor retain textbooks.
- We do not actively collect nor retain any self-help or “fad” books.
- We do not actively collect nor retain foreign language texts .
- We will provide *access* for member requests, as opposed to *active collection and retention*, in any subject area. The following may be used for access purposes: e-book versions, leases, inter-library loans, or purchasing a used or new copy (depending on funds) with the view of de-accessioning within one year.
- Historically some of these subjects such as Military Science and Religion may have been considered secondary core strengths; however, budgets and space allocation necessitate honing and capitalizing on subject strengths that bridge the centuries of Redwood collection development currently and for the future.



3. Member requests

The Redwood Library aims to fill 100% of member requests for materials through purchase, lease or interlibrary loan. Generally, if the publishing date is more than six months prior to the date of request, the items will be borrowed through the LORI interlibrary loan system. If a book has been published within six months of the request date, it will be either leased or purchased depending on the evaluation of the title as it fits into our collection scope.

4. New books

Books received through either purchase or donation that have been published within 5 years of acquisition are placed on the New Book shelves in the Rovensky Delivery Room for a set duration. Non-fiction titles are kept for one year in the New Books area and fiction titles are generally kept for six months to one year depending on demand and shelf space. On the first of each month, titles are culled and either placed in the Perry stacks or, in the case of certain leased titles, sent back to the vendor.

5. *Used books*

The library will not purchase a used book as a general rule unless it is an out-of-print title necessary for the collection or as a replacement (see *Bindery guidelines* below). Used books are generally purchased in “fine” or “very good” condition from reputable dealers, bookstores and other vendors; “ex-library” copies are not generally purchased.

6. *Leased books*

Since 2004, books are leased through the Baker & Taylor lease program. Popular fiction and some non-fiction titles under \$27 are leased. Titles over \$27 and/or those that are considered to have lasting value, either through member recommendation, circulation rates or established review sources, will be purchased outright whenever possible.

7. *Paperback books*

Hardcover bindings are preferred in all collection areas. Trade paperbacks will be purchased only when there are no acceptable hardcover editions available or when there is a substantial price difference (3:1 or higher ratio). Technical services staff will reinforce trade paperbacks with a Mylar covering for protection. Generally, subjects collected at a comprehensive level (such as the Newport-related items) will not be subjected to the pricing rule. Mass market-sized items will generally not be acquired unless it is a necessity of last resort and Mylar covering will not be utilized for these books.

8. *Large print books*

Large print books will be purchased as conditions warrant. They have historically not been collected in great quantity at the Redwood; less than 1% of the general collection is in large print format.

9. *Series*

The Redwood will aim to fulfill all series runs of fiction titles when it owns the primary title and subsequent titles in series order. The library will generally not acquire titles out of series sequence unless it is feasible to purchase or lease the full run. The Redwood will not maintain broken or incomplete series unless value or popularity warrants.

10. *Multiple copies*

Multiple copies of books already in the collection are generally not acquired or accepted unless an additional circulating copy is warranted. Duplicates of current bestsellers may be added according to demand and de-accessioned after popularity wanes. In some cases, duplicate copies of books in Special Collections may be purchased for inclusion in the circulating collection, particularly if they are related to Newport/Newport County or Rhode Island history. The goal is to have a circulating copy of all new books on Newport.

11. Gifts

The acquisition of gift books is subject to the same collection development standards and principles as purchases. Unless stipulated in the donor's gift form, the library reserves the right to sell or dispose of donations as deemed appropriate in keeping with the policies herein.

Books will be evaluated and either discarded based on preliminary inspection, evaluated further for inclusion into the circulating collection or sent to storage for the annual book sale. Rare book donations will be handled by the Special Collections librarians and may have different evaluative criteria. Where it is warranted, the library may invite a subject specialist to evaluate gift collections for their suitability for the library.

Donors of larger, intact libraries are strongly encouraged to provide an additional financial gift to support the processing and maintenance of the collection. *These larger personal libraries must be approved by the Library Committee.* The Library makes no guarantee that these personal collections will remain intact or be shelved together as a discrete collection.

Books with the following damage will not be accepted:

- 1) Mold
- 2) Infestation
- 3) Extensive soil

Books with the following qualities will generally not be accepted for the collection:

- 1) "Mass market" paperbacks
- 2) Advanced reading copies (with a few exceptions, i.e. signed editions)
- 3) Books with "remainder" marks
- 4) Books in "fair" or worse condition (this includes but is not limited to extensive book jacket damage)
- 5) Series books where the series is not owned by the library (unless the donation is the first in the series)
- 6) Duplicates of current Redwood items
- 7) Extensive owner marginalia or underlining that would either inhibit readability or cause confusion on whom to attribute such markings. There will be exceptions made for donations from known scholars; important named libraries, etc.
- 8) Science & medical books that are not current (published prior to preceding 3 years)
- 9) Travel guides (Fodor's, Frommer's, etc.) that are not current (published prior to the last two years or the most current edition published)
- 10) Outdated (generally a publication date prior to five years) non-fiction titles (unless considered authoritative or a classic) or poor-quality titles (i.e. "ghost" co-written autobiographies, etc.)

12. Reference items

Reference materials are useful when they are current and authoritative. The professional library staff, in consultation with the Library Committee, will select appropriate reference materials as

necessary. Acquisition of reference materials will align with the Redwood subject strengths and research needs as described. De-accessioning of reference materials, especially medical and other quickly dated materials, must be an ongoing process. . Generally, reference items older than five years will not be acquired in the following subjects: sciences and technology (including medical titles); valuation books (antiques, etc.); consumer, school and other guides whose intrinsic value depends on current information such as rankings, phone numbers, street addresses and/or directions and web sites. Additionally, this approach may be used for de-accessioning reference materials (see *De-accessioning* below). Some exceptions may apply.

13. Periodicals

The Redwood maintains a large periodical collection based on the reading and research needs of its members and patrons. The periodical collection follows the strengths of the general monograph collection as closely as possible. A master list of periodicals is available upon request. General-interest periodicals are kept from six months to two years and titles of important historical value are retained indefinitely. Annual review and revision is necessary as space and resources dictate.

14. Standing orders

The Redwood maintains a few standing orders of importance to the collection. They include the following:

- *American Furniture Annual*
- *Black's Who's Who*
- *Marquis' Who's Who in America*
- *Current Biography Monthly & Yearbook*
- *Davenport Art Reference Guide*
- *Dublin Seminar for New England Folklife*
- *Loeb's Classical library*
- **Newport Cole Directory*
- **Social Register*
- *World Almanac*

* - Indicates Special Collections item

15. Non-print material

a. Databases

As of 2012, the Redwood subscribes to three databases:

- Oxford Dictionary of American National Biography Online
- Oxford Dictionary of National Biography
- Rhode Island Sanborn Maps

Redwood members in good standing will have access to these databases from home or in-library using their own wireless devices.

In addition, the Redwood can provide access to other databases through AskRI.org. These databases are freely available from member's personal devices.

b. E-books

Starting in 2012, the Redwood Library provides downloadable e-books through the 3-M Cloud Library system. The 3M system allows members to access e-books on Nooks, iPads, PCs, Macs, and Androids as well as 3M's e-book reader, 5 (five) of which are available at the circulation desk for loan. An electronic "discovery station" of titles is available in the Rovensky Delivery Room for members to browse. E-book titles are also cataloged with an electronic record in the online catalog.

- E-books are a complement to Redwood holdings; they are neither replacements nor substitutes for the physical book.
- If the e-book costs at least three times more than a hardcover edition, the hardcover will be purchased instead.
- NY Times bestsellers and other popular titles will be purchased in both physical and e-book format as interest warrants.
- Fiction including mysteries, thrillers, etc. will constitute the majority of purchased titles; however, other titles will be considered as budget and interest warrants.
- Various staff members are authorized to recommend titles. In future, members will also be able to suggest titles through a 3M patron interface.
- The purchasing of titles is the responsibility of the Collection Development Librarian.

c. Music CDs

Presently, music CDs are generally not purchased, although a wish-list of important recordings is maintained. Donated CDs must be in good condition without noticeable scratches; CD jacket/liner notes must be intact.

Due to copyright restrictions, the Redwood does not accept the following:

- Homemade or "burned" CDs

The Redwood generally does not accept the following:

- "Samplers" or "best of highlights" with abridgments of whole works, etc.
- "Mail order" or "guild" CDs (with some exceptions such as Musical Heritage Society)

The following discount labels are not acquired based on traditionally low-end production quality:

- *Pilz*

- *Kannon*
- *Exclusiv*
- *Classical gallery*
- *Laserlight*

The Redwood no longer purchases nor accepts donated audiotapes.

The following reference books are used in evaluating music CDs:

- Penguin Guide to Recorded Music (2010)
- Gramophone Classical Music Guide (2010)
- Third Ear Guide to Classical Music (2000)

d. DVDs

DVDs are either purchased or donated. Donations of DVDs must be in good condition with no noticeable scratches; jacket/liner notes must be intact. “Classics” and “award winning” titles are purchased as funds allow.

Due to copyright restrictions, the Redwood does not accept the following:

- Homemade or “burned” DVDs
- Home movies (exceptions to this category applies in the case of those with valuable research potential)

e. Audio Books

Audio books are generally donated or purchased when funds are available. Audiobooks-on-tape are no longer purchased or accepted as donations. Unabridged audiobooks-on-CD are purchased when funds are available, and currently both abridged and unabridged Books-on-CD are accepted as donations. Donations of audiobooks-on-CD must be in good condition with no noticeable scratches and CD jacket/liner notes must be intact.

16. Reconsideration or Withdrawal of Library Materials

When a member challenges the acquisition of printed or audio-visual material, the Redwood Library affirms the American Library Association Library Bill of Rights (see Appendix VII).

If a Redwood member objects to a circulating title in either content, scope or any other means, a form he or she must fill out a Request for the Reconsideration of Materials form with copies given to the Executive Director and Collection Development Librarian. The professional library staff and the Executive Director will make a decision with the final authority given to the Executive Director. If the title is challenged further, the matter will be taken up by the Library Committee for a final ruling.

17. Bindery Guidelines

Books in need of rebinding will be sent to a reputable binder. For circulating materials, if a “good” or “fine” used copy is available for less than half the cost of re-binding, then the copy will be purchased and the original de-accessioned.

18. De-accessioning

De-accessioning circulating library materials is as much a routine as the acquisition of new books. Like other subscription libraries¹, the Redwood needs to de-accession materials due to physical limitations. The purpose of discarding materials from the circulating collection is to maintain an accurate and up-to-date collection for library members. Outdated or inaccurate or tattered materials, or those in poor condition, detract from the usefulness and aesthetic appeal of the Circulating Collection. These materials take up limited shelf space needed for core collection items as well as updated and requested materials. In general, the library strives to maintain a fairly consistent number of volumes from year to year, rather than commit to continual, unchecked growth of the collection.

Materials are discarded from the circulating collection by generally applying the CREW (Continuous Review, Evaluation, and Weeding)² method; however, it should be noted that strict CREW guidelines are geared towards small and medium sized public libraries and therefore cannot be used *in toto* as the de-facto tool for Redwood’s circulating collection. A modified version of the CREW guidelines, the Newport Book Store model³, has been developed for fiction titles (see appendix II) and a model for non-fiction titles will be forthcoming. Items de-accessioned from the collection should generally be: damaged, soiled or worn beyond either repair or the valuation of the item; trivial or with no discernible literary or scientific merit; outdated; irrelevant to the needs and interests of the community; containing information that may be more easily obtained elsewhere; or hazardous (i.e. children’s puzzle books with lead pieces). Subject-specialist experts may be consulted formally or informally for assessments.

a. Specific items for de-accession on a regular basis:

1. General encyclopedias older than 5 years with no intrinsic historic value
2. Most periodicals should be retained from 6 months to 2 years and then withdrawn from the collection. The library does retain some titles indefinitely.
3. General travel guides (Fodor's, Frommer's, etc.) should be retained for 5 years from date of publication and then discarded. Literary travelogues are generally kept much longer; in some cases indefinitely.
4. Valuation books (antiques, collector cards, etc.) should be retained generally for 5 years from date of publication and then discarded. Exceptions are made for rare or niche subjects including specialized auction catalogs.

¹ Providence Athenaeum, Collection Development Plan, 2008 revision, p. 6

² <https://www.tsl.state.tx.us/ld/pubs/crew/index.html>

³ Magee, Don. *Newport Book Store Book Collection De-Accession Model*. 3.19.02

5. Audiobooks and music-on-CD and DVDs are discarded if damaged or not circulated in 10 years.
6. Books-on-tape and video-cassettes are discarded if damaged or not circulated in 2 years.

b. General guidelines for retention:

1. Any items related to Newport or Newport County.
2. Materials that are not held in any Rhode Island library (or solely held by Brown University)⁴ will generally be retained.
3. Materials in fifty or fewer libraries world-wide will generally be retained.

19. Disposition of Materials

Circulating materials set for de-accession will be either sent to Better World Books for sale, sold at the Redwood book sales, donated to another institution, given to charity or recycled if all options have been exhausted.

⁴ Brown University has restrictive ILL procedures so it's materials are not readily available for ILL

Section III: Special Collections

1. Collection Overview

Special Collections at the Redwood Library includes books, periodicals, manuscripts, photographs, maps, and atlases as well as paintings, sculpture, and other decorative arts, ranging in date from 1400 B.C.E. to the present. Approximately 49,000 volumes of books and periodicals are held in the collection covering all subject areas. Collection strengths are Newport history, the decorative arts, and the eighteenth century European publications that formed the Library's original 1749 collection.

Please note that this policy applies to Special Collections books and manuscript/archival material only. Paintings, sculpture, decorative arts, prints, and drawings are governed by the Museum Collections Management Policy.

2. Ethics and Standards

The policies for the management of Special Collections are based on standards set by the *Association of College and Research Libraries / Rare Books and Manuscripts Section* and the *Society of American Archivists* (see Appendix VII).

3. Selection

The selection of materials for Special Collections is the primary responsibility of the Special Collections staff in consultation with the Collection Development Librarian and the Library Committee, when appropriate. Primarily, the management of Special Collections should be informed by the Library's mission statement, strategic goals and other organizational planning tools. Secondly, Special Collections holdings should reflect the interests and diversity of the membership and researchers when in agreement with the primary collection development goals. Finally, the selection process takes into consideration space limitations and the availability of similar works in surrounding community libraries. The overarching goal is to acquire quality materials of lasting value to the Redwood community.

Criteria used in selecting an item for Special Collections rather than the Circulating Collection include (not by order of importance):

- Research value; significance of author, publisher, editor, etc.
- Physical and intrinsic value
- Relationship to existing Special Collections subject strengths
- Creative, literary or technical quality
- Market value and scarcity

4. Active Collecting Areas

a. Published Works

Primary Focus:

- Original Collection replacements
- Newport history—particularly as it relates to the Redwood Library and Redwood Family
- Architecture—Colonial, Classical as it relates to Palladio and Peter Harrison, mid-nineteenth to early twentieth century Newport
- American Decorative Arts—particularly Newport, colonial through early twentieth century
- Eighteenth century English Decorative Arts, particularly as they relate to New England colonial art and architecture
- Newport Authors (authors that have a strong connection through residencies, permanent or seasonal, to Aquidneck Island or literature prominently featuring Aquidneck Island locations)

Secondary Focus:

- Fine Bindings, Book Arts (including fine press printing), the History of the Book
- Particularly fine or academically important editions that reflect the reading interests of Redwood members and the history of the collection, especially:
 - Language and Literature, particularly American and Western European literature and criticism
 - Fine Arts, Architecture, Handicrafts
 - American History, particularly Newport, including colonial and early American law
 - Historic Preservation, complementing the Duke Preservation Collection
 - Gardening, complementing the Hamilton Gardening Collection
 - World History
 - Geography, Travel, and Navigation
 - Genealogy of Newport families
 - Home Economics, Education, Recreation (especially sailing, tennis, coaching, polo), Manners and Customs

b. Maps and Atlases

The subject priorities for maps and atlases are, in order:

- Newport
- Aquidneck Island
- Narragansett Bay

Cartographic documentation of other areas may be appropriate as they relate to the history of Newport or the Redwood Library and Athenæum.

c. Manuscripts

Manuscript records and collections will document Newport history and complement strengths in Special Collections published materials. We are particularly interested in the business records of colonial and early American era Newport and records of significant contributors to the fine, decorative and literary arts of Newport. Priority for acquisition and processing is given to merchants, artisans and collectors associated with the Redwood Library and Athenaeum. We do not collect the administrative records of active organizations other than the Redwood.

d. Photographs and Ephemera

We seek to collect photographs and ephemeral materials that document the history of Newport and complement strengths in Special Collections published materials or manuscript collections.

5. Selection Tools

A variety of resources are used to evaluate new acquisitions and gifts:

- Redwood Library holdings
- OCLC and WorldCat online catalogs
- Bibliographies
- Rare book and manuscript dealer websites and catalogs
- Auction house websites and catalogs
- National Union Catalog of Manuscript Collections
- Scholarly consultation

We encourage member requests, input and suggestions for acquisition.

6. Selection Criteria for Gifts, Purchases, and Transfers from the Circulating Collection

In addition to the Active Collecting Areas outlined above, Redwood Library uses the following criteria to identify material appropriate for donations, purchases, and transfers to Special Collections from the Circulating Collection.

While age and market value merit consideration when evaluating books for Special Collections, other factors, such as bibliographic significance and research, association or intrinsic value are equally important. This list is meant to serve as a guide. Criteria may be used in combination and do not need to be applied in any particular order.

a. Age

- Materials printed before 1856 (the end of the handpress printing era)
- Rhode Island imprints prior to 1900.

b. Physical and Intrinsic Characteristics

- Fine bindings, books with decorated endpapers

- Handmade and custom-produced books
- Limited editions, private printing and small press runs (500 or less)
- Publishers' bindings up to 1920 (paper or cloth bound)
- Extra-illustrated volumes
- Books with original art or photography
- Books with valuable maps or plates (e.g. hand colored plates, early color lithographs)
- Books with significant provenance or association value (e.g. signed by the author, inscriptions, marginalia, bookplates, etc.)
- Fine printing (e.g. Merrymount Press, Nonesuch Press, Roycroft Shop)
- Printing on vellum or highly unusual paper
- Miniature books (10 cm or smaller)

c. Other Characteristics Considered

- First editions of authors listed in the Bibliography of American Literature
- Periodicals indexed in the Newport Index that are deaccessioned from the Circulating Collection
- Seminal nature of or importance to a particular field of study or genre of literature
- Cost or value of item (\$1,000 or more for McBean, \$2,000 or more for Vault)

d. Named Collections or Special/Private Library Donations

Named Collections or major private library donations with book plates with the following names will be kept in Special Collections:

- Original Collection
- Newport Collection
- Schumacher Collection
- Calvert Collection
- Greenvale Collection
- Perry Collection
- Cary Collection
- Greenough Collection
- Joseph J. Cooke

Named Collections or major private library donations with book plates with the following names should be evaluated for possible transfer from circulating to Special Collections:

- Estate of Mrs. Mary W. Almon – Aug. 19, 1919
- Gift of Dr. Mary E. Baldwin – Oct. 26, 1925
- Charles Timothy Brooks – June 2, 1876, Mar. 6, Apr 8 and 29, 1878
- John Carter Brown – Feb. 1869
- James Emmott (honor his mother Hester Cary of Newport) – June 3, 1886
- Daniel B. Fearing - various 1806-1908
- Thomas Wentworth Higginson – Nov. 22, 1877, Apr. 29, 1878
- Robert H. Ives – Aug. 1865
- James Lenox – 1859, March 1864, 1865
- Mrs. Jehiel J. Post, Oct. 10, 1903

- Fairman Rogers – Nov. 24, 1893
- Charles Howland Russell, Mrs. Livingston Hunt for the heirs of Miss Eliza Wodsey Howland – Sept. 15, 1917
- Thatcher Thayer - Dec. 1899
- Mrs. William Thornton – no information

7. Gifts

The acquisition of gift books for the Special Collections is subject to the same collection development standards and principles as purchases (see *Selection* above). Stipulated in the donor's gift form, the library reserves the right to sell or dispose of donations as deemed appropriate.

Donors of larger, intact libraries are strongly encouraged to provide an additional financial gift to support the processing and maintenance of the collection. *These larger personal libraries must be approved by the library committee.* The Library makes no guarantee that these personal collections will remain intact or be shelved together as a discrete collection.

Materials with evidence of mold growth or insect activity will not be accepted.

Redwood Library does not accept photocopies of archival materials from other repositories or incomplete multi-volume sets.

Gifts requiring major conservation treatment will be considered for acquisition only in tandem with a monetary gift to fund conservation treatment.

Offers that fall outside these selection criteria will be referred to other appropriate organizations.

8. Format Considerations

The Redwood Library acquires primarily published works, supplemented by manuscripts, maps and atlases, photographs and ephemera in core subject areas outlined in the *Active Collecting Areas* above.

- a. **Rare books, manuscripts, and photographs** are acquired for Special Collections if in "fine" or "very good" condition. Ex-library copies may be purchased in the case of hard-to-find items.
- b. The library will consider accepting **archival collections** if the bulk of the material relates to Newport history or the collector/creator has a strong connection to the Redwood Library. The relationship of a collection to existing holdings of local heritage institutions will be taken into consideration when evaluating archival collections acquisitions. Donations of large archival collections must be approved by the Library Committee.
- c. Special Collections acquires, through purchase or gift, **recently published** books for the Newport Collection related to the history and culture of Newport County or written by

authors with a strong connection through residencies, permanent or seasonal, to Aquidneck Island or literature featuring Aquidneck Island locations. New books that support research strengths and exemplars of contemporary book arts may also be purchased. New books are acquired for the Redwood Library Archives if the author has used Redwood Library materials as illustrations in the work.

- d. **Hardcover** bindings are preferred in all collection areas. Trade paperback books will be purchased only when there is no hardcover edition available in new condition.
- e. The Redwood Special Collections will maintain broken or incomplete **series** already in the collection and will strive to replace missing volumes when possible. Special Collections will generally not accept gift books from incomplete multi-volume sets unless it is feasible to complete the set.
- f. **Textbooks** are generally not acquired unless they are Newport related.
- g. **Multiple copies** are generally not acquired unless both a Special Collections copy and a Circulating Collection or Reference copy are needed. Condition and significant variations in the binding or contents may also justify multiple copies. Duplicates are primarily limited to books on Newport or Newport County and Rhode Island history.
- h. The **periodical collection** follows the collection strengths of the general monograph collection as closely as possible. A master list of historical periodical runs is maintained by the Collection Development Librarian. Titles meeting the selection criteria outlined above have been designated as part of Special Collections. Pre-1861 serials are shelved in Special Collections; complete runs published after 1861 are shelved with the general circulating periodicals. The Library will consider the acquisition of historic periodicals if they fill a gap in the current holdings or support research in collection subject strengths.

9. Conservation Guidelines

Decisions about conservation will be made by the Special Collections staff in consultation with professional conservators. If a replacement copy can be obtained for a price less than half the cost of conservation treatment and there is no unique artifactual or associational value to the Redwood copy, the replacement will be purchased and the original deaccessioned.

10. Deaccessioning

The Redwood Library maintains and collects rare books and manuscripts to preserve them for future generations. Special Collections staff, the Library Committee and Board of Directors will carefully consider the history, importance, condition, and acquisition and disposal terms of any item before choosing to deaccession it. Proposals to remove items with a market value greater than \$100 from the Special Collections may be brought to the Library Committee for consideration only after the following six criteria have been documented:

1. The item does not contribute to the purpose and goals of the Redwood in one of the following ways:
 - a) It does not relate to the collecting mission of the Redwood;
 - b) There are duplicates of the work in the collection and this copy is not needed as a back-up copy.
 - c) It has deteriorated beyond historical value or recognition.
2. The item's market, research and intrinsic values, as well as its rarity within the state of Rhode Island and libraries world-wide have been researched.
3. No gift item may be deaccessioned for any reason for a period of two years after the date of its acquisition according to IRS Regulations/US Tax Reform Act of 1984.
4. If the item is a recently accessioned gift, the donor of the item or his/her heirs will be advised of the deaccession when possible. Undocumented items may be proposed for deaccession as abandoned property upon the approval of legal counsel.
5. An independent expert who has no interest in the proposed transaction has provided a written appraisal of the item.
6. The item is physically present at meetings when its deaccessioning is discussed.

Each proposal for deaccessioning will include a suggested manner of disposition. Every effort will be made to insure that this process is as open and fair as possible. Deaccessioned items may be sold, donated, or traded to other appropriate non-profit institutions. Private sales may not be made. The Library Committee will decide whether the Redwood's name is to be publicly associated with the deaccessioning.

Items with a market value of less than \$100 (as determined by professional appraisal or examination of auction records or rare book dealer catalogs) that meet the first four criteria listed above may be deaccessioned only after review by the Special Collections Librarian, Collection Development Librarian, and either the Executive Director or Assistant Director.

If objects are beyond reasonable conservation efforts, could present health hazards to staff and patrons or a threat to other objects in the collection, disposal through witnessed destruction may be considered. Objects will be thoroughly documented by photographs and written description before destruction.

If works acquired with library funds are deaccessioned, the net proceeds of the sale (less fees for appraisal, shipping, etc.) will revert to the original purchase fund. Proceeds from deaccessioned items not associated with a particular fund will be held in a Collections Fund from which withdrawal may be made only for the purposes of collection acquisitions or conservation of collection items upon the approval of the Library Committee.

When a new work is purchased with the proceeds of a deaccessioned work, or is acquired in exchange for a deaccessioned work, the name of the original donor will, where practical, be associated with the newly acquired work.

Deaccessioned items will be struck from the accession record. A separate and complete record of deaccessions shall be maintained.

11. Transfers from Special Collections into Circulating Collection

If books are discovered to no longer meet Special Collections selection criteria they should be considered for transfer to the Circulating Collection. This decision will be made by the Special Collections staff in consultation with the Collection Development Librarian.

Section IV: Children's and Young Adult's Collections

1. Children's Collection

The Redwood Library's Children's Collection is currently housed in the Ballard Annex at 10 Redwood Street. The collection provides assorted materials for children through grade 4 and includes board books, picture books, early readers, and lower level chapter books for emergent readers in fiction and non-fiction. Audiovisual and parenting materials are also available.

1. Audiovisual Materials

Video

The collection contains DVDs and VHS cassettes of classic and popular films, television programs and cartoons. VHS cassettes are no longer purchased; however, donations will be accepted as long as the technology remains viable and is supported by member circulation.⁵

Audio

Music and unabridged books on CDs are collected. Audio cassettes are neither purchased nor added through donations.

Electronic games, computer software, etc.

At present, the Redwood Children's library has not identified these types of materials to be within the purview of its collection; however, evaluation may lead to adding these in the future.

2. Acquisitions

The criteria for adding materials to the collection include literary and/or artistic merit, member requests (when possible and suitable), reviews and alignment with the mission of the Redwood Library. Newbery and Caldecott winners are added to the collection annually, along with other award-winning and honor books (e.g.; Sibert, Belpré, King, Geisel, etc.) as appropriate. When possible, books with hardcover bindings are purchased rather than paperbacks.

3. Weeding Policy

In order to ensure that the collection is current, relevant, and in good condition, regular evaluations of content are performed. Books and other materials will be withdrawn from the collection when they are:

- duplicate,
- damaged beyond reasonable repair⁶, including brittleness, mold, or water or insect damage
- factually incorrect, outdated, or incomplete⁷,

⁵ Due to the care required in handling DVDs, they are frequently damaged in children's circulation, and cassettes have a longer useful lifespan due to the protected nature of the medium.

⁶ If an item is irreparably damaged but is determined to be important to the collection, a replacement will be sought while maintaining the item in non-circulating status.

⁷ Non-fiction books with dated or incorrect information will be de-accessioned and replaced with relevant titles.

- without literary or artistic merit, and have not circulated for more than five years,

Books with Cutter call numbers are a higher priority for evaluation than books with LC call numbers.

Books with historic importance, high intrinsic or financial value, or significant bibliographic features, such as author inscription, limited print runs or first editions, or other unique characteristics may be moved from the Children's circulating collection into Special Collections or into a non-circulating collection in the Children's Room.

4. Gift and Donation Policy

Gifts of materials in good condition are evaluated and accepted if appropriate, sold by the Redwood or donated to another organization at the Children's Librarian's discretion, unless the donor requests the return of unaccepted items.

2. Young Adults' Collection

The Young Adults (YA) collection is housed in the Gewirz Room on the south side of the Harrison Room in the main library building. Collection policies are the same for items contained therein as for the Children's collection, with the exception that all materials shelved there are of a reading level of 5th grade and above. A limited number of items may be duplicated in this collection from the Children's or Adult collections, in order to assure readily available materials of special interest to this age group. For example, local school curricula may require certain texts, which students would seek on the YA shelves; making sure these titles are easily available to young members serves to support their learning and use of the library.

Appendix I. Subject Collection-Counts

(Includes selected subject-discrete Special Collections; does not include Children's or YA material)

Note: For non-fiction classification schema, see appendices V and VI.
Numbers of titles indicated, not volumes.

Core Primary Strengths:

Popular Fiction & Mystery

Fiction: approximately 21,000 titles

Mystery: approximately 6,000 titles

Redwood's Subject focus: American and British popular fiction.

Little or no collecting currently or historically in the following genres:

- Science Fiction
- Horror
- Fantasy
- "Dime-store" genre series

Language/Literature (including classics and classical literature)/criticism

LC classification: primarily P

Cutter classification: V-W

LC collection = approximately 4,500 titles

(including 961 permanent loan titles at Salve Regina University Library)

Cutter collection = approximately 11,500 titles

Redwood's Subject focus: American and Western European literature and criticism. Comprehensive Loeb's Classical Literature Library series, etc.

Biography

(Note: This subject classification is broad, encompassing the full range of subjects in the LC and, to a lesser extent, the Cutter classification schema. Because of this, it is difficult to ascertain an exact number)

LC classification: CT (General and collective biographies) and throughout the collection

Cutter classification: 5-6

LC collection = approximately 5,900 titles

Cutter collection = approximately 6,900 titles

Redwood's Subject focus: American and Western European (specifically British) biographies and memoirs

Fine Arts, Architecture & Handicrafts

(Note: Includes books on visual arts; architecture; sculpture; drawing, design and illustration; painting; print media and decorative arts.)

LC classification: N, TT

Cutter classification: W

LC collection = approximately 3,500 titles

Cutter collection = approximately 4,500 titles

(+850 titles, folio size)

Specific circulating collections:

The Doris Duke Preservation collection = approx. 640 titles

Special collections:

Cynthia Cary collection = approximately 180 titles

Redwood's Subject focus: New England colonial art and architecture; Historic preservation of architecture; American art and architecture (general).

American History

LC classification: E - F

Cutter classification: 92 - 9A

LC collection = approximately 2,800 titles

Cutter collection = approximately 2,400 titles

Special Collections:

Newport collection = Approximately 2,800 titles

Schumacher collection = Approximately 719 titles

Redwood's Subject focus: Newport and Aquidneck Island history, American Colonial history, 19th and 20th century American History

Non-Core Secondary Strengths:

Social sciences (primarily, Political Science; secondarily, Sociology and Genealogy; tertiary, Law and Economics, etc.)

LC classification: G, J, K, H
Cutter classification: 2s, 7s, C, E-G

LC collection = approximately 1,700 titles
Cutter collection = approximately 7,000 titles

Redwood's Subject focus: 18th-19th American and British Political and Social Sciences; History of American law and Modern Economic theories. Local and New England Genealogies

World History

LC classification: D
Cutter classification: 7 & 8s, 9s

LC collection = approximately 2,100 titles
Cutter collection = approximately 6,600 titles

Redwood's Subject focus: English history 17th-20th century, WWI and WWII, Western European history (general)

Geography & Travel

LC classification: D & G
Cutter classification: A-B

LC collection = approximately 300 titles
Cutter collection = approximately 5,400 titles

Redwood's Subject focus: 19th and 20th century Travelogues; Geography of New England and United States generally, Western Europe and of former British colonies.

Home Economics, Education, Recreation, Manners & Customs

LC classification: GT, GV, L, TX
(Includes on-loan Museum of Yachting books)
Cutter classification: D, NY-NZ

LC collection = approximately 1,000 titles
Cutter collection = approximately 3,100 titles

Redwood's Subject focus: History of Education, 19th and Early 20th century sports and games and modern applications of yachting and boating, polo, cricket, etc.

Science & Technology (including Oceanography)

LC classification: Q
Cutter classification: H-L

LC collection = approximately 700 titles
Cutter collection = approximately 2,900 titles
Redwood's Subject focus: History of Science and coastal Oceanography

Library Science & Bibliographies

LC classification: Z
Cutter classification: X

LC collection = approximately 2,300 titles
Cutter collection = approximately 1,200 titles

Redwood's Subject focus: History of libraries, books and printing

Religion

LC classification: BL-BX
Cutter classification: 2-4

LC collection = approximately 500 titles
Cutter collection = approximately 2,400 titles
Redwood's Subject focus: Historical treatments of Western religions.

Non-Core Tertiary Strengths:

Agriculture

(Note: Includes books on agriculture; plant culture, including gardens, horticulture and landscaping; forestry; animal husbandry; Aquaculture, Fishing and Hunting sports.)

LC classification: S
Cutter classification: N

LC collection = approximately 400 titles
Cutter collection = approximately 1,200 titles

Specific circulating collections:
The Dorrance Hamilton collection includes books on plant culture, gardening and landscaping

Redwood's Subject focus: Gardening and landscape architecture.

Military Sciences

LC classification: U, V
Cutter classification: R-RS

LC collection = approximately 300 titles
Cutter collection = approximately 700 titles

Redwood's Subject focus: Military history with a focus on Naval Sciences.

Music

This includes books on general music, literature on music and music instruction.

LC classification: M
Cutter classification: T

LC collection = approximately 200 titles
Cutter collection = approximately 1,400 titles

Redwood's Subject focus: Biographies of 18th and 19th century composers; general history of music.

Philosophy and Psychology

LC classification: B
Cutter classification: 1

LC collection = approximately 300 titles
Cutter collection = approximately 1,400 titles

Redwood's Subject focus: Western philosophy

Miscellaneous: approximately 700 titles in the Cutter Folio collection.

Other Print collections:

Periodicals and Newspapers

As of 2012, Redwood subscribes to 98 Magazines and keeps 28 of those titles permanently. In addition, we permanently hold at least 58 historic titles no longer in print.

As of 2012, Redwood subscribes to roughly 12 newspapers; of which we keep 2 Newport titles permanently.

Reference Collection

604 Titles (approximately 4,000 volumes)

Reference collection follows the strengths of the circulating collections, above.

Non-print Circulating Collections:

Videorecordings (VHS and DVDs)

Approximately 702 (mainly entertainment videos)

Audio Books (Tape and CD)

Approximately 1,163 (mainly fiction)

Music (CDs and Cassettes)

Approximately 2,509 (mainly classical with a focus on 18th and 19th century late Baroque, Classical and Romantic periods)

Appendix II. Fiction De-accession Tally Sheet

Step 1= Re-Shelve or Storage

- 1) Is it a duplicate?
If yes = place aside and answer 2, 3 & 5 only (if yes for any, possibly keep)
If no = skip to 2
- 2) Is it signed by author?
If yes = automatically keep
If no, skip to 3
- 3) Was it published before 1900?
If yes = automatically keep (confer with S.C.)
If no, skip to 4
- 4) Is it part of a series that Redwood has complete run of?
If yes = regard the series as a whole and keep or otherwise control accordingly.
If no = skip to 5
- 5) Is it related to Newport/Newport Author?
If yes = keep
If no = skip to 6
- 6) Is it a major award winner?
If yes = keep
If no = go to 7
- 7) Has it been in the collection for 5 years [2003+] or less?
If yes = keep
If no = skip to 8
- 8) Has it been checked out in 5 years [+2003]?
If yes = keep
If no = skip to 9

Add up total following points:

- 9) Is it listed in Fiction Catalog?
Yes = 5 pts
No = 0 pts
- 10) When did it last circulate?
2002-1998= 3 pts
1998-1988= 2 pts
> 20 years or no circulation = 0
- 11) What condition is the book?
Excellent = 5 pts
Good = 4 pts
Fair = 3 pts
Poor = 0 pts

If total is 10 or higher, keep on shelf

If total is < 10, go to Step 2

Step 2 – Storage or de-accession.

1) Literary merit?*

If yes = go to 2

If no = de-accession

2) Is it a named gift?

If yes = storage

If no = go to 3

3) Does another RI library have a copy?

If no = storage

If yes = de-accession

(*Use Book Review Index and other bibliographic tools as applicable)

Appendix III. Children's Cutter Non-Fiction Project Tally Sheet

Recommended for De-accession

- 1) Is it damaged beyond reasonable repair, including brittleness, mold, or water or insect damage?
If yes = place aside in "recommended for de-accession"
If no= proceed to 2
- 2) Is it published by Landmark?
If yes = place aside in "recommended for de-accession"
If no= proceed to 3
- 3) Is it a duplicate?
If yes = take the worst conditioned copy and place aside in "recommended for de-accession" then proceed with the better copy to 4.
If no = proceed to 4

Recommended for Special Collections

- 4) Is it signed by author?
If yes = place aside in "recommended for Special Collections"
If no, proceed to 5
- 5) Was it published before 1856?
If yes = place aside in "recommended for Special Collections"
If no, proceed to 6
- 6) Is it directly related to Newport/Newport Author?
If yes = place aside in "recommended for Special Collections"
If no = proceed to 7

For Recommended to Keep

- 7) Is it a major award winner?
If yes = place aside in "recommended to keep"
If no = proceed to 8
- 8) Is it listed in Children's Catalog?
If yes = place aside in "recommended to keep"
If no = proceed to 9
- 9) Are there fewer than five copies listed in WorldCat?
If yes = place aside in "recommended to keep"
If no = proceed to 10

Recommended for De-accession (part II)

- 10) Is it factually incorrect, glaringly incomplete, or outdated?
If yes = place aside in "recommended for de-accession"
If no = place aside in "questionable"

Appendix IV. Library Committee Mission

Sec. 1: Members. The Library Committee shall consist of no fewer than four members.

Sec. 2: Duties. The Library Committee, in consultation with the Library Director, shall recommend policies for use of the circulating, reference and rare book, archives and manuscript libraries by the membership and visitors. The Library Committee shall have oversight of the collections of books (including manuscripts and archives), CD/DVDs and music. Said oversight shall include: recommendation to the Board of Directors of policies for collection development for circulating, reference and rare books and music; recommendation to the Board of policies for book preservation; recommendation to the Board of policies regarding loans of book and archival materials; and recommendation to the Board of acceptance of major gifts.

The Library Committee, in consultation with the Library Director, shall set the standards for care, conservation, and loan of book and archival materials and the monitoring of de-accessioning of any valuable collection items.

Appendix V. Cutter Classification

A note on Cutter Classification:

The Redwood library converted the collections to the Library of Congress classification in the early 1990's; prior to this, the Cutter classification had been used beginning in the 1880's. Books housed in the lower level (basement) area continue to be categorized according to this classification system, even as the cataloging records are migrated to an online system. These books are referred to as a "legacy collection" and circulate. All new acquisitions, including gifts, will be classified in the Library of Congress system.

Outline of Cutter Classification

A: General Works

Encyclopedias, almanacs, indexes, periodicals, quotations

B: Philosophy, Psychology, and some Religion

The occult, religion and theology, mythology, folklore, healing, mind and body, self-actualization

C: Christian and Jewish Religions

Judaism, Christianity, and theological works

D: Church History

Catholicism, Reformation, Protestants, etc.

E: Biography

Books are arranged by subject

F: History

Books are arranged by time period and country.

G: Geography and Travel

Guidebooks, travel books, atlases, maps

H: Social Sciences

Statistics, economics, business, investment, consumer information

I: Sociology and Education

Social services, insurances, directories of colleges and universities, scholarships and grants, career resource.

J: Political Science

Civics, government, citizenship, political topics

K: Law

Legal resources, gay rights, divorce, animal rights, taxation, estate planning, women's rights

L: General Sciences

Mathematics, computer science, the Internet and the World Wide Web, physics and chemistry

M: Natural Sciences

Environmental science, ecology, weather and meteorology, geology, volcanoes and earthquakes, oceanography, biology/life sciences

N: Botany

Plants, flowers, wildflowers, mushrooms, ferns, trees

O - P: Zoology

- Animal behavior, zoology
- Q: Medicine
 - Health, homeopathy, naturopathy, medical directories, mental health
- R: Technology/Useful Arts
 - Invention and patents, agriculture, horticulture, forestry, home economics, nutrition and food, cooking, dieting
- S: Constructive Arts - Engineering and Building
 - Construction, engineering, transportation, cars, railroads
- T: Handicrafts, Manufacturing, Mechanical Engineering
 - Carpentry, sewing, machines, metalwork, leather, textiles, plastics
- U: War, Military History
 - Battles, military art and science, military law, warfare
- V: Athletics, Recreation, Music, Performing Arts
 - Sports in general, magic, juggling, theatre, film, dance, music, works of music
- W: Fine Arts, Art
 - Art history, architecture, sculpture, drawing, painting, photography, needlework, furniture
- X: Language
 - Linguistics, language learning tools, dictionaries, name books
- Y: Literature
 - Fiction, drama, poetry, essays, speeches

Appendix VI. Library of Congress Classification

Note: The use of the Library of Congress classification schema at the Redwood dates to 1995. All new or newly donated non-fiction is shelved according to this schema.

Outline of Library of Congress Classification

- A: General Works
- B: Philosophy, Psychology, Religion
- C: Auxiliary Sciences of History
- D: World History and History of Europe, Asia, Africa, Australia, New Zealand, etc.
- E: History of the Americas
- F: History of the Americas
- G: Geography, Anthropology, Recreation
- H: Social Sciences
- J: Political Science
- K: Law
- L: Educations
- M: Music and Books on Music
- N: Fine Arts
- P: Language and Literature
- Q: Science
- R: Medicine
- S: Agriculture
- T: Technology
- U: Military Science
- V: Naval Science
- Z: Bibliography and Library Science

Appendix VII. Professional Codes of Ethics

A. ALA Library Bill of Rights

The *American Library Association* affirms that all libraries are forums for information and ideas, and that the following basic policies should guide their services.

- I. Books and other library resources should be provided for the interest, information, and enlightenment of all people of the community the library serves. Materials should not be excluded because of the origin, background, or views of those contributing to their creation.
- II. Libraries should provide materials and information presenting all points of view on current and historical issues. Materials should not be proscribed or removed because of partisan or doctrinal disapproval.
- III. Libraries should challenge censorship in the fulfillment of their responsibility to provide information and enlightenment.
- IV. Libraries should cooperate with all persons and groups concerned with resisting abridgment of free expression and free access to ideas.
- V. A person's right to use a library should not be denied or abridged because of origin, age, background, or views.
- VI. Libraries which make exhibit spaces and meeting rooms available to the public they serve should make such facilities available on an equitable basis, regardless of the beliefs or affiliations of individuals or groups requesting their use.

Adopted June 18, 1948.

Amended February 2, 1961, and January 23, 1980,

Inclusion of "age" reaffirmed January 23, 1996 by the ALA Council.

B. Code of Ethics of the American Library Association

As members of the American Library Association, we recognize the importance of codifying and making known to the profession and to the general public the ethical principles that guide the work of librarians, other professionals providing information services, library trustees and library staffs.

Ethical dilemmas occur when values are in conflict. The American Library Association Code of Ethics states the values to which we are committed, and embodies the ethical responsibilities of the profession in this changing information environment.

We significantly influence or control the selection, organization, preservation, and dissemination of information. In a political system grounded in an informed citizenry, we are members of a profession explicitly committed to intellectual freedom and the freedom of access to information. We have a special obligation to ensure the free flow of information and ideas to present and future generations.

The principles of this Code are expressed in broad statements to guide ethical decision making. These statements provide a framework; they cannot and do not dictate conduct to cover particular situations.

- I. We provide the highest level of service to all library users through appropriate and usefully organized resources; equitable service policies; equitable access; and accurate, unbiased, and courteous responses to all requests.
- II. We uphold the principles of intellectual freedom and resist all efforts to censor library resources.
- III. We protect each library user's right to privacy and confidentiality with respect to information sought or received and resources consulted, borrowed, acquired or transmitted.
- IV. We respect intellectual property rights and advocate balance between the interests of information users and rights holders.
- V. We treat co-workers and other colleagues with respect, fairness, and good faith, and advocate conditions of employment that safeguard the rights and welfare of all employees of our institutions.
- VI. We do not advance private interests at the expense of library users, colleagues, or our employing institutions.
- VII. We distinguish between our personal convictions and professional duties and do not allow our personal beliefs to interfere with fair representation of the aims of our institutions or the provision of access to their information resources.
- VIII. We strive for excellence in the profession by maintaining and enhancing our own knowledge and skills, by encouraging the professional development of co-workers, and by fostering the aspirations of potential members of the profession.

C. ACRL Code of Ethics for Special Collections Librarians

Related Documents: [ALA-SAA Joint Statement on Access: Guidelines for Access to Original Research Materials](#) (August, 1994)

NOTE: "Standards for Ethical Conduct for Rare Book, Manuscript, and Special Collections Librarians" first appeared in 1987 and was designed to amplify and supplement the ALA Code of Ethics. A second edition of the Standards was approved by ACRL in 1993. This version, recast as a simplified "Code of Ethics for Special Collections Librarians" with commentary, was approved by ACRL in October 2003.

PREAMBLE

Special collections librarians share fundamental values with the entire library profession. They should be thoroughly familiar with the ALA Code of Ethics and must adhere to the principles of fairness, freedom, professional excellence, and respect for individual rights expressed therein. Furthermore, special collections librarians have extraordinary responsibilities and opportunities associated with the care of cultural property, the preservation of original artifacts, and the support of scholarship based on primary research materials. At times their commitment to free access to information may conflict with their mission to protect and preserve the objects in their care. When values come into conflict, librarians must bring their experience and judgment to bear on each case in order to arrive at the best solution, always bearing in mind that the constituency for special collections includes future generations.

Other stresses arise naturally from the fact that special collections often have great monetary as well as documentary and aesthetic value. Special collections librarians must exercise extreme caution in situations that have the potential to allow them to profit personally from library-related activities. The highest standard of behavior must be maintained, as propriety is essential to the maintenance of public trust in the institution and in its staff.

DEFINITIONS

Special collections librarian: An employee of a special collections library or any library staff member whose duties involve work with special collections materials. The principles in this Code relate primarily to professional staff (typically librarians, curators, archivists, and conservators), but all library staff members must be aware of the need to avoid potential and even apparent conflicts of interest.

Special collections library: A library, or an administrative unit (such as department) of a larger library, devoted to collecting, organizing, preserving, and describing special collections materials and making them accessible. Also referred to as "the institution."

Special collections materials: The entire range of textual, graphic and artifact primary source materials in analog and digital formats, including printed books, manuscripts, photographs, maps, artworks, audio-visual materials, and realia.

CODE OF ETHICS

I. Special collections librarians must not compete with their library in collecting or in any other activity.

II. All outside employment and professional activities must be undertaken within the fundamental premise that the special collections librarian's first responsibility is to the library, that the activity will not interfere with the librarian's ability to discharge this responsibility, and that it will not compromise the library's professional integrity or reputation.

III. Special collections librarians must not engage in any dealing or appraisal of special collections materials, and they must not recommend materials for purchase if they have any undisclosed financial interest in them.

IV. Special collections librarians must decline all gifts, loans, or other dispensations, or things of value that are available to them in connection with their duties for the library.

V. Special collections librarians may not withhold information about the library's holdings or sequester collection materials in order to further their own research and publication.

VI. Special collections librarians are responsible for protecting the confidentiality of researchers and materials as required by legal statutes, donor agreements, or policies of the library.

COMMENTARY

[Note: Articles I-V are based on Article VI of the ALA Code of Ethics ("We do not advance private interests at the expense of library users, colleagues, or our employing institutions"), and Article VI is based on Article III of the ALA Code ("We protect each library user's right to privacy and confidentiality with respect to information sought or received and resources consulted, borrowed, acquired or transmitted").]

I. Special collections librarians sometimes collect personally, as well as on behalf of their library. Personal collecting can add to the librarian's understanding of a collecting area and the marketplace for special collections materials. Consequently, personal collecting should not be discouraged. However, special collections librarians should disclose their personal collecting activity to their employer, especially when their collecting area coincides with that of the institution. When such coincidence occurs, the special collections librarian must not compete with the library, must not build his or her personal collection at the expense of the institution's collection, and must be diligent in distinguishing items acquired for the institution's collection from items acquired for the personal collection. In all instances, special collections librarians should conduct their personal collecting in a manner that avoids impropriety and prevents any appearance thereof.

II. Some forms of outside employment by librarians, such as teaching, lecturing, writing, and consulting, are conducive to professional development and benefit the library as well. Librarians have a primary responsibility to their institutions, and such employment must not interfere in any way with their principal duties. Since librarians engaged in independent outside employment may still be regarded as institutional representatives, their conduct should not compromise the library's reputation. Special collections librarians are encouraged to divulge all outside employment to the administration of their library.

III. "Dealing" is here defined as the regular purchase, sale, or trade of special collections materials for profit or other personal gain. "Appraisal" is here defined as the formal

determination of the monetary value of special collections materials. Informal assessment and the valuation of such materials for internal administrative purposes are not considered appraisal. This provision grows out of the previous one and recognizes that potential conflicts of interest may arise when special collections librarians profit from the same materials they curate.

IV. All acquisitions decisions must be based on the professional judgment of the librarian, with due consideration given to the objectives and policies of the institution. While close relationships between librarians, dealers, and collectors are desirable, it is imperative that conflicts of interest do not arise. Conflicts clearly result when special collections librarians accept *substantial* gifts, loans, entertainment, or personal discounts from dealers, vendors, or donors. The issue of whether *any* entertainment should be accepted from these sources is problematic, and so librarians must make a judgment in each case as to whether the appearance of improper influence might result. Institutional policies regarding the acceptance of gifts or entertainment must also be observed. Special collections librarians should consider salaries and benefits provided by their institution to be the sole and complete remuneration for the performance of their duties.

V. Personal research by special collections librarians should be encouraged since it furthers professional development and institutional aims. However, a librarian should not withhold information about library holdings from the public at large in order to further personal research. The library's rules for access and use must be applied and enforced equally, according to the terms of the *ALA/SAA Joint Statement on Access to Original Research Materials*. Special collections librarians are encouraged to obtain approval for anything other than incidental use of institutional facilities, staff, or equipment for personal research.

VI. The special collections professional must heed all laws and contractual agreements protecting the privacy and confidentiality of researchers and materials in the custody of the repository. Failure to do so can expose the custodial institution to significant legal penalties, as well as undermine confidence that donors and sellers place in the institution. The nature of the information protected and the duration of protection are specified in federal and state laws addressing privacy and confidentiality of information. Other restrictions are the result of negotiations between donors and sellers on the one hand and repositories on the other. The terms of these restrictions imposed by donor or institution are not dictated by statute but are legally binding. Special collections librarians must take care to honor those terms, but they should also refuse to impose or accept restrictions that severely diminish the research value of materials being acquired.

APPLICATION

One of the most important functions of a professional association is to define the shared values of its members by creating a written code of ethics. This code of ethics should not only be observed by special collections librarians but must also be reflected in the policies and procedures of their institutions. Educators should incorporate the code of ethics into the curriculum when appropriate, and the code should guide administrators in the recruitment and training of staff. Special collections librarians should also make donors, vendors, and allied professional associations aware of the code. To remain vital, these principles of conduct must be integrated into the life of the profession.

D. Code of Ethics for Archivists

Preamble

The Code of Ethics for Archivists establishes standards for the archival profession. It introduces new members of the profession to those standards, reminds experienced archivists of their professional responsibilities, and serves as a model for institutional policies. It also is intended to inspire public confidence in the profession.

This code provides an ethical framework to guide members of the profession. It does not provide the solution to specific problems.

The term “archivist” as used in this code encompasses all those concerned with the selection, control, care, preservation, and administration of historical and documentary records of enduring value.

I. Purpose

The Society of American Archivists recognizes the importance of educating the profession and general public about archival ethics by codifying ethical principles to guide the work of archivists. This code provides a set of principles to which archivists aspire.

II. Professional Relationships

Archivists select, preserve, and make available historical and documentary records of enduring value. Archivists cooperate, collaborate, and respect each institution and its mission and collecting policy. Respect and cooperation form the basis of all professional relationships with colleagues and users.

III. Judgment

Archivists should exercise professional judgment in acquiring, appraising, and processing historical materials. They should not allow personal beliefs or perspectives to affect their decisions.

IV. Trust

Archivists should not profit or otherwise benefit from their privileged access to and control of historical records and documentary materials.

V. Authenticity and Integrity

Archivists strive to preserve and protect the authenticity of records in their holdings by documenting their creation and use in hard copy and electronic formats. They have a fundamental obligation to preserve the intellectual and physical integrity of those records.

Archivists may not alter, manipulate, or destroy data or records to conceal facts or distort evidence.

VI. Access

Archivists strive to promote open and equitable access to their services and the records in their care without discrimination or preferential treatment, and in accordance with legal requirements, cultural sensitivities, and institutional policies. Archivists recognize their responsibility to promote the use of records as a fundamental purpose of the keeping of archives. Archivists may place restrictions on access for the protection of privacy or confidentiality of information in the records.

VII. Privacy

Archivists protect the privacy rights of donors and individuals or groups who are the subject of records. They respect all users' right to privacy by maintaining the confidentiality of their research and protecting any personal information collected about them in accordance with the institution's security procedures.

VIII. Security/Protection

Archivists protect all documentary materials for which they are responsible and guard them against defacement, physical damage, deterioration, and theft. Archivists should cooperate with colleagues and law enforcement agencies to apprehend and prosecute thieves and vandals.

IX. Law

Archivists must uphold all federal, state, and local laws.

Approved by the SAA Council, February 5, 2005.