

# Chinese Archival and Special Collections at Columbia University: Toward Sustainable Growth and Effective Service

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# Outline

- What new acquisitions at Columbia?
- How were they acquired and made accessible?
- A case: Cultural Revolution Art Collection
- What typical challenges to overcome?

# New Acquisitions

- Peter Chang and Yu Feng-chih Collection  
(张学良、于凤至档案)
- Papers of China Institute in America  
(华美协进社档案)
- Myron Cohen Formosa/Taiwan Land/Field Data & Records  
(孔迈隆台湾地籍档案)
- Weng Wan-go Film Reel Collection  
(翁万戈电影档案)
- Kiachi and Patricia Koo Tsien Collection  
(钱家骥、顾菊珍档案)
- Cultural Revolution Art Collection  
(文化大革命宣传艺术特藏)
- Ephemera Collection on Chinese Science, Technology, Law,  
and Society

- Ta Chun Hsu Papers  
(徐大春档案)
- Te-Kong Tong Papers  
(唐德刚档案)
- Tsuyee Pei Papers  
(貝祖詒檔案)
- 中華民國領南海資料彙編 (in large-size book format)
- Photo Album of the Italian Expedition to China 1900  
(含义和团、八国联军照片)
- Julie How Collection  
(夏莲荫档案)
- Collection of Papers Related to Chen Kung-bo (on CD-ROM)  
(陈公博档案)
- Ping Tsu-ren Collection (on CD-ROM)  
(平祖仁档案)

# Support Mechanism and Acquiring Process

- Financial and Human Support Mechanism
  - Primary Resource Acquisition Grant Program
    - Funding primary source acquisitions
  - Support varying from shipping, etc. to open a new position
  - Libraries Research Awards Program
    - Providing grants to scholars and researchers with a compelling need to access to Columbia's special and unique collections
- Policy and Process for Purchase and Donation
  - Newly/continuously established policy and workflow on acquisition of special collections
  - Gift and donation mechanism
  - The Purchase Agreement and the Deed of Gift agreement

- Library leadership's understanding and endorsement
- Seeking/creating support from faculty and students
  - Informing and educating
  - Creating interest

- Primary Resources Acquisition Grant Program
  - Submitting proposals to “Distinctive Collections Group” for funding acquisitions to purchase (from **non-market** and **market** sources)
    - Value of the materials: to collections; to constituents
    - Where, whether similar materials available at self and peer libraries
    - Where the materials should be housed
    - Conditions of materials (preservation efforts needed?)
    - Time constraints of acquisition; etc.
  - Identifying additional funding sources to support proposed purchase
    - From library sources (discretionary acquisition funds, endowments)
    - From non-library sources (depts, centers, etc.)

## Purchase Process (Non-Market Source) Rider

Title: Ephemera Collection on Chinese Science, Technology, Law, and Society

Proposer/Division: Chengzhi Wang/Starr East Asian Library

Purchase agreements are required for items offered for purchase through private sources and not advertised or otherwise made publicly available through market sources (such as: vendors/dealers, auctions). In each case, proposals to acquire such materials require compilation of a ***purchase proposal packet*** comprised of:

- Purchase Process (Non-Market Source) Rider
  - Detailed item description
  - Acquisition proposal (intellectual/curatorial justification)
  - Financial justification (pin cost to comparable market source prices)
  - Purchase plan (funding sources)
  - CUL standard acquisition agreement form
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- Selector Prepare acquisition proposal (description, relevance, proposed funding source)
  - Div. Director Review/approve acquisition proposal
  - Director CD Verify funding source
  - MAS Encumber funds; begin process to establish seller in ARC
  - Div. Director Finalize acquisition packet (see above)



- Div. Director Consult with LDPD, OSMC, PDCD or others as needed\*
- AUL Review packet/approve acquisition
- AVP(Finance) Review packet/approve acquisition; consult with CU Counsel as needed
- Div. Director Send duplicate copies of acquisition agreement to seller
- Seller Sign/return duplicate copies of acquisition agreement to Director
- AUL Review signed agreement
- UL Review/co-sign agreement
- AVP(Finance) Retain one copy of fully executed agreement for CUL files; send one to Director
- Div. Director Send fully executed agreement to seller; retain copy for Division
- Selector Receive materials & send email to AVP Finance to document receipt
- AVP (Finance) Process payment for materials

*\* If purchase proposal includes commitments/dependencies on other Divisions, documentation of the costs or other institutional obligations is required and must be included in the purchase proposal packet for approval. Typical dependencies may include: conservation/re-housing, processing, cataloging, preservation reformatting, digitization for access, digital storage, web development, etc.*

**Columbia University Libraries  
ACQUISITIONS AGREEMENT**

By this Agreement, Don Jonathan Cohn, Don Cohn Limited, 147 Rugby Road, Brooklyn, NY, 11226 (“Seller”), agrees to sell to the Trustees of Columbia University in the City of New York, acting for the benefit of the Columbia University Libraries, 535 West 114<sup>th</sup> Street, New York, NY 10027 (“Columbia”) and Columbia agrees to acquire all of the Seller’s right, title and interest in “Ephemera Collection on Chinese Science, Technology, Law, and Society” (the “Collection”, with a list of the collection enclosed in Appendix A) subject and according to the following terms and conditions:

1. Seller represents and warrants that s/he owns and has full title to the Collection and is legally authorized to enter into this Agreement and to sell the Collection to Columbia, that s/he needs no approvals, consents or agreements of any other person, and there is no lien, encumbrance, security interest, or other interest or claim of any third party in or to the Collection.
2. Columbia represents and warrants that it has the full power and authority to enter into this Agreement.
3. This agreement is for material property only. No copyrights or intellectual property rights are transferred by it.
4. Columbia agrees to pay Seller \$16,000 to acquire the collection. Columbia will make payment to Seller within 60 days following execution of this Agreement, subject to Seller’s qualifying for and achieving approved vendor status in Columbia’s Financial System, and subject to the proviso set forth in paragraph 6 below.
5. The seller will be responsible for shipping the Collection to Columbia’s premises at its own expense. The logistics of the shipment will be arranged between Columbia and Seller, provided however, that payment of the purchase price shall not be made until the collection has been physically transferred to Columbia.
6. Columbia will organize, process, conserve, and provide access to the Collection in accordance with accepted professional standards and best practices and with Columbia’s policies and procedures.

7. In accordance with Columbia's policy, and the intent of both parties, the Collection, once organized and processed as available for use, will be open to all researchers, regardless of affiliation or other considerations.
8. This Agreement constitutes the entire agreement between the parties with respect to the subject matter hereof and supersedes all prior agreements and understanding between Seller and Columbia, whether written or oral, with respect to such acquisition. This Agreement is binding on and shall inure to the benefit of Columbia, its successors and assigns, and upon the Seller, his/her representatives, executors, heirs, successors, and assigns. This Agreement may not be modified or amended except by a writing duly executed by both parties. This Agreement shall be governed by New York State law applicable to agreements made and to be fully performed in New York.

AGREED TO:

SELLER:

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Don Jonathan Cohn  
Don Cohn Limited

DATE:

FOR COLUMBIA UNIVERSITY:

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Ann Thornton  
Vice Provost and University Librarian

DATE:

## Purchase Process (Market Sources) Rider

Title: \_\_\_\_\_

Proposer/Division: \_\_\_\_\_

### NOTES:

1. Verify vendor is approved and in ARC; if not follow guidelines for establishing new vendor:  
<https://wiki.cul.columbia.edu/display/ifs/Vendors>
2. Select purchase level & follow process listed below
3. Check box & initial/date as each process point is completed

### Purchases under \$500

- Selector Prepare purchase request & send to MAS
- Selector Receive materials
- MAS Process payment for materials

### Purchases more than \$500 and less than \$50,000

- Selector Prepare purchase request
- Div. Director Review request & funding source, internal consultations as needed\*
- Director CD Verify/approve budget allocation
- MAS Create PO & encumber funds
- Selector Receive materials
- MAS Process payment for materials

### Purchases \$50,000 or greater

- Selector Prepare purchase request
- Div. Director Review request & funding source, internal consultations as needed\*
- Director CD Verify budget allocation
- UL Review/approve purchase
- MAS Create PO & encumber funds
- Selector Receive materials
- MAS Process payment for materials

- Gift and donation mechanism
  - Seeking, seizing gift and donation opportunities (Also rejecting according to collection policy, common sense, and Gifts in Kind Policy: “CUL is unable to take all materials offered, accepting only those that are within the scope of its collections policies and targeted growth areas”)
  - Columbia University Libraries Deed of Gift Agreement
- Other support: from shipping, etc. to opening a new position
  - Student hours, coverage of essential costs including travel and shipping
  - A new full-time position of Chinese Archivist

**Columbia University Libraries  
DEED OF GIFT AGREEMENT**

By this Agreement, Ray Tong, 44799 Aguila Terrace, Fremont, California, hereinafter ("Donor"), agrees to give to The Trustees of Columbia University in the City of New York, acting for the benefit of the Columbia University Libraries, 535 West 114<sup>th</sup> Street, New York, NY 10027, ("Columbia") all of the Donor's right, title and interest of The Te-Kong Tong Papers in 10 packing boxes ("Collection") and Columbia accepts Donor's gift of the Collection subject and according to the following terms and conditions:

1. Donor represents and warrants that he owns and has full title to the Collection and is legally authorized to enter into this Agreement and to give the Collection to Columbia, that he needs no approvals, consents or agreements of or from any other person, and there is no lien, encumbrance, security interest, or other interest or claim of any third party in or to the Collection.
2. Columbia represents and warrants that it has the full power and authority to enter into this Agreement.
3. This agreement is for material property only. No copyrights or intellectual property rights are transferred to Columbia under this agreement.
4. Columbia will be responsible for shipping the Collection to its premises in New York at its own expense. The logistics of the shipment will be arranged between Columbia and Donor.
5. The Collection will be accessioned into the East Asian Special Collection, C.V. Starr East Asian Library, Columbia University.
6. Columbia will organize, process, conserve, and provide access to the Collection in accordance with accepted professional standards and best practices and with Columbia's policies and procedures.
7. In accordance with Columbia's policy, and the intent of both Columbia and the Donor, the Collection, once organized and processed as available for use, will be open to all researchers, regardless of affiliation or other considerations.

8. Donor agrees that Columbia may make copies of the Collection through any current or future format or technology, with accurate credit given to the creator of the works, and authorize use of the copies by the public or third parties for purposes of research and education as provided under applicable copyright law.
9. This Agreement constitutes the entire agreement between the parties with respect to the Donor's gift of the Collection to Columbia and supersedes all prior agreements and understanding between Donor and Columbia, whether written or oral, with respect to such gift. This Agreement is binding on and shall inure to the benefit of Columbia, its successors and assigns, and upon the Donor, his/her representatives, executors, heirs, successors, and assigns. This Agreement may not be modified or amended except by a writing duly executed by both parties. This Agreement shall be governed by New York State law applicable to agreements made and to be fully performed in New York.

AGREED TO:

DONOR:

DATE:

\_\_\_\_\_  
Ray Tong  
44799 Aguila Terrace  
Fremont, California

FOR COLUMBIA UNIVERSITY:

DATE:

\_\_\_\_\_  
Ann D. Thornton  
Vice Provost and University Librarian  
Columbia University

- Libraries Research Awards Program
  - Scholars and researchers submit proposals to obtain funding for visiting Columbia and using special and unique collections
    - Only for American residents
    - 10 awards, \$2500 each
  - Library directors and bibliographers review and rank proposals and make decisions
    - Evaluating whether the proposed project is a good fit for our collections
    - Determining what stage the applicant is in her/his career, with preference given to applicants who are in the early stages of their careers (e.g., advanced PhD students or assistant professors or the equivalent)



# Cultural Revolution Art Collection

## (文化大革命宣传艺术特藏)

- Following the purchase policy and process for non-market sources
- “Cultural Revolution, Propaganda Art, and Historical Memories: Exhibition, Film Screening, and Lecture”
  - An exhibition from September 22 to November 30, 2016
  - A film screening: “China - The Red Sons: Inside China during the Cultural Revolution in 1968”, a rare documentary film by Australian filmmaker Roger Whittaker
  - A lecture by Prof. Guobin Yang, University of Pennsylvania
  - A reception on Thursday, September 22, 2016 to inaugurate the exhibition
- Partnership with the Department of East Asian Languages and Cultures, Weatherhead East Asian Institute
- Showcasing the Cultural Revolution collections, particularly posters, pamphlets, booklets, documents, and Mao badges and busts

# CULTURAL REVOLUTION, PROPAGANDA ART, AND HISTORICAL MEMORIES

**THURSDAY, SEPTEMBER 22, 2016**

Reading Room, C.V. Starr East Asian Library

**Film Screening** | 4:00 – 5:00pm

**China – The Red Sons: Inside China during the Cultural Revolution in 1968** by Roger Whittaker

*Introduced by and Q & A with Prof. Ying Qian, Department of East Asian Languages & Cultures*

**Lecture** | 5:00 – 6:00pm

**Performing the Cultural Revolution: Loyalty, Violence, and Dissent** by Prof. Guobin Yang, University of Pennsylvania

*Introduced by and Q & A with Dr. Chengzhi Wang, Starr East Asian Library*

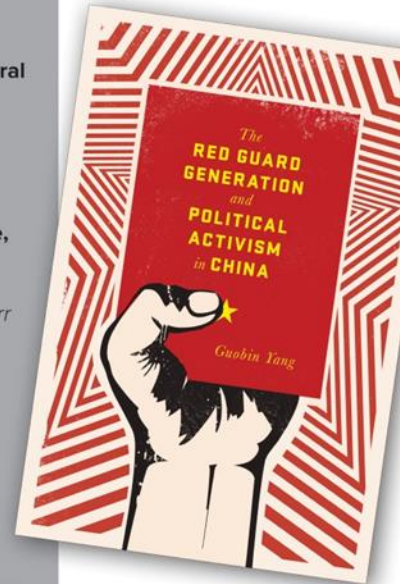
**Reception to follow** | 6:10 – 8:00pm

Registration at: [http://library.columbia.edu/locations/eastasian/chinese/cultural\\_revolution.html](http://library.columbia.edu/locations/eastasian/chinese/cultural_revolution.html)

## EXHIBITION

Reading Room, C.V. Starr East Asian Library

September 22 – November 22, 2016



Sponsored by  
Department of East Asian Languages and Cultures

C.V. STARR EAST ASIAN LIBRARY  
COLUMBIA UNIVERSITY LIBRARY EAST ASIAN SERVICES

Dragon Summit Endowment Fund

COLUMBIA UNIVERSITY  
Weatherhead East Asian Institute

# Challenges to Overcome

- Storing space/facilities
- Processing and accessioning
- Serving users with unprocessed collections
- Preserving and digitizing
- Events organization and management

# Thanks

Questions & comments?