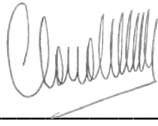


McCLUNG
MUSEUM *of*
Natural History
and Culture

Collections Management Policy
2020

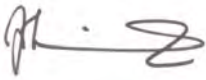
As the Executive Director of the McClung Museum of Natural History and Culture, I hereby approve of this Collections Management Policy



Date 9 / 24 / 2020

Claudio Gomez
Jefferson Chapman Executive Director
University of Tennessee

As the governing authority of the McClung Museum of Natural History and Culture, I hereby approve of this Collections Management Policy



Date 9 / 24 / 2020

John Zomchick
Provost and Senior Vice Chancellor
University of Tennessee

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1. Introduction

The purpose of this Collections Management Policy is to identify the professional practices and standards that the McClung Museum of Natural History and Culture (“Museum”) at the University of Tennessee, Knoxville (“University”) will uphold in the acquisition, deaccession, care, management, and use of collections either owned by the Museum or managed under contractual agreements. This policy is for use by Museum staff, University and community collaborators, descendant community representatives, students, volunteers, and others who work with the Museum collections.

This policy and its attachments will be reviewed annually and updated as necessary to reflect changes in the Museum’s and the University’s policies, advances in museum professional standards, and other updates. This 2020 version was guided by and replaces the June 2010 version titled, *Collections Policies and Procedures of the Frank H. McClung Museum*.

1.1 Mission and Statement of Purpose

The Museum is an important element of the University’s commitment to public service and to extending knowledge, information, and cultural experiences to citizens for whom it holds its collections in trust. The Museum’s mission includes significant research and instructional components. The Museum’s mission states:

The McClung Museum of Natural History and Culture seeks to advance understanding and appreciation of the earth and its natural wonders, its peoples and societies, their cultural and scientific achievements, and the boundless diversity of the human experience. The Museum is committed to excellence in teaching, scholarship, community service, and professional practice.

The Museum recognizes that it holds the collections in trust for the public. The Museum is committed to maintaining standards of professional and ethical excellence in all its actions and embraces the standards set forth by the American Alliance of Museums. The Museum recognizes its responsibility to ensure planned and coherent growth, development, care, and use of the Museum’s collections. The Museum further recognizes its responsibility to prevent the loss of its collections by deterioration, mismanagement, or indiscriminate dispersal.

1.2 Background and History

The Museum, which is also known as the Frank. H. McClung Museum is a unit of the University of Tennessee, Knoxville, the "flagship campus" of Tennessee's State University and Land Grant institution. The Museum was built with funds bequeathed to the University of Tennessee by Judge John and Ellen McClung Green of Knoxville as a memorial to Mrs. Green’s father, Frank H. McClung—a Knoxville merchant and descendant of James White, founder of Knoxville.

The Museum was officially dedicated on June 1, 1963 but its history actually extends to an earlier date. On March 1, 2013, the University of Tennessee’s Board of Trustees elected to modify the official name of the Museum from the Frank. H. McClung Museum to the McClung Museum of Natural History and Culture. The new name helped to more clearly define the types of collections found in the Museum

while still paying tribute to the McClung family legacy. The Museum is a Smithsonian Affiliate since 2002 and accredited by the American Alliance of Museums since 1972. *A History of the McClung Museum at the University of Tennessee, Knoxville*, written by Jefferson Chapman and Elaine A. Evans chronicles the evolution of the Museum and its collections.

1.3 Title and Ownership

Excluding objects curated and maintained by the Museum by contract with Federal and State agencies or on loan, all objects, documents, images, and ephemera are the property of the University. The Museum operates in accord with Tennessee State Law and University policies and procedures. None of the statutes, orders, regulations, policies and procedures under which the McClung Museum operates as an arm of the University stand as a barrier to operation in accord with American Alliance of Museums ethics, principles and standard museum practices of professionalism.

The University holds legal title to the collections housed at the Museum, unless they are held under a repository agreement, have been approved for repatriation or disposition under the Native American Graves Protection and Repatriation Act (NAGPRA), or are objects on loan or in temporary custody, as defined below (1.4.4). While title is held by the University, delegated authority to act on these collections is held by the Museum.

1.4 Collection Types and Definitions

The Museum maintains collections in the following categories:

1. **Permanent Collections:** Objects accessioned into Museum holdings and anticipated to be held in perpetuity. This group includes objects that have been disassociated from their accession groups and are uncatalogued until reconciliation occurs. Curatorial departments include Archaeology, Arts and Culture, Malacology, Natural History, and Paleoethnobotany and are managed by the appropriate Department Curator. Objects considered for acquisition in these departments will be considered based on their quality, authenticity, documentation, uniqueness, physical condition, and degree of pertinence to the Museum's Permanent Collections and current collecting goals, and their value as an institutional asset.
2. **Research Collections:** Objects pertaining to Southeastern U.S. archaeology, paleoethnobotany, and malacology that have for the most part been acquired through systematic and scientific recovery methods. Included would be a subset of donated collections that have documentation and complement other research collections.
3. **Repository Collections:** Objects that are not owned by the University but are curated, cataloged, preserved, and managed by the Museum as outlined in a curation contract, repository agreement or memorandum of understanding (MOU) between State and Federal agencies and the Museum. The Department Curator is responsible for implementing the policies and procedures as it pertains to repository collections.

4. Unaccessioned Objects: Objects that are in temporary custody at the Museum such as objects on loan for exhibition, study, or being considered for acquisition, objects Found-in-Collection (FIC) that have no Museum number or University property control number or obvious characteristics associating them to accessioned collections or documentation or may be from an old loan or abandoned property. In addition, the Museum manages objects bequeathed or donated to the University that may not directly support the Museum's defined areas of emphasis but which are important assets of the University. Although these objects are not Permanent Collections objects, they are maintained in accordance with the professional standards of the Museum.

5. Education Collections: Objects that are not accessioned into the Permanent Collections but are owned by the University and are available for study or use by the Museum staff for hands-on demonstrations, which enhances learning and visitor experiences. Education objects may have been donated by gift, transfer or exchange or, purchased for the specific purpose of research, study or education use or, deemed unsuitable for acquisition or, were deaccessioned from the Permanent Collections. The education collections are managed by the Curator of Education or Department Curator with such collections and are managed separate from the Museum's Permanent Collections and are not subject to formal accession or deaccession processes. Objects may be removed at the discretion of the Curator of Education or Department Curator.

1.5 Other University Collections

There are several University units other than the Museum which actively collect, conserve, and display objects and materials. Among them are the Special Collections Department of the University Libraries, the University Archives Department of the University Libraries, and the C. Kermit Ewing Gallery of Art. Departmental collections range from the internationally acclaimed Botanical Herbarium to antique scientific and engineering apparatus to forensic anthropology collections and archaeological artifacts held by the Anthropology Department.

The Museum is not charged with responsibility for curation or management of collections maintained by other units of the University. Items offered by or transferred from other University collections or units are considered for acquisition in the same manner as items offered by external agencies or individuals. The Museum retains the right to decline or accept any object offered for inclusion into the Permanent Collections. The Museum has a special responsibility to recommend declining objects being offered that are not compatible with the collection scope and policies of the Museum.

Museum staff may respond to requests for assistance in the maintenance and curation of other University collections when the Museum workload and availability of qualified personnel permit. The department or unit which has requested and received the assistance will, by transfer voucher, reimburse the Museum for its cost of providing the assistance.

1.6 Scope of the Permanent Collections

The Museum maintains objects that support the University's mission as reflected in the Museum's approved mission statement. The Museum provides support both to the instructional and research missions of the University. The Museum's Permanent Collections consists of objects and documentation generally relating to the following categories or fields:

Archaeology; ethnology; history; decorative and fine arts; photography; architecture; paleoethnobotany; malacology; natural history; paleontology; geology; and zooarchaeology.

The collections are dominated by objects from Tennessee but also include objects from around the world. There are large, in-depth collections useful for detailed research efforts, and numerous small collections or samples useful for comparative studies, identification aids, and maximum flexibility in selecting exhibition materials.

1.7 Collection Goals

As the only museum at the University and the only museum combining natural history, art, and world cultures in the region, the Museum's primary collection goals are to acquire and preserve objects that will further enhance and strengthen its mission. Furthermore, it is the Museum's goal to continue to integrate the University's strategic plan in its practice and mission through teaching and collaborative programming on campus, developing dynamic exhibitions, conducting collaborative community programming, and enabling student and faculty research. While the Museum will not engage in indiscriminate acquisition, the Museum will not overlook acquisition opportunities that will help further the Museum's goals.

Collection goals where growth and development are a priority are to:

- Acquire contemporary representations of culturally diverse artists working in both traditional and non-traditional mediums;
- Continue repatriation efforts of archaeological materials as pertaining to the Native American Graves Protection Repatriation Act (NAGPRA);
- Cultivate and strengthen community relations to collaborate and broaden representation and interpretation in collections and exhibitions;
- Continue to build and strengthen the Natural History and Malacology specimens in the collection.

Across all collection areas, on-going collection goals include:

- Refine and build catalog information with provenance research and source association of collections with minimal information;
- Conduct new photography and digitization efforts to launch more collections online to provide global access and expand Museum representation;
- Make facility improvements that will contribute to the Museum's preservation efforts;
- Conduct assessments and evaluations of the collections for deaccessioning where appropriate;
- Continue to seek funding sources for collection care efforts and improvements.

2. Roles & Governance

2.1 Campus Authority

2.1.1 University of Tennessee

Since 1897, the University of Tennessee, Knoxville, has been continuously accredited by the Southern Association of Colleges and Schools Commission on Colleges to award baccalaureate, master's, and doctoral degrees. The University's mission states:

The primary mission of the University of Tennessee is to move forward the frontiers of human knowledge and enrich and elevate the citizens of the state of Tennessee, the nation, and the world. As the preeminent research-based land-grant university in the state, UT embodies the spirit of excellence in teaching, research, scholarship, creative activity, outreach, and engagement attained by the nation's finest public research institutions.

2.1.2 Office of the Provost

The Provost has primary responsibility for the academic activities on campus and is responsible for implementing the University's strategic plan. The Provost oversees budget allocations to the units under his/her directorship and works with them for planning, development, implementation, assessment, and improvement of all academic programs, policies, and supporting infrastructure including facilities and information technology. The Provost also assists in the development of strategic initiatives for the campus, including fundraising and development strategies. The Museum Executive Director reports to the Provost.

2.1.3 Native American Graves Protection and Repatriation Act (NAGPRA) Committee.

The University NAGPRA committee is chaired by an individual from the Office of the Provost. Members include select Museum and Department of Anthropology staff and other individuals from select campus departments or offices as deemed necessary by the chair of the committee. A member of the General Counsel's office serves in an advisory capacity for the NAGPRA committee but is not a voting committee member. All official communications from and on behalf of the University relating to NAGPRA are made through the chair of the committee or under its direction. The Museum defers to the University's NAGPRA policies and procedures as it pertains to matters of NAGPRA.

2.2 Executive Director, Staff, Student Graduate Assistants, Interns, and Volunteers

In all respects, the Museum's authority resides with the Executive Director. Under the direction of the Provost, the Executive Director has authority and responsibility to ensure that the collections are managed and cared for in accordance with the highest professional standards, applicable laws, statutes, regulations, and contractual terms and conditions. The Department Curators and Registrar manage and care for the collections on a daily basis. All Museum staff who work with collections shall conduct their work in accordance with this Collections Management Policy and Procedures. Volunteers, students, and contractors may work under the direct supervision of Department Curators or Registrar to perform specific tasks.

2.3 Museum Support

2.3.1 Board of Advisors

Established in 1994, the Board's service to the University includes their awareness of the nature of the Museum as a public trust, which preserves a material base for the purpose of educating. University officials that formulate and administer policies and procedures that affect the Museum have a duty and obligation to preserve and protect this public trust, and to ensure, as far as possible, that their actions do not violate the Museum's code of ethics.

2.3.2 Role of Collections Committee

Established in 1994, the Collections Committee is an advisory committee to the Executive Director of the Museum. In addition to the Executive Director and select Museum staff, the Committee is comprised of members of the Advisory Board, University faculty, and others whose expertise in the areas of the Museum collections is beneficial to the Museum.

2.3.3 Collections Committee Position Charter

The Committee is charged with the following duties:

1. Support the Museum's collections strategy: The Museum collects, preserves, studies, exhibits, and interprets objects for the benefit of the University of Tennessee curriculum and for the enrichment of the general public. The Museum is dedicated to strengthening its collections in the areas of Arts and Culture, Natural History, Malacology, Archaeology, and Paleoethnobotany;
2. Assist the Executive Director in establishing policies and procedures for the acquisition, accession, deaccession, cataloging, care, conservation, storage, and risk management of all objects in the permanent, education, and research collections;
3. Pursuant to established policies and procedures, review all acquisitions and deaccessions and advises the Executive Director when requested;
4. Assist the Executive Director in the identification of funding sources for acquisition and the cultivation of donors of objects including bequests, and helps to develop programs and projects, including trips, for those interested in collecting; and
5. Participate in ongoing dialogue regarding all such matters that may impact the development and stewardship of the collections, including, but not limited to, questions of ethics and resources.

Membership: The Collections Committee is a volunteer committee whose members are appointed by the Executive Director with the support of the Advisory Board, and who serve at the discretion of the Executive Director. The Museum's Registrar serves as the committee chair. To the extent practicable, Committee membership shall reflect, approximately equal numbers of on-campus and off-campus representatives. The Executive Director is an ex officio member of the committee.

Meetings: The Committee meets quarterly. Additional meetings may be called if necessary. A quorum of the Committee shall be a simple majority of the members.

Decisions: Guidance and recommendations of the Committee shall be decided by a majority vote of those present and voting, and then given to the Executive Director in making his/her decisions. An email vote may be utilized for time-sensitive decisions.

Members Obligations: All members of the Committee have an obligation to participate actively in all Committee endeavors and to support the majority decisions of the Committee. The Committee will annually assess its performance in fulfilling its duties and, if necessary, the adequacy of the Charter. Members that miss more than three consecutive meetings may be removed from the Committee.

2.3.4 Student Advisory Board

The mission of the Museum's Student Advisory Board is to connect students and student organizations with the faculty and staff of the Museum for the purpose of creating programs that encourage the relationship between students and the Museum.

2.4.1 University General Counsel

When necessary, the Museum consults the General Counsel on legal matters including but not limited to issues pertaining to ownership, transfer of title or disposition of Permanent Collections (see 5.1), and drafting legal instruments like, deeds of gift and repository agreements.

2.4.2 University Contracts Office

The Museum works closely with the Contracts Office to secure loan and repository agreements, exhibition contracts, and vendor service contracts. In consultation with the Executive Director and Department Curator, the Registrar facilitates and manages such instruments for the Museum and processes them for signature approval. The Registrar may also consult the General Counsel office for assistance (see 2.4.2).

3. Ethics

3.1 General

The Museum is committed to maintaining standards of professional and ethical excellence in all its actions, and embraces the standards set forth in the codes of ethics by the American Alliance of Museums (AAM), International Council of Museums (ICOM), American Association for State and Local History (AASLH), Archaeological Institute of America (AIA), and the Society for American Archaeology (SAA). The Museum's research, acquisition, deaccession, access, and loan activities are conducted in a manner that respects the protection and preservation of natural and cultural resources and discourages illicit trade of such materials.

The University System Policies governs all Museum employees, and as applicable, volunteers, the Museum advisory boards and committees, and University officials who may act on behalf of the Museum. Additionally, all staff, employees, and volunteers of the Museum are subject to the policies and procedures contained within *The University of Tennessee Personnel Policies and Procedures Manual* and the *University's Fiscal Policies and Procedures Manual*. All Museum employees and volunteers are required to know, understand, and adhere to the ethical standards set forth in this section.

3.2 Laws and Permit Compliance

The Museum complies with all relevant legal instruments and laws and regularly renews necessary permits. The Museum will not acquire materials that were alienated illegally or unethically from their country or culture of origin. The Museum will seek alternative disposition of any such items that come into, or are found in the Museum's physical custody.

3.3 Field Study and Collecting

In order to avoid the commercialization of archaeological sites and the destruction of the archaeological record, the Museum will proceed with extreme caution before acquiring archaeological collections, ensuring that acquired objects are the result of legal, systematic, scientifically sound field projects. The Museum will not acquire objects that in any way support the illicit trading in antiquities, endangered species, or other materials.

3.4 Collections

This policy defines directions and structures for collections stewardship and access, as well as acquiring, lending, and deaccessioning objects. These include but are not limited to the following: (1) that acquisitions be kept in conformity with the mission and collection goals of the Museum; (2) that a clear title be established to all acquisitions; (3) that objects be deaccessioned in compliance with the American Alliance of Museums and Tennessee state regulations; (4) that the Museum's collection of Native American objects is and remains in compliance with the Native American Graves Protection and Repatriation Act (NAGPRA).

It is the responsibility of the Museum staff to present the best current information about the Permanent Collections the Museum displays. Intellectual honesty and objectivity, tempered with sensitivity to cultural origins guide the presentation of objects.

3.5 Personal Collecting

Upon entering into a relationship with the Museum, employees should disclose any and all areas of personal collecting and refrain from any collecting activities in competition with the Museum. Individuals who purchase an item for a personal collection that may be in conflict with the Museum should provide the Museum the opportunity to purchase the item at the documented original purchase price. Except as specifically authorized by the Executive Director, no employee, student, or volunteer will represent the Museum in negotiating or purchasing collections on behalf of the Museum.

3.6 Personal Gain, Use, and Disposition of the Permanent Collections

Museum staff, students, researchers, and other associates must never abuse their Museum affiliation. Permanent Collections are not available to any individual for personal use, either on or off the premises, or for any other purpose contrary to the Museum's mission and purpose.

Members of governing authority, faculty, staff, and volunteers cannot store their personal collections at the Museum, with the exception of objects loaned for exhibition or research, and only when approved by the Executive Director and documented and handled as an incoming loan.

Further, the Museum's Permanent Collections will not be given, sold, or otherwise transferred to individuals or family members of individuals who are Board of Advisory or Collections Committee members, employees, students, officers, agents of the University, or volunteers of the Museum, or other organizations or agencies with which the Museum governs or maintains a contract or agreement.

4. Acquisition

The Museum actively considers objects for acquisition that support the Museum's mission and contribute to the Museum's collection goals and programmatic objectives. The Museum will only acquire objects with the intention of maintaining them in the collections. Acquisitions will be in stable condition unless specifically acquired for another purpose or funds are identified and allocated for conservation and stabilization at the time of acquisition. On occasion, the Museum will take possession of objects that do not meet the criteria for acquisition but are useful for other purposes [see Education and Research Collections]. The Department Curator accepting objects that are not formally accessioned into the Permanent Collections is responsible for their care and safety, including maintaining an inventory of its holdings.

4.1 Authority

The authority to accept and acquire objects rests solely with the Executive Director in consultation with the Collections Committee. No employee, volunteer, public body, official, or advisory member other than the Executive Director may obligate the Museum to acquire an object for the Permanent Collections. The Museum will act as a part of the University and in accordance with University policies and procedures and relevant Tennessee statutes and regulations. With the Executive Director's approval, the Collections Committee may refer proposed acquisition objects to more appropriate University units or other institutions. As general practice, prior advice is sought from the Collections Committee by the Executive Director for the acquisition of any object that falls within or outside the criteria as defined herein.

The Executive Director is empowered to accept gifts in the following situations in lieu of a vote by the Collections Committee:

1. Year-end gifts: The Executive Director, Department Curators, and Registrar will convene, as needed, between the last Collections Committee meeting of the calendar year and the year-end to review gifts offered before the end of the calendar year and to determine which to accept. The Collections Committee will be notified of these gifts at its next regularly scheduled meeting.
2. Gifts offered during Executive Director and Department Curator travel: The Executive Director or Department Curators may be offered gifts to the collection during their travels with a limited time to obtain approval. In this situation, the individual who is traveling will provide sufficient

information to the Executive Director and Registrar for consideration.

3. Purchase: The Executive Director may purchase objects for the collection provided funds have been identified for the purchase. This should only be used when a delay in acting would result in the Museum forfeiting the opportunity to purchase the object.

4.2 Criteria

The Collections Committee shall use the following criteria in considering collection acquisitions for the Permanent Collections:

- The object is relevant to the collection area and the Museum's mission and purpose and has the capacity for use in exhibitions, research or scholarly purposes.
- The object is unique in a collecting area and would thereby enhance the existing collection.
- The object fills a specific need within a collection area or opens a new collection area consistent with the Museum's goals.
- The object has sufficient provenance to support the acquisition.
- The Museum can shoulder its burden of proof that the object's provenance aligns with relevant legal instruments.
- The object does not have any donor-imposed restrictions or any stipulations regarding the method of display, copyright, or any other limitations that would affect the exhibition or loan of the object.
- The gift is outright and not a partial gift. [see below *Promised Gifts*]
- The object will be managed according to professional museum standards and in good faith.
- The object's condition must not threaten or endanger any other collections, people, or property.
- The Museum must be able to provide proper care with existing resources.
- Acceptance of the object shall not impose major future expenses, unless an expense plan is in place.
- The object is not a forgery.

4.3 Special Circumstances

Whole Collections

Whole collections that do not entirely fit the Museum's purpose will be accepted only if the collection is predominantly related to the Museum's mission and if the collection has distinct merit as a whole or, the whole has value that is greater than the sum of its parts and if it is an unrestricted gift. Whole collection proposals will be presented to the Collections Committee for consideration prior to approval so the donor has the assurance the gift may be accepted at a later date. Whole collections without prior acceptance are at the Executive Director's discretion to accept into the Permanent, Education or Research Collections, or to refuse outright.

Promised Gifts

If a collection or object is offered as a promised gift or bequest to the Museum, it will be presented to the Collections Committee for consideration and prior approval so the donor has the assurance the gift

may be accepted at a later date. The donor's offer of a promised gift or bequest and the Executive Director's acceptance is documented in writing. Bequests without prior acceptance are at the Executive Director's discretion to accept into the Permanent, Education or Research Collections, or to refuse outright.

The Museum will not accept shared ownership of objects unless full ownership is promised. In the rare instance that a partial gift is accepted, the donor is bound to professional standards regarding these gifts. This includes but is not limited to the object physically residing on the Museum premises for the percentage of the year that is gifted. An agreement generated by the University's General Counsel, must clearly state when the remainder of the gift will be transferred to the Museum and that the duration should not exceed five years.

Illegally Collected Materials

In line with best practices, the Museum accepts its burden of proving licit collection, export, and import of potential acquisitions and will perform due diligence research in every case. The Museum will not knowingly accept or acquire archaeological, biological, historical or ethnographic objects if there is reasonable cause to believe that the object was illegally obtained, imported, or collected; or that were recovered in a way that would support or encourage illegal or irresponsible collection, or that would damage or cause destruction of natural or cultural objects, resources, or sites. This prohibition shall also apply to objects reasonably believed to have been illegally excavated in the United States. As suggested by the UNESCO 1970 Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transport of Ownership of Cultural Property, the Museum will require documented provenance of objects imported after November 17, 1970.

The Museum will not accept or collect scientific specimens that have not been obtained under valid federal or state permits, where permits are required, nor will the Museum obtain or possess specimens or materials in violation of the Endangered Species Act, the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), the Marine Mammal Protection Act, the Migratory Bird Treaty Act, the Bald Eagle Protection Act, or other federal or international regulations governing the collection and possession of flora and fauna, unless proper permits are shown to be in place or if shown to have been collected prior to applicable laws. The Museum will not knowingly acquire any objects from individuals that are in violation of the laws and regulations listed in Appendix I. The Museum will advise said individuals in how they might comply with appropriate laws and regulations.

4.4 Means of Acquisition

Objects are accessioned by means of formal procedures. [See attachment I.] Written proposals and justifications are submitted by the Department Curators to the Executive Director for approval to present for consideration at the next Collections Committee meeting. The Collections Committee holds regularly scheduled meetings and may consult by other means of communication to obtain acquisition votes. A majority of those voting will read or hear presentations on proposed acquisitions and vote to recommend accession or decline. Final authority rests with the Executive Director.

Field Collecting

Objects obtained through field collecting conducted or organized by Museum staff shall be accompanied by all appropriate permits or necessary documentation to establish that materials were collected in accordance with local, state, federal, and international law.

Repository

The Museum is an authorized repository for mollusks originating from designated areas controlled by the National Park Service. As a requirement of being a recognized repository, the museum will comply with all reporting requirements as described by the National Park Service. Further, the Museum meets federal standards as a repository for archaeological collections. The Museum currently curates materials from more than 350 archaeological sites, including those investigated by the Tennessee Valley Authority, the Department of Defense, the U.S. Army Corps of Engineers, and the State of Tennessee.

The Museum abides by curation standards established and regulations enforced by the National Park Service in accordance with Curation of Federally Owned and Administered Archaeological Collections (36 CFR Part 79) and the Native American Graves Protection and Repatriation Act of 1990. The Museum is contracted to maintain archaeological objects acquired by state or federal agencies that may be determined Native American Graves Protection and Repatriation Act (NAGPRA) materials. If/when determined as such, the Executive Director or the Department Curator will report the acquisition to the University's NAGPRA Committee as well as the Collections Committee.

The Museum may impose curation fees for ongoing maintenance of repository objects.

4.5 Title and Right

Warranties of clear titles are required as a condition of the acquisition with no restrictions or preconditions prior to or at the time of receipt of the object. The Executive Director will be reasonably assured that a clear and legal title can be obtained by and transferred to the Museum. When and wherever possible, the Museum will require that certificates of legal import or export are provided as part of the acquisition documentation. In complying with these provisions, the Executive Director will consult as widely as is necessary and reasonable to obtain such assurances. In doubtful cases, the Executive Director may request the assistance of General Counsel. The Museum will request documentation and transfer of intellectual property rights, if applicable. Obtaining clear title to objects previously accessioned into the Permanent Collections but not documented may be done through any legal means, such as the State of Tennessee's Abandoned Cultural Property Act [Acts 1984, ch. 862, §1.]

4.6 Appraisal, Monetary Value, and Internal Revenue Service Compliance

The Museum staff will not provide donors with monetary appraisals for objects. Staff may assist the donor by providing a reference to a national appraiser registry. Appraisals or valuation for tax deduction purposes are the responsibility of the donor with costs borne entirely by the donor. The Museum will comply with all current Internal Revenue Service rules and reporting regulations for charitable

contributions. Any object valuations made by the Museum staff are for internal or insurance purposes only and are not offered to donors.

4.7 Registration and Cataloging

To limit its liability, the Museum discourages the physical receipt of objects prior to acceptance into the Permanent Collections. In the event the potential acquisition must be brought into the Museum, the Registrar will establish with the donor an agreed upon time limitation for Museum consideration. Once objects are approved for accessioning, the Museum's procedures assure prompt recording and full accounting of objects including a Deed of Gift setting forth an adequate description of the accession.

4.8 Undocumented and Found in Collection objects

The Museum makes every attempt to reconcile undocumented objects to their existing documentation. Undocumented objects are tracked and recorded from the time they are found and considered property of the Museum. They may be used as the Permanent Collections objects are used.

Objects that are not reconciled to existing documentation are considered Found in Collection (FIC). FIC objects may be accessioned into the collection or disposed as outlined in section 5. Deaccession. The decision to accession FIC's is made by the Department Curator with the approval of the Executive Director, as documented on an Acquisition Proposal form. [See attachment II.] FIC objects accessioned into the Permanent Collections are given numbers in the year of accession and included in the annual reporting of museum accessions.

If the original documentation is found for a FIC object that has been accessioned, the object will be converted to its proper source and the FIC number will be recorded as an old number.

If a claim is made on a FIC object, either accessioned or disposed of, the Museum will make an ad hoc decision on accepting or fighting the claim. The burden of proof of ownership is placed upon the claimant.

5. Deaccession

Deaccessioning is the process of legally and permanently removing an object from the Museum's Permanent Collections and is a part of proper collections stewardship. The Museum holds its collections in trust for present and future generations and does not undertake deaccessioning lightly. In alignment with the International Council of Museums (ICOM) Code of Ethics, the Museum agrees that, *"The removal of an object or specimen from a museum collection must only be undertaken with a full understanding of the significance of the item, its character (whether renewable or non-renewable), legal standing, and any loss of public trust that might result from such action."* Collection objects shall not be deaccessioned or disposed of in order to provide financial support for institutional operations, facilities maintenance, or any reason other than acquisitions or direct care of the Permanent Collections.

5.1 Authority

The Museum's Permanent Collections is governed by The University of Tennessee, therefore final approval to deaccession rest with the University. Deaccessions are proposed by the Department Curator and Registrar and presented to the Executive Director in writing for approval to present to the Collections Committee for deaccession recommendation. Upon approval from the Collections Committee, the Executive Director or his/her designee, will report the deaccession recommendation at the next Museum's Board of Advisors meeting. The deaccession recommendation is submitted to the University's Gifts Disposition Committee for final approval. Objects are deaccessioned by means of formal procedures. [See attachment III.]

5.2 Criteria

The reasons for deaccessioning objects from the Permanent Collections are determined by the Executive Director on the advice of the Department Curator and Registrar and reviewed by the Collections Committee. The following are some, but not all, of the deaccessioning criteria:

1. The object is without relevance to the collection area which the Museum, in its Acquisitions Policy, has determined to maintain.
2. The object contains or is composed of materials that are hazardous to the safety of persons or to other objects in the collections.
3. The storage and conservation requirements of the object detract (because of maintenance cost or space) from the collection as a whole, and the object can no longer be properly cared for.
4. The object has lost its integrity through significant damage or deterioration.
5. The object is a duplicate of another in the collection and is of lesser quality, with the recognition, however, that owning similar examples may often be important, as when the objects in question come from a single context.
6. The object is a forgery or reproduction. The Museum is responsible for ensuring that any forgery or reproduction it disposes of be first documented thoroughly as such and then identified as such when it leaves the collection.
7. To comply with the Native American Graves Protection and Repatriation Act (NAGPRA) or, the American Alliance of Museums Guidelines Concerning the Unlawful Appropriation of Objects During the Nazi Era.
8. The object can be determined abandoned property in accordance with State of Tennessee.
9. The object was accessioned in error.

10. The object is being transferred to another museum or institution for valid scientific reasons (e.g., the object is being used as part of a taxonomic revision and the object will become part of a type series).

5.3 Disposition

Deaccessioning is a highly visible action by the Museum that is subject to close public scrutiny. The Museum is cautious and deliberate in considering deaccessions and completely scrupulous in the disposition of deaccessioned objects.

Each deaccessioned object will be disposed of in a means appropriate to the object and disposition methods may be considered on a case-by-case basis. In general, the Executive Director, Department Curator, Registrar, and the Collections Committee will consider the following methods of disposal in order of **Priority** as follows:

- Priority 1.** Transfer within the University: transfer to the Museum's Education Collection; recatalog as "University Asset"; transfer to another University unit.

- Priority 2.** Transfer as an exchange, gift, or purchase to another museum or appropriate tax-exempt educational or public institution, or state or federal agency when an opportunity to do so is available which conforms with Tennessee state law and University policy.

- Priority 3.** Public sale. Public sale is contemplated only when after an exhaustive review of all other methods of deaccession are deemed impossible. Neither the Museum nor any agency selected by it for the disposal of deaccessioned objects may sell, trade, or give such objects directly or indirectly to Museum staff, members of the Collections Committee or Board of Advisors of the Museum. The Museum upholds the ICOM Code of Ethics where, *"Museum personnel, the governing body, or their families or close associates, should not be permitted to purchase objects that have been deaccessioned from a collection for which they are responsible."* University policies and procedures, and any applicable State of Tennessee statutes will be followed in disposition of items for sale.

- Priority 4.** Destruction: In cases in which an object no longer has scholarly value, scientific value, or intrinsic value, and only in cases in which all three of these tests are met, should it be disposed of by destruction.

5.4 Repository Collections

For the archaeological collection, some objects were acquired from the State of Tennessee or United States federal agencies with the legal obligation to curate these objects in perpetuity. Before the Museum can dispose of or transfer any such objects from state or federal agencies or any other

collections that may have similar obligations, commitments or restrictions, the appropriate agency must agree in writing to the deaccessioning.

5.5 NAGPRA Compliance

The removal of human remains and cultural objects from the archaeological Permanent Collections for repatriation to Native American tribes is a specialized form of transfer mandated by federal law in the Native American Graves Protection and Repatriation Act (NAGPRA). The University is committed to compliance with this legislation and has formed a NAGPRA Committee to oversee the implementation and compliance of the federal regulations. As there is no statute of limitations associated with NAGPRA, the Committee is a permanent agency within the institution. NAGPRA repatriation deaccessions involving repository collections under the NAGPRA-defined “possession” and “control” of a state or federal agency are the responsibility of that agency.

5.6 Donor Imposed Restrictions

The Museum is legally and ethically bound to respect written conditions accepted at the time a gift or bequest entered its collections. If the Museum wishes to modify any of these conditions, an appropriate written agreement must be reached with the donor, donor’s heirs, and legal representatives for both parties if possible.

5.7 Transparency, Notice, and Acknowledgement

The Executive Director and Collections Committee are publicly accountable for their decision to deaccession and the method by which they choose to dispose of an object. There should be complete transparency in the transaction. Deaccessioned objects may be sold only through advertised public auction including internet-based auction services.

If the donor or artist, their heirs, or legal representatives are known and are living, the Museum will attempt to inform the appropriate person(s) that deaccessioning is being considered.

In acquiring an object through exchange or with proceeds from the sale of deaccessioned objects, the Museum's records and, where feasible, display labels, will reflect a credit of the acquired object to the donor(s) of the original object.

5.8 Sale Proceeds

All deaccessions must comply with ethical standards and pertinent laws and regulations. Adhering to the American Alliance of Museums (AAM) Code of Ethics, income realized from the sale of deaccessioned objects, less associated costs, will be used for expenses related to the acquisition and direct care of the Permanent Collections. Direct care includes but not limited to framing, mounting, photography, conservation, packing, transportation, and evaluation. Direct care need is determined by the Department Curator and Registrar with final approval from the Executive Director. If the proposed deaccessioned object was acquired conditionally, funds resulting from the sale of such objects are to be applied in accordance with those conditions.

5.9 Documentation

Deaccessioned object records, images, accession, and catalog numbers are retained as a part of the Permanent Collections records in both paper and electronic files.

6. Loans

The Museum actively considers lending or borrowing objects for the purpose of exhibition, research, or educational use. Loans are temporary physical transfers of objects for a finite period of time without transfer of ownership. Incoming and outgoing loans are executed under the terms of contractual agreements that specify the loan purpose, period, conditions, and responsibilities including insurance, transport, handling, and care.

6.1 Museum Approval Authority

The Executive Director, Department Curator, and Registrar review and consider loans. University Faculty as acting curator for the Museum may recommend loans in consultation with the appropriate Department Curator(s) or the Executive Director. The Executive Director has final approval of all loans. The Registrar receives or prepares and maintains loan documentation including formal contracts and agreements, and works closely with the Department Curator(s), Executive Director, and the lender or borrower to realize the loan. The Registrar or Department Curator(s) report new loan activities to the Collections Committee at their regular meetings.

6.2 University Signature Authority

Formal contracts (Loan Agreements, Exhibition Contracts, and Curation Contracts) are legal instruments that bind the University to the terms and conditions outlined in the document therefore, all contracts are processed through the University's Procurement Services Contracts portal (ESM) for review and signature by the Vice Chancellor on behalf of the Museum. The Registrar receives or prepares and submits contracts and oversees them through the approval process. When lenders or borrowers do not issue their own institution's standard contract, the Registrar will generate a Museum standard contract, which is designed and approved by the Registrar and Procurement Services. Changes made to standard formats must be in consultation with Procurement Services.

Other loan-related forms that are not subjected to formal University signature approvals include intra-campus loan agreements, temporary custody or incoming receipts, and outgoing releases. The Department Curator or Registrar may generate and sign such documents on behalf of the Museum.

6.3 Incoming Loans

6.3.1 Purpose

The Museum obtains objects on loan from other University units or departments, peer institutions, or individuals for the purpose of exhibition, research, or education contingent upon the Executive Director's and Department Curator's approval. Loaned objects must meet the Museum's own ethical guidelines concerning licit collection, chain of custody, import and export. Objects on loan to the Museum are treated with the same professional standard of care as the Museum's Permanent Collections.

6.3.2 Criteria

Loans are dependent upon one or more of the following criteria:

- The object is appropriate for exhibition content, educational programming, or scholarly study and research purposes;
- The object is in good condition and able to withstand the ordinary strains of handling, display, packing, and transportation;
- The lender is willing to agree to the Museum's incoming loan terms and conditions and duration;
- The Museum and University is willing to agree to the Lender's loan terms and conditions and duration;
- There is appropriate exhibition and storage space for the object.

The following restrictions apply:

- The Museum will not borrow objects lacking clear ownership;
- The Museum will not provide storage of objects without clear purpose and duration;
- The Museum will not be responsible for preservation and safekeeping of objects beyond that which it exercises for its Permanent Collections;
- The Museum will not store or exhibit objects that are hazardous to human health or to other objects on display or in storage.

6.3.3 Packing and Transit

Packing and shipment of loaned objects are in accordance with professional museum standards. Unless otherwise agreed with the lender, the Registrar coordinates transportation logistics when loans are insured under the State of Tennessee Fine Arts Policy.

6.3.4 Insurance

The State of Tennessee insures borrowed objects under its Fine Arts Policy and the Office of Risk Management issues a Certificate of Insurance upon lender request. The policy is administered by the University's Risk Management office and the Registrar is responsible for reporting incoming loans. In cases of disaster, loaned objects are given priority per the Fine Arts Policy.

6.3.5 Long Term Loans

The Museum discourages long-term or permanent loans of indefinite duration with the exception of repository objects (see 6.3.7). The Executive Director has final approval of long term loans. The Museum will attempt to convert existing long-term loans into unrestricted gifts to the Permanent Collections.

6.3.6 Unclaimed Loans/Abandoned Property

The Museum will not accept unsolicited loans. Any object deposited for purposes of loan, identification, study, or possible gift is recorded on a Temporary Custody Receipt or Incoming Receipt generated by the Registrar stating the owner's full name, contact information, and reason for deposit. Failure to return the object after good faith efforts to locate the owner may eventually result in it being subject to the

state of Tennessee's Abandoned Cultural Property Act. Abandoned loans may be converted into an unrestricted gift to the Museum and accessioned as such or disposed in accordance with the Museum's Deaccession Policy (section 5).

6.3.7 Repository Objects

The Museum serves as a repository of objects excavated or recovered by governmental and non-governmental agencies, academic institutions, public and private researchers, consultants, and private citizens. Examples of federal governmental agencies that deposit material at the Museum include the Tennessee Valley Authority, U.S. Fish and Wildlife Service, National Park Service, U.S. Army Corps of Engineers, and the U.S. Geological Survey. Objects and their associated records deposited at the Museum are governed by the terms and conditions outlined in the Curation Contract or a Memorandum of Understanding (MOU). New incoming repository objects or additions to existing collections will be reported to the Collections Committee at their regular meetings. The Registrar and Department Curator are responsible for determining the terms and conditions with the owner as it pertains to the Museum's ability to curate, care, and manage the objects. Formal contract procedures as described in sections 6.1 and 6.2 apply to incoming repository objects. Unless otherwise agreed, repository objects are covered by the University's Fine Arts Policy and included in annual reports submitted to the Office of Risk Management by the Registrar.

It is recognized that dead specimens of federally endangered species (primarily aquatic and terrestrial mollusks) are often brought to the Museum by individuals representing the entities listed above, with the desired purpose of having these specimens deposited for future research. In such cases, the Department Curator will endeavor to determine that the specimens were collected in a manner consistent with the laws governing the collection or salvage of federally protected species.

6.4 Outgoing Loans

6.4.1 Purpose

The Museum maintains an active outgoing loan program to maximize accessibility to the Permanent Collections. The Museum will consider loan requests from University units and other public institutions. Each loan request is carefully scrutinized for the safety and preservation of the Museum's collections. Outgoing loans are approved in collaboration with the appropriate Department Curator and Registrar. The Executive Director has final approval of all loans. The following conditions and criteria outline borrower expectations and responsibilities.

6.4.2 Conditions

Requests to borrow objects from the Museum's Permanent Collections must be submitted in writing at least six months in advance, unless for the purpose of research in which case they must be requested in writing at least one month in advance. Collection objects will not be lent to individuals for private use. Loans for the purpose of student research must be supported in writing by their faculty supervisor or academic advisor. Institutional borrowers must demonstrate appropriate conditions for receiving the loan such as a facility report. Borrowers must agree to the Museum's Outgoing Loan Conditions prior to the release of the object. [See attachment IV.] Objects loaned by the Museum may not be used for any

purpose other than agreed. Objects cannot be lent by the borrower to a third party without prior express written permission of the Museum. The Museum reserves the right to deny a loan or recall an object at any time for failure to comply with stated policies and procedures.

6.4.3 Research Loans

Researchers from peer institutions requesting an object for study must demonstrate the research intent and significance within their written loan request. The Museum will only lend to the institution and not to the individual affiliated with the institution, therefore, an approved agent of the institution must provide signature on the agreement. University researchers, faculty and students, are encouraged to use the Museum's facilities to study objects whenever possible.

6.4.4 Criteria

Loans will be released after receiving a fully signed agreement and when necessary, a Certificate of Insurance from the borrower (see 6.4.6). All loan-related expenses are the responsibility of the borrower unless otherwise agreed as outlined in the agreement. Expenses may include, but not limited to, packing, transport, framing, conservation, photography, courier, and insurance. Certain objects may not be available for loan for reasons including:

- There is ongoing research involving the object;
- The object is on exhibit;
- The object is on loan to the Museum;
- The object cannot withstand the rigors of packing and transport due to condition;
- The object is under NAGPRA claim;
- The object is deemed culturally sensitive;
- The object is a protected species;
- The object has great value or importance to the Museum's mission.

6.4.5 Limitations

Objects under Curation Contract or repository agreement must be approved for loan in writing by the owner, unless otherwise specified in the agreement. Limitations stated on the loan agreement can include a limit or restriction on:

- Photography of the object;
- Use of images;
- Casting or reproduction;
- Alteration to the object such as, destructive analysis, conservation or restoration treatments, changing mounts or framing hardware.

6.4.6 Insurance

Unless otherwise agreed, the borrower is responsible for providing appropriate wall-to-wall insurance coverage. Borrowers must submit a copy of the policy to the Registrar for review. Coverage must include all risks of physical damage or loss, with the exception of the standard exclusions for acts of war,

insurrection, and inherent vice unless otherwise expressed in writing by the Museum. The borrower's policy will name "The University of Tennessee, McClung Museum of Natural History and Culture" as Additional Insured and will waive subrogation rights. Prior to releasing objects for loan, the Museum must receive a Certificate of Insurance. Insurance valuations, if any, are not appraisals of value. If required, the borrower will be responsible for the cost of an insurance appraisal as indicated on the loan agreement. Intra-campus loans remain covered under the University's State of Tennessee Fine Arts Policy.

6.4.7 Duration

Loan durations may not exceed one year with the exception of light sensitive objects lent for exhibition display, which may not exceed six months. Longer loan periods are considered based upon criteria including but not limited to the object material, overall condition, or availability.

Renewals

If reasonable notice is provided by the borrower prior to the expiry date on the existing loan agreement, the Department Curator and Registrar will consider renewal requests for a fixed term. Borrowers are required to submit a current condition report and images as part of the renewal consideration process. As long as the continuation of a loan remains mutually acceptable, there is no limit on the number of times the loan may be renewed. The Museum may impose renewal fees or recall objects from loan at any time for any reason.

6.4.8 Campus Loans

Campus loans are considered on the basis of recommendation from the appropriate Department Curator and Registrar. The Executive Director has final approval. If approved, the Registrar prepares and manages the intra-campus loan agreement. Campus loans of Permanent Collections objects will be considered in cases where it is demonstrated that the borrower and borrowing department can meet the following conditions:

- The loan agreement must be signed by an authorized representative of the department;
- No student or non-University employee may act as the borrower;
- Loans for the purpose of student research must be supported in writing by their faculty supervisor or academic advisor;
- The borrowing department must provide sufficient and satisfactory environment for the object throughout the loan term;
- Maximum loan term is one year with option to renew on an annual basis. Objects on loan exceeding five years may be considered for deaccessioning and permanent transfer;
- Loan extension requests must be received by the Museum prior to the expiry date on the agreement;
- Analysis methods must be approved by the Department Curator or Registrar;
- Inventories and condition reports will be required if the loan is extended after one year;

- The object cannot be relocated from the location as stated on the agreement without prior written permission from the Museum;
- The borrower must arrange appropriate transportation for the release and return. Arrangements must be approved by the Department Curator or Registrar;
- The Museum may impose loan-related costs or fees to prepare the loan;
- The Museum may recall loans at any time for any reason;
- The Museum may impose the same Conditions, Criteria, and Limitations as described in the Outgoing Loans policy above.

Loans from the Permanent Collections for the purpose of campus office decoration is not permitted. Special circumstances as determined by the Executive Director may be considered. In such a case of a special circumstance, high-quality reproductions are recommended at the cost of the requesting department. If reproductions are not possible, the Museum may offer objects cataloged as “University Asset”, which are managed by the Museum but are not held to the strict Outgoing Loan conditions as are objects in the Permanent Collections.

7. Collection Records

Collection documentation ties intellectual information to the physical object and therefore must be clear, permanent, legible, and comprehensive.

7.1 Responsibilities

Museum staff working directly with collections are responsible for maintaining and securing collection documentation in both paper and electronic files and for the input and maintenance of object information in the Museum’s Collections Management System (CMS). The Department Curators and Registrar are responsible for training users on data entry standards and ensuring data integrity as it pertains to cataloging new objects and updating existing records based on object or supportive documentation review, tracking and updating object locations, and documenting conservation and appraisal histories.

7.2 Documents

Associated hardcopy and electronic documentation is an integral part of the collections records and will be maintained in a stable and secure environment with controlled access (see 10. Access). First source originals and other supporting collections documentation are managed by the Department Curator or the Registrar. The Registrar creates and manages accession, deaccession, conservation, loan, and exhibit files for the Permanent Collections. Repository and NAGPRA files are managed by the Department Curator. At every chance possible, paper documentation, including catalog cards, is digitized and saved to the Museum’s network drive within the respective collection folder.

7.3 Information Management Records

Object CMS records may include information such as provenance, uses, sites, storage locations, conditions, accession status, descriptive attributes, and valuations. In addition, information about accessions, repatriations, conservation treatments, appraisals, exhibitions, loans, and deaccessions may

be recorded. A select subset of non-sensitive information is shared online on the Museum's website. The Registrar or Department Curator is responsible for managing and controlling access to the CMS and in collaboration with the Office of Information Technology (OIT) ensures proper functionality and routine backups and updates.

8. Collections Care

The care and preservation of the Permanent Collections is the responsibility of the entire Museum staff. The Department Curators and Registrar provides guidance on collections storage and use to protect the collections and ensure their future research, exhibition, teaching and outreach potential. Some of the principal duties include ensuring proper security of storage and lab spaces, providing appropriate storage and protection for objects, conducting conservation assessments, coordinating treatment as necessary, and overseeing the use and handling of objects by researchers, students, and others as authorized. In addition, staff ensures that collection information is maintained systematically and preserved securely both physically and digitally.

8.1.1 Museum Security

Manned security of the Museum building is provided by the University Police Department. The Museum guard is responsible for the daily arming and disarming of the building and patrols Museum areas throughout the day. University Central Alarm continuously monitors alarms and documents arming and disarming activities. CCTV security cameras are installed throughout the building in public areas and are monitored by the Museum guard.

The Museum provides written instructions and guidelines to the security guards. When necessary, guards are informed of high-risk concerns as it pertains to objects on display such as specific objects or exhibit cases requiring extra surveillance. The guard is directed to contact the Registrar, Exhibits Coordinator, or the Executive Director of issues or concerns as it pertains to the security and protection of objects on exhibit.

Collection storage and labs are alarmed spaces within the building. Department Curators and the Registrar, whose workstations are located in these spaces, oversee the day-to-day security and ensure that fellow staff, student workers, researchers and visitors follow security protocols. Arming and disarming of labs and storage spaces is the responsibility of the Department Curator or Registrar respectively, however, the Museum guard ensures that all alarmed spaces are armed at the end of the day. Staff arming and disarming abilities require Executive Director's approval.

8.1.2 Middlebrook Security

The Museum occupies a private and secured space of 4,732 square feet within the off-site University-owned warehouse and contains Permanent Collections objects. Like the Museum building, Central Alarm continuously monitors the alarms and documents arming and disarming activities. Central Alarm issues monthly arming and disarming activity reports to the Registrar. Museum staff with access to off-site storage is limited to the Executive Director, Department Curators, Registrar, and the Exhibits Coordinator. Documentation and tracking of objects delivered to or removed from off-site storage is the

responsibility of the Department Curator or Registrar, who are the only staff members permitted to do so. Staff arming and disarming ability require Executive Director's approval.

8.2 Preservation, Protection, and Housekeeping

The Museum is committed to providing preservation-level conditions in spaces where objects are exhibited or stored. Although the Registrar leads the efforts in managing these environments, it is the entire Museum staff's responsibility to uphold standards as well as address and report issues.

Both the Museum building and off-site facility require constant upkeep and monitoring. Climate conditions are monitored by the Registrar. Data logger results are analyzed for issues concerning temperature and relative humidity fluctuations. The Registrar generates and maintains data logger files and graphs and makes them accessible on the Museum's shared network. Mechanical system issues are reported immediately to Facilities Services and other units as necessary to establish optimum air quality, heating, ventilation, and air conditioning (HVAC) standards and temperature and relative humidity (RH) priorities for the collection.

All exterior doors and windows must remain closed to avoid changes in temperature and relative humidity, and to reduce the presence of pollutants, pests, and other agents of deterioration. Exhibit galleries are cleaned on a daily basis by Facilities Services maintenance and Museum staff. Only trained object handlers as approved by the Registrar can perform surface cleaning of objects on open display. Labs and storage areas are kept clean and clear of clutter at all times. Cleaning of labs and storage areas are supervised by the Department Curator or Registrar working in those spaces. Objects are to be stored or exhibited away from direct sunlight and air vents. UV filters on light fixtures or use of conservation light methods are required. Additional general housekeeping rules are circulated to staff working in storage and lab spaces.

Integrated Pest Management

Collection storage, labs and exhibit spaces are monitored for pests by the Registrar and other assigned staff on a monthly basis. If an object is found to be infested it will be isolated and treated. Surrounding objects and areas will be inspected and the area will be cleaned. Infestations are reported to the University Facilities Services Director of Operations and Sanitation Safety. The Museum does not allow use of pest abatement chemicals of any form in proximity to objects in storage, labs and exhibit spaces.

Records of pest mitigation efforts are maintained by the Registrar. Basic tenets of the Museum's Integrated Pest Management program include the following:

- Live plants or animals, food and beverage storage and consumption are not permitted in the collection storage, labs and exhibit spaces;
- Public spaces where food and beverages are consumed are cleaned routinely and immediately particularly following special events;
- Maintaining good housekeeping practices are critical in discouraging insect infestations;
- Incoming objects or specimens will be isolated and examined, and treated by freezing or anoxic

- treatment if necessary;
- Sticky traps are used to monitor the presence of pests with traps checked and recorded by the Registrar.

Earthquake Mitigation

The Knoxville area typically experiences low-grade seismic activity. The Museum takes precautionary measures when securing objects in storage and on display. Exhibit mounts are customized in-house using proper materials as used in the museum industry. Storage methods include protecting objects from harsh vibrations and strapping free-standing objects to solid and secured structures. Following earthquake events, the Museum staff conduct thorough visual assessments of the exhibit, storage and lab spaces.

8.3 Transit

Local or short-distance (\leq 3-hour drive) transportation of objects by Museum staff in University-owned vehicles are insured under the State of Tennessee Fine Arts Policy. While not encouraged, the use of personal vehicles to transport objects is allowed as Museum objects are continuously covered by the Fine Arts Policy while conducting official Museum business. At least two Museum staff will escort object transports. Large collection moves requiring additional labor are coordinated and supervised by the Registrar or Department Curator. Approval from the Executive Director to rent University vehicles or hire additional labor is required. The Museum uses proper packing materials and approaches to securely and safely transport collection objects.

Long-distance transportation is coordinated by the Registrar. Use of professional fine arts transport companies is required for domestic transports. Professional services may also include crating and packing. International transports require broker assistance with preference towards companies specializing in fine arts transports and knowledge of current TSA and customs clearance requirements as it pertains to export and import of objects.

8.4 Conservation

Preventive conservation measures are paramount in preventing damage and the need for invasive treatments. Damage occurs most when objects are mishandled, improperly stored, ill-packed or unsecured during transport, and long-term exposure to fluctuating climate conditions. Only trained Museum staff may handle objects. The Museum requires that new object handlers read and sign the Object Handling Guideline and discuss specific instructions with their supervisor before handling collection objects. [See attachment V.]

When treatments are necessary, the Museum contracts qualified conservators specializing in the object material. Consulting the American Institute for Conservation (AIC) website or obtaining recommendations from colleagues of known conservators are usual approaches to finding a conservator. Conservators must submit current resumes or CV's for review. When considering a conservator, questions to ask should include:

- What is your background?
- What training have you completed?
- How long have you been a practicing professional?
- What is the scope of your practice? Is conservation your primary activity?
- What is your experience in working with this type of object?
- What is your involvement in conservation organizations?
- What is your availability?
- What are your references and previous clients?

Approval to procure conservation treatments are granted by the Executive Director. Funding sources for conservation treatments may be fundraised therefore, discussion with the Museum’s Development Officer is recommended.

Conservation treatment reports are maintained by the Department Curator or the Registrar in associated object files as well as documented in the object’s CMS record. If damage occurred by Museum staff or others, a Damage Report is generated to record the incident details. [See attachment VI.] The Registrar immediately reports damage to the Office of Risk Management.

8.5 Inventories

Inventory procedures adhere to the American Alliance of Museums (AAM) standards. The Department Curators and Registrar conduct full inventories of storage locations on a continual basis as time and resources allow. Spot checks and inventories of select objects or specific storage locations are conducted more often than full inventories. Inventory documentation is maintained by the Registrar.

8.6 Traditional Care

The Museum recognizes and respects cultural guidelines surrounding the treatment of human remains and cultural objects. Traditional care protocols may involve specific guidelines, prohibitions, and best practices in curation including such considerations as the appropriate orientation of objects in storage, prohibitions on handling, and other concerns as advised by tribal representatives.

Whenever possible, the Museum will generally accommodate requests for traditional care, if they are submitted by the appropriate community official, and if traditional care practices do not conflict with state and federal laws, University Policy, or other Museum protocols, including the Museum’s responsibility to care for both the physical condition and storage of objects or specimens as described above and their documentation. Requests should be sent to the Department Curator or Registrar, and will be considered on a case-by-case basis. All implemented traditional care practices are to be recorded and added to the relevant object records.

9. Risk Management

9.1 Insurance

The Museum’s Permanent Collections, loans, repository objects and objects in temporary custody, are

covered by the State of Tennessee Fine Arts Policy. The State of Tennessee Department of Risk Management negotiates the fine arts insurance state-wide with a carrier they have selected and is implemented by the Registrar. Comprehensive fine arts insurance covers the collections for risks of physical loss or damage to real and personal property owned by the University or in which the University has an insurable interest or in the care, custody or control of the University. The fine arts insurance is a blanket policy up to a certain dollar value and loss, which protects multiple locations and while objects are in transit; thereafter, the University's named-peril property insurance augments coverage. The State purchases earthquake or flood insurance coverage for all State-owned/leased property and contents. The Risk Manager must be consulted if a sponsor requires such coverage or changes to endorsements as stated in the policy. In addition, the University of Tennessee's Office of Risk Management provides the Certificate of Insurance (COI) as requested. The Registrar facilitates COI requests.

9.2 Appraisals

The Museum gathers and records all object appraisals and changes thereof that are provided by the donor upon donation or made by a qualified third party appraiser for outgoing loans. The Museum staff will not provide donors with monetary appraisals for objects. Museum staff may estimate insurance values for the purpose of outgoing loans or other internal uses and should document the sources of these estimates as indicated in section 5.6.

9.3 Audits

The Museum does not support the capitalization or use of collections as collateral for financial loans. The American Alliance of Museums (AAM) Code of Ethics for Museums requires that collections be "unencumbered," which means that collections cannot be used as collateral for a loan. The Association of Art Museum Directors (AAMD) Code of Ethics also precludes using collections as collateral, and further bars museums from capitalizing collections. The American Association of State and Local History (AASLH) has also issued a position statement that declares that capitalizing collections is unethical.

9.4 Emergency Preparedness and Response Plan

In addition to the University's emergency response plan, the Museum implements an Emergency Preparedness and Response Plan specific to the Museum's building and collection recovery procedures. A team of select Museum staff is formed to oversee and implement the plan and work in collaboration with the University's Emergency Management department. The plan is updated regularly to reflect changes in staff and organization holistically.

10. Access

The Museum exists to share and disseminate information pertaining to the Permanent Collections. To accomplish this, the Museum provides access to the University and the general public, local and beyond, through its exhibitions, online collections, and outgoing loan program. The Museum grants access to stored objects and related records and archives for the purpose of education, research, and study. The Museum is aware that the documentation accompanying its Permanent Collections exist within a larger context, and that some may be sensitive therefore, requiring special considerations in regard to access.

10.1 General Museum Access

The Museum is open to the University community and the general public during regular hours of operation. Unless the Museum has posted signs, stanchions or barricades blocking access for security or safety reasons, the Museum has limited access restrictions upon objects on exhibit. The Museum reserves the right to deny access to anyone behaving in an unruly or menacing manner or whose actions threaten the safety of others and the objects on exhibit. After-hours access is not permitted without prior permission, coordination, and Executive Director's approval. Most exceptions will occur during scheduled after-hours events and programs supervised by Museum staff and the Museum guard.

10.2.1 Non-Public Museum Areas

Museum areas restricted from public access include collection storage, curatorial labs, exhibit shop, and the loading dock. The Museum's responsibility to safeguard its Permanent Collections, objects on loan, and their associated records in a secure, orderly manner decrees that restricted areas be closely monitored. It is the responsibility of all Museum staff and guards to monitor restricted areas and prohibit unauthorized individuals from these areas.

10.2.2 Authorized Individuals

Only staff who work directly with collections are granted access to storage facilities and labs. In addition to the Executive Director, Department Curators, Registrar, and the Exhibits Coordinator, access may be granted to individuals that are not necessarily full-time or permanent Museum staff members but have assigned responsibilities such as:

- Lab technicians
- Contract or project-based specialists
- Student Interns
- Graduate Research Assistants
- Volunteers

The level of access is determined by the Department Curator or Registrar and approved by the Executive Director. Student workers and volunteers are supervised in storage or lab areas by the Department Curator or Registrar as assigned. Supervisors are responsible for maintaining and implementing Museum rules and regulations as it pertains to collection care, security, and access restrictions (see 9.Collections Care). Individuals accessing restricted areas must always wear identification. Non-collections staff may request access assistance at the Executive Director, Department Curator, or Registrar's discretion. The Executive Director reserves the right to refuse or withdraw access from individuals who do not follow Museum procedures, including object handling and security protocols.

University Police and select Facilities staff also have access to non-public areas for the purpose of security and maintenance. The Registrar periodically reviews the Museum access list in collaboration with the Executive Director, and the University Police and Facilities departments to manage access privileges.

10.2.3 Researchers and Visitor Tours

Researchers and visitors are granted escorted access into collection storage and labs and supervised by the Executive Director, Department Curator, or Registrar. At no time will a visitor be left unattended in restricted areas. Researchers and visitors must sign-in and out with the Museum guard and wear identification as assigned.

Researchers must complete in advance a Research Request Form. Access to the Museum's Permanent Collections objects, archival materials, and associated records is contingent upon approval of the Research Request Form and by the Department Curator or Registrar based upon the research project. Applications must outline the research objectives and its relationship to the collection, include a list of objects, and the applicant's acceptance of the Museum's terms and conditions. [See attachment VII.]

Visitor tours of storage and lab spaces must be coordinated with the Department Curator or Registrar in advance, preferably two week notice. Tours are considered on a case-by-case basis. The Department Curator or Registrar reserves the right to deny access to part or whole areas on the basis of individual or object safety, and staff availability.

10.3.1 Permanent Collections

Access to the Museum's Permanent Collections is dependent upon staff time and space availability. Access will be limited to office hours with two week notice desirable; exceptions are granted on a case-by-case basis by the appropriate Department Curator and/or Registrar. Access to objects is permitted as follows:

- Object is free of access restrictions;
- Object is accessible and readily available. The availability of the object to be viewed depends on its portability, fragility, size, condition, and value;
- Museum staff authorized to access storage or lab areas must accompany and supervise individuals granted access;
- Groups must be kept small and manageable;
- Object handling is conducted by trained Museum staff. The Department Curator or Registrar may decide to permit supervised handling as instructed on a case-by-case basis.

10.3.2 Permanent Collections Documentation

In granting access to collection archives and records, the Museum complies with the Tennessee Public Records Act and relevant University policies and procedures. Physical access to collection documentation by Museum staff including but not limited to, accession ledgers, accession, loan, exhibit, and lender files is granted through direct request and notification of the Registrar. Researchers and non-staff must submit and receive approval via the Collections Access Request Form. [See attachment VIII.] The Executive Director has final approval where access to sensitive information is requested and require a confidentiality agreement. Access is permitted as follows:

- Related object information is free of access restrictions;

- Museum archives and records will be treated as public information with the exception of information detrimental to the safeguarding of individual or object security;
- Permission to access archives and records is not an authorization to publish material;
- Reproduction of archival materials or records will be done only by Museum staff, providing the material can withstand the reproduction process (e.g. photocopying or digital scan);
- Handling of original documents is conducted by trained Museum staff. The Department Curator or Registrar may decide to permit supervised handling as instructed on a case-by-case basis.

10.4 Native American Graves Protection and Repatriation Act (NAGPRA)

The University strives to be respectful of Native American tribes, Native Hawaiian organizations and lineal descendants whose ancestral remains and cultural items may be housed or under the legal control of the University of Tennessee. The Museum aligns itself with the University's NAGPRA Policy and acts accordingly to the procedures set forth.

Access to the collections for consultation under NAGPRA is by appointment only and must be scheduled in advance with the Department Curator or Registrar. The Museum will make every effort necessary to accommodate special viewing requests. Notices of claims, scheduled consultations, and communications pertaining to NAGPRA activities at the Museum are reported to the Executive Director, the University's NAGPRA Committee, and to the Museum's Collection Committee.

Access to the collections and their associated records that are under claim is prohibited to researchers and visitors and limited to authorized individuals working with such objects. Objects under claim will be removed from exhibition or recalled from loan. The Department Curator or Registrar is responsible for coordinating exhibition deinstallation and loan retrieval in a timely manner.

For non-NAGPRA related access to culturally affiliated human remains, associated funerary objects, and sacred objects, a requesting researcher must also obtain a letter of permission for access from the affiliated tribal chairperson(s) or official designee. See 10.5.1-2 below.

10.5.1 Culturally Sensitive Objects

The Museum recognizes that individuals and communities have cultural and religious concerns related to the Museum's collections that must be considered. Such collaboration is a matter of ethics and, in some cases, law. While the Museum will not forbid legitimate research of its Permanent Collections, with the exception of objects with access restrictions, the Museum will consider requests from descendant communities to inform researchers of specific cultural and spiritual concerns. Requests will be accepted only from tribal chairpersons, authorized NAGPRA representatives, or individuals of similar levels of community authority, and should be accompanied by a brief statement of cultural affiliation to the object in question. Requests should be sent to the Executive Director and Department Curator.

10.5.2 Culturally Sensitive Documentation

As with the objects in its care, the Museum recognizes its documentation carries specific cultural and religious concerns for individuals and communities that must be considered regarding access. While the

Museum will not forbid legitimate research on Museum-held documentation, with the exception of restricted documents, the Museum will consider requests from descendant communities to inform researchers of specific cultural and spiritual concerns. Requests will be accepted only from tribal chairpersons, authorized NAGPRA representatives, or individuals of similar levels of community authority, and should be accompanied by a brief statement of cultural affiliation to the object in question. Requests should be sent to the Executive Director and the Department Curator.

10.6 Archaeological Resource Protection Act

The Museum fully abides by the provisions of the Archaeological Resource Protection Act (ARPA) of 1979. As a steward of information concerning the location and nature of certain archaeological resources, the Museum as required by ARPA's Section 9, generally holds this information in confidence, unless the provision of this information would further the purpose of the statute and not create a risk of harm for the resources. In cases where such information is shared, a confidentiality agreement will be required.

10.7 Repository Objects

Access by an agency representative, researcher, or another individual to federal- or state-owned objects falls under the authority of the Department Curator. Unless specifically restricted by repository agreement, access to state and federally-owned objects is generally allowed under the same considerations as those governing the Museum's Permanent Collections.

Objects on deposit via formal or informal contract may have restricted access according to the authority of the owner. Access to objects and associated records are determined on a case-by-case basis and permission must be granted by the owner. The Department Curator is responsible for obtaining permissions prior to allowing access to the requestor. A confidentiality agreement signed by the requestor is required when access to restricted information is granted.

10.8 Destructive Analysis

The Museum will consider destructive analysis proposals that demonstrate a clear knowledge of methodologies and will result in the enhancement of knowledge about the material tested. While the Museum recognizes the significant results that can be obtained by the use of destructive analysis, it seeks to balance the loss to the collections caused by sampling with the potential of the proposed research.

The Museum will not consider proposals to carry out destructive analysis in which the method to be used is untested, or in which the intended method has already been used on the same objects in the Museum's collection. The investigator must agree prior to receiving permission to carry out destructive analysis to provide the Museum with a copy of his/her results. As destructive analysis results in loss, the investigator may be asked to carry out additional tests at the same time to minimize the loss.

10.9 Reproduction

Researchers may take images for personal or study use of non-restricted collection objects or documentation after completing a Research Request Form. Reproduction or photography of objects, archives, or associated records is not an authorization to publish. Permission to publish self-created images taken for research purposes must be secured by the researcher. Any use of images taken by the researcher of objects or of the Museum must be approved by the Department Curator.

All formal requests to obtain or reproduce images are processed through the Museum website. The Rights and Reproduction terms and conditions are as follows:

- Permission is granted for only one usage in one printed or digital publication, one edition, and in one language, worldwide. Additional language editions and subsequent editions will be considered upon receipt of additional request(s). Exclusive rights will not be granted.
- Permission may not be transferred, assigned, or sold.
- Permission is given with the understanding that one copy of the publication in which the image(s) appears will be sent gratis to the Museum attention to the Registrar.
- The image(s) must be credited as *McClung Museum of Natural History and Culture, University of Tennessee, Knoxville*, plus any additional credit information as provided by the Museum.
- Permission and possible fees may be required from the copyright owner independently of the Museum. It is the applicant's obligation to determine and satisfy copyright or other use restrictions when publishing or otherwise distributing images.
- The image(s) must be reproduced in its entirety. No cropping, bleeding, or retouching is allowed. When a detail is used, the word "detail" must appear in the credit line.
- Nothing may be superimposed on the image(s).
- The image(s) cannot be used to show or imply that the Museum endorses any commercial products or enterprise, concurs with the opinions expressed in, or confirms the accuracy of any text used with the images provided by the Museum.
- The applicant agrees to take all due care to protect the image(s) from unauthorized use by any person or entity.

ATTACHMENT I

Acquisition Procedures

For Permanent Collection considerations

Objects are accepted for acquisition consideration by means of gift, purchase, bequest, transfer, exchange, or other transactions by which legal title will pass to the Museum.

Before presenting potential acquisitions to the Collections Committee, the Executive Director, Department Curator, and Registrar will consider whether:

- The object is destined for a particular collection area including the Research collections. In rare circumstances where it may be prudent and necessary to acquire a whole collection, even though some of the objects may not be regarded as having Museum quality, in order to obtain desired objects, the proposal to acquire whole collections will be presented to the Collections Committee for initial consideration;
- The object is unique or of greater quality or value than similar ones already in the collections;
- Proper care and storage can be provided;
- The object is in suitable condition for use or exhibition. This should include physical and/or thorough digital image assessment of the object's condition;
- The provenance of the object, as determined by the Executive Director or Department Curator is satisfactory;
- The object is encumbered with conditions imposed by the donor regarding use or future disposition. As a rule, only unrestricted objects should be accepted;
- The use of the object is restricted or encumbered by intellectual property rights (copyright, patent, trademark, or trade secret) or by its nature (obscene, defamatory, potentially an invasion of privacy, physically hazardous);
- The object is generally consistent with the mission and purpose of the Museum;
- External consultation is necessary.

When accepted for acquisition consideration the Executive Director or Department Curator will attempt to collect as much of the following information as possible:

- The manner, circumstances, and approximate date the potential donor or seller acquired the object;
- List of records, legal export documentation, receipts, other documents or stated oral and/or electronic communications that provide proof of ownership, authenticity, and any other information relative to ownership, provenance, and authenticity;
- The appraised value and original cost (if known) of the object;
- A written statement made by the seller or donor certifying that the proposed acquisition is free and clear of all encumbrances and restrictions, and has not been illegally acquired.

If the above is satisfactory:

- The Director or Department Curator notifies the donor or seller that the Museum is interested in proceeding with the acquisition;
 - **Gifts/Bequests/Transfer/Exchanges:** Advise the donor or UT campus department of the Museum's acquisition process and timeline for the final approval.
 - **Purchases:** Identify and secure funds and/or funding source(s) and/or a Purchase Agreement is generated.
- For time sensitive acquisitions, with the approval of the Executive Director, an email to the Collections Committee requesting a vote to proceed with the purchase will be sent.
- The Executive Director or Department Curator will prepare an Acquisition Proposal form describing the object and the reasons why the acquisition would enhance the collecting priorities of the Museum or that the object, although not strictly in accord with the collection area priorities, should be considered for acquisition;
- The Executive Director or Department Curator will submit all supporting documents, including originals and images, and source contact information to the Registrar as soon as possible or at least two weeks prior to the next scheduled Collections Committee meeting for inclusion on the agenda and presentation;
- If the object is received or to be received prior to the next Collections Committee meeting, the Registrar will issue a Temporary Custody Receipt, create the database activity and accession file.

If approved by the Collections Committee:

- The Executive Director or Department Curator will notify the donor or seller of the decision to acquire in written format either a formal letter or email correspondence with copy to the Registrar;
 - **Gifts/Bequests/Transfer/Exchanges:** The Registrar will issue 3 copies of the Deed of Gift to the donor who is instructed to return all copies to the Museum for the countersignature of the Executive Director. One executed copy is returned to the donor, one filed in the Collections Department files, and one filed with the Development Officer. **For UT Campus Transfers:** The Registrar will generate a Transfer Agreement between the department and the Museum to be signed by the Executive Director and authorized department representative.
- If the object has not been received yet, the Registrar or Department Curator will coordinate with the donor or seller to receive the object;
- Upon receipt of the object, the Registrar or Department Curator will generate an Incoming Condition Report with condition images to be included in the database, paper, and electronic files;
- When the executed Deed of Gift, copy of the paid invoice, Bill of Sale, and/or signed Purchase or Transfer Agreement is received by the Registrar, he/she will assign an accession number and create paper files (Accession and Object) where all related correspondence and documentation regarding the acquisition are kept in the Collections Department files. The Registrar or Department Curator will also scan accession

documentation for storage in the Museum's network drive under the appropriate collection department folder;

- The Registrar or Department Curator will apply physical numbering on the object, identify proper and archival storage needs, and schedule the object for new photography or digitization if needed;
- The Department Curator will conduct cataloging in both the database object record and supply hardcopy in the Collections Department Object file;
- The Registrar will update the insurance valuation spreadsheet if/when values are provided.

For Declined Acquisitions

Following review and recommendation by the Collections Committee, if the Executive Director declines to acquire an offered object, the donor will be promptly notified and the object, if in the possession of the Museum, will be promptly returned unless an agreement is made to loan for a predetermined length of time to the Museum. When the object is returned, the Registrar will generate an Outgoing Release form to the owner to document the release from Museum custody.

For Donations to Education Collections

Donation of objects that are not selected for the Permanent or Research Collections but may be appropriate additions to Education Collections, in consultation with the Department Curator and with written consent or approval from the donor, such objects may be accepted without seeking a recommendation from the Collections Committee. A Non-Collection Gift receipt is generated by the Department Curator accepting the object.

For Repository Collections

A Memorandum of Agreement (MOA) or other University approved legal instrument between the Museum and the depositing agent must be in place or written in consultation with the University's General Council Office outlining the details of responsibilities of each party. The Department Curator charged with curation and management of such collections will provide all documentation, including the original or copy of the fully-signed MOA, to the Registrar for record keeping in the Collections Department files.

For Field Collecting (organized or directed by Museum staff)

Proof of permit/permission documentation of objects obtained through field collecting will be submitted to the Registrar for inclusion in the accession file. Documentation may include, but not limited to, appropriate permits (e.g. letters of consent from property owners) and/or necessary documentation to establish that materials were collected in accord with local, state, federal, and international law. Objects collected in the field that will be added to the Research Collections do not require Collection Committee approval.

ATTACHMENT II

ACQUISITION PROPOSAL FORM

Proposing curator:

Collection area:

Artist:

Nationality/Cultural Affiliation:

Dates:

Title:

Date:

Medium:

Dimensions:

Inscriptions:

Edition:

Existing number?:

Description and Summary of Object(s):

Artist, Style, and explanation of the proposed object:

Condition:

Provenance:

Related Objects:

Complements the Existing Collection

Plans for exhibiting

Why do you recommend the object?

Is this object in good enough condition to display or teach with?

If not, where will the money come from to conserve this object?

Are there any unexpected costs in terms of the storage or long-term care of this object?

Comparable Market Prices

Bibliography

Subject Terms (for PP)

ATTACHMENT III

Deaccession Procedures

Objects that are recommended for deaccession from the Permanent Collections must meet one or more of the criteria as stated in the Deaccession policy [5.2].

Before presenting recommendations to the Collections Committee, the Department Curator and Registrar will prepare a Deaccession Certification form for each accession group and submit the completed form to the Executive Director for review and approval. The form must include:

- A statement of the rationale for deaccessioning
- Current legal status
- Gift conditions or restrictions, if any
- Appraisal information, if known
- Proposed disposal method as per disposition priority [5.3]
- Proposed recipient in the case of transfer or exchange
- Proposed use of any funds generated if donor conditions exist

The following are all, but not limited to, the necessary steps to assure the internal and external processes are conducted:

1. The Registrar and/or Department Curator has ascertained that the University has proper title to the object and that there are no mandatory conditions restricting deaccessioning. Where conditions or restrictions exist as to use or disposition of the object, the Museum will observe those conditions to the extent it is reasonably possible to do so. The University General Counsel will be consulted if it is necessary to have the University declared owner and to resolve any questionable matters concerning the deaccessioning or disposal of the object.
2. The Executive Director, in consultation with the Department Curator, shall exercise care to assure that the recommendations are based on authoritative expertise. To inform the deaccession consideration, recommendations may include outside review or solicitation by the Executive Director and/or the Department Curator of opinions from qualified professional colleagues or consultants with appropriate expertise. The Executive Director may also seek the advice of other University authorities in conducting the review.
3. The literature and criticism relevant to each object are included with the Deaccession Certification form, as are the opinions of any and all consulted scholars and experts.
4. When deemed necessary by the Executive Director, outside consultants and appraisers shall be contacted for confirmation of value.
5. If the Executive Director denies the recommendation to deaccession, no further action is taken. If the Executive Director approves the recommendation, the Executive Director will sign the

Deaccession Certification form and return it to the Registrar for review and vote at the next scheduled Collections Committee meeting.

6. At the next scheduled Collections Committee meeting, the Department Curator will present the deaccession recommendations for discussion and vote. An email vote may be obtained for time-sensitive cases. A majority vote is sufficient for such recommendation. Final authority rests with the Executive Director to determine whether deaccession should occur.
7. If the Collections Committee votes to approve the recommendation to deaccession, a non-museum staff member of the Collections Committee will sign the Deaccession Certification form.
8. The deaccession recommendations are reported by the Executive Director or his/her designee at the next scheduled museum Board of Advisors (BoA) meeting. Objections arisen from the BoA are removed from recommendation until further discussion and review can be made by the Collections Committee at the next scheduled meeting.
9. If there are no objections from the BoA, the Deaccession Certifications and all supporting documentation, is submitted by the Registrar to the University Gifts Disposition Committee for final approval. Note: Intra-campus transfers are exempt from GDC approval.
10. When approval from the University Gifts Disposition Committee has been received either by means of an MOA or email notification from a Committee representative authorizing the Executive Director to proceed with deaccessioning, the Executive Director or his/her designee will make every reasonable effort to inform the donor, heirs, or legal representative in writing of the deaccession and the Museum's policies governing acknowledgments and the use of funds obtained from the deaccessioned works.
11. In the event that deaccession will be made by public sale, the public will be advised, by notice in appropriate professional, community and/or University publications, of the Museum's intent to deaccession.
12. When a transfer of title occurs, the Registrar will generate a Transfer Agreement and obtain required signatures. A copy of the completed agreement is sent to the University Gifts Disposition Committee. Copies of records for deaccessioned objects, including provenance, research, and data on publication, and any other necessary documentation will be forwarded to the acquiring institution.
13. If the deaccessioned object is determined to be disposed by means of destruction due to hazardous materials, the Registrar and/or Department Curator will comply with the appropriate state and/or federal laws pertaining to disposal and if necessary, health and safety professionals.

14. Objects may be considered to be returned to the donor or donor's heir if the circumstances prove to be beneficial to all parties and does not pose a legal or tax issue for either party. Consultation with legal council is required in these situations.
15. Objects deemed more appropriate and useful for Education Collections, the responsibility will be internally transferred to the Education Department or Department Curator.
16. The Registrar will update all documentation files of the deaccession including but not limited to the object file, card catalog, database record, and donor file. All documentation of deaccessions are maintained in the Collections Department files. Objects will have all identifying marks and numbers removed from them prior to disposal.
17. The Executive Director will report on deaccession sale results at the next Collections Committee and Board of Advisors meetings. All income derived from the sale of deaccessioned objects will be identified in the annual financial report of the museum.

Disposition of non-accessioned gifts with known sources

From time to time, the Museum receives gifts of objects with the understanding that they will not be accessioned into the Permanent Collections but may be placed in the education collection or sold to provide funds for direct care purposes or toward the acquisitions fund. Written approval from the donor must be obtained, which can be in the form of notation on the Temporary Custody Receipt, email, or other means of documented communication. Ethical, legal, and fiscal parameters defined in the Policies and these Deaccession Procedures will guide the disposition.

Disposition of Found in Collections (FIC) objects

The least risk method of disposing of FIC objects is via intra-campus transfer. If the off-campus transfer is an option, the recipient must be notified of the object's status history at the museum. In cases where public auction or destruction methods are the only option, thorough documentation must be recorded in the deaccession file as with all other deaccessions. If a claim is made on a FIC object, the museum will make an ad hoc decision on accepting or fighting the claim. The burden of proof of ownership is placed upon the claimant.

Disposition of Native American Graves Protection Act (NAGPRA) objects

The University's standing NAGPRA Committee is the campus authority on all matters pertaining to permanent collections and repository collections under Federal claim. The Department Curator or Registrar will process the claim, document pertinent correspondences, and consult with the Committee. The Department Curator or Registrar will report regular status updates to the Museum's Collections Committee. NAGPRA files are maintained by the Department Curator and/or the Registrar. These files are considered highly confidential and must be closely monitored and restricted whenever necessary.

ATTACHMENT IV

Outgoing Loan Conditions

Care and Preservation

Objects borrowed shall be given proper care to insure against loss, damage, or deterioration. The borrower agrees to meet any special requirements for installation and handling. The McClung Museum of Natural History and Culture certifies that the objects are lent in condition to withstand ordinary strains of packing, transportation, and handling. McClung Museum is to be notified immediately, followed by a full written and photographic report, if damage or loss is discovered. If damage occurs in transit, the borrower will also notify the carrier and will save all packing materials for inspection. No object may be altered, cleaned, repaired, or fumigated without the written permission of the McClung Museum, nor may matting, mounting, or glazing be changed without permission, nor may objects be examined by scientific methods without written permission. Objects will be handled only by experienced personnel. Objects must be maintained in a fireproof building under 24 hour physical and/or electronic security and protected from insects, vermin, dirt, or other environmental hazards.

Packing and Transportation

Packing and transportation arrangements for the loan must be approved by the Museum. The borrower agrees to meet any special requirements for packing and shipping. Shipping requirements may include: dual drivers, air-ride and climate control truck, last on/first off, direct non-stop delivery, or exclusive use shipping. At no time should the truck be left unattended. Unpacking and repacking must be performed by experienced personnel. Repacking must be done with either original or similar materials and boxes and by the same method as the object was received.

Insurance

Objects shall be insured at the borrower's expense for the value stated on the face of this agreement under an all-risk wall-to-wall policy subject to the following standard exclusions: wear and tear, insects, vermin, gradual deterioration or inherent vice; repairing, restoration, or retouching processes; hostile or warlike actions, insurrection, or rebellion; nuclear reaction, nuclear radiation, or radioactive contamination. McClung Museum shall determine whether the borrower insures the objects or whether McClung insures them and bills the borrower for the premium. If the borrower is insuring the objects, McClung Museum must be furnished with a certificate of insurance or a copy of the policy made out in favor of McClung Museum prior to shipment of the loan. McClung Museum must be notified in writing at least 30 days prior to any cancellation or meaningful change in the borrower's policy. Any lapses in coverage, any failure to secure insurance and/or inaction by McClung Museum will not release the borrower from liability for loss or damage.

Reproduction and Credit

McClung Museum will make available photographs of objects lent, which may be used for catalog, routine non-commercial educational use, publicity, and registrarial purposes. No further use of such photographs can be made and no other reproduction of objects lent can be made without the written permission from McClung Museum. Each object will be labeled and credited to McClung Museum as provided on the face of this contract, both for display labels and publication credits.

Costs

The borrower will assume responsibility for all expenses incurred by McClung Museum in work by conservators to prepare the object for loan, in packing, crating, transportation, couriers, insurance,

photography, and any and all other related costs. McClung Museum will make every effort to provide the borrower with estimates in advance of all applicable costs.

Cancellation/Return/Extension

The loan is made with the understanding that the object will be on view during the entire exhibition period for which it has been requested. Any intention by the borrower to withdraw the loan from the exhibition at any time must be communicated to McClung Museum immediately. McClung Museum reserves the right to recall the loan or cancel the loan for good cause at any time, and will make effort to give reasonable notice thereof. Objects lent must be returned to McClung Museum by the stated return date. Any extension of the loan period must be requested in writing to the Museum Director or the designated collection Curator **prior** to the expiry date on this agreement.

Loans for Research

Loan logistics as described above are applicable to items borrowed for research. Additional details and research procedures will be defined and handled by the McClung Museum curator in charge of the collection. Borrowers should refer to the section on Research and Collections on the Museum's website: mcclungmuseum.utk.edu/research

McClung Museum of Natural History & Culture

Object Handling Guidelines

The following guidelines are basic rules offered with the understanding that competent object handling is an attitude as well as a skill. The most rigorous rules are worth little if they are not applied with a steady and careful attention to the needs of the object. When handling any object, treat it with respect. You should approach every object as if it were the most important item in the collection regardless of size, material, or value.

PRESERVATION begins the moment an object arrives at the museum. With careful and well-planned handling, movement, storage, and display approaches we contribute towards the longevity of these unique and special objects. Damage occurs the most due to poor handling therefore it is critical that you learn and conduct good handling approaches and techniques.

GENERAL GUIDELINES

HAVE CLEAN HANDS. Keep your hands clean, even when using gloves. Do not use hand creams and lotions. These can leave deposits that may cause damage and attract soil. Dirt, grime and perspiration can be transferred to the object causing permanent damage to paper, textiles, painted surfaces, metals and lacquered wood. Use clean gloves only. Replace gloves often as necessary especially when soiled or torn. Soiled gloves can cause as much damage as soiled hands. **Note:** Wearing nitrile or latex gloves may cause your hands to sweat. Be mindful of this and take off your gloves away from the vicinity of objects.

NO SHARP OBJECTS/INKS/TAPES. Keep sharp objects (scissors, screwdrivers, etc.) away from objects. Do not use pens or felt markers in the vicinity of an object. When using a power drill, drill slowly to avoid harsh and constant vibrations. Keep packing tape away from the object as they may attach to the object and cause irreparable damage.

Remove personal accessories like work badges and jewelry (dangling necklaces, rings, bracelets, watches) and empty chest pocket contents when working with objects. Pad belt buckles if carrying objects close to your body. These items can scratch, snag, or puncture an object. Nail polish has also been known to transfer to objects as sometimes an object is best handled with bare hands.

THE LESS HANDLING THE BETTER. Handle objects as little as possible. Handle only one object at a time, and use both hands in carrying. **Do not** use your feet to move or position an object. **Do not** drag, shove, slide, or pull objects along. Use appropriate equipment whenever possible to transport an object such as dollies, object carts, and sturdy containers. At times, especially for very delicate objects that should not sustain vibrations, hand-carrying is necessary. Be sure to plan your movement carefully.

ASSESS THE OBJECT. Before handling, conduct a thorough visual assessment of the object with close attention to delicate or potentially fragile areas. Check for areas of past conservation treatments (evidence of adhesives) to avoid those areas. Objects that have been repaired had their strength integrity compromised. Delicate or fragile objects should be handled or moved only when necessary and only by its storage mount or container.

NEVER handle objects by their handles (i.e. vases, pots) or hanging hardware. If you are unsure of how best to handle an object **ASK** for help. **Do not** hold objects in the air for examining. Keep objects low and close to the table surface. While objects are on tables, make sure it is supported from toppling or falling off the table. Place objects safely away from table edges.

HAND PRESSURE. Be mindful of the pressure you are applying when holding an object such as ornate frames, gilded, lacquered or painted objects, and ornate furniture elements. Pressing too hard can break the surface and/or cause losses.

DON'T RUSH. Take your time. Move slowly and deliberately while carrying an object or while pushing dollies, object carts, and crates containing objects.

SECURE every object. Safely pad, pack, or otherwise secure every object before moving it. Always use clean materials and equipment. Never overload any container or carrying device, including yourself.

FOCUS on the task at hand. Do not allow others to engage in idle conversation while you are moving or installing objects. You should be concentrating on the safe movement and handling of the objects.

WATCH OUT. Be aware of objects around you especially in storage areas. Avoid sudden and abrupt movements and backing up without looking. Keep tools with long handles or poles upright when moving through spaces occupied by objects.

CLEANLINESS. Keeping a clean storage and work environment for objects is very important. Storage facilities and exam tables should be well maintained and clear of clutter and dirt. **Food/eating in storage is strictly prohibited.** Spill-proof beverage containers are permitted but must not be near objects at any time. When working in storage, keep your work areas clean and always clean-up after yourself. Return tools and materials to their proper location. Make sure objects are either returned to their storage location or are secured in an approved temporary location.

DAMAGE. If damage or suspected damage occurs **report it immediately** to your supervisor.

Document the damage with photographs if possible. Gather all loose pieces and note where they came from, place them in an envelope or plastic baggie and mark the bag with object details like, "frame pieces from object #/temporary gallery/7-15-2017".

Do not move the damaged object **unless** instructed to do so **or** if the object will sustain further damage in its place **and/or** can damage other objects nearby. In those cases, examine the damaged object and devise a plan for transporting it in a manner that will prevent any further damage. It is most helpful to provide a written report documenting the actions you took to your supervisor along with images and the debris collected.

PROTECT YOURSELF. Working with collections may require you to climb ladders, lift heavy boxes or assist others moving crates or large objects. For your safety, when conducting these tasks, avoid wearing high-heeled shoes, flip-flops, open-toed shoes, or shoes with slippery soles.

TOXIC PRESERVATION. In the past, it was common practice to apply toxic chemicals like arsenic as a preservative on taxidermy or objects containing natural fibers. The McClung collections contain objects of these materials therefore it is best to assume possible contamination. Always wear gloves when working with these objects. Discard materials that come into contact with them and change your gloves often to prevent cross-contamination. Wash your hands before and after working with these objects.

OBJECT MOVEMENT PREPARATION

Follow instructions and ask questions if you are unsure or unclear. **THINK** before you act. **PLAN** before beginning any movement. Establish a clear plan and path for each movement before any action is taken. Make sure you can safely move an object yourself or if you will require assistance. Make sure that you understand exactly what will be done with an object before you move it. Each object should be analyzed individually and any odd characteristics taken into account. **By all means, ask questions.**

Before moving an object, the following three questions should always be considered:

- Where are you going?
- How are you going to get there?
- What are you going to do once you are there?

Formulate a plan for the way the object will be best transported, and if someone will be helping you, make sure he/she clearly understands the plan.

When working with others, set up teams of people that are accustomed to working together and designate one person to be in charge. It is often helpful to consider the height and amount of weight that the individual members of the team can carry, and match up teams accordingly.

Be sure all doors are open and that you have someone to walk ahead to **clear the path**, open doors, and spot potential hazards, such as hanging fixtures, low doorways, or protruding corners. Before moving a large object, make sure that it will easily fit through doorways, tight turns, and narrow halls. Measure these areas if there is any question.

Always use clean materials when working with objects. Replace dirty or damaged materials often as necessary. It is ideal to have materials and supplies designated for *objects only*. Keep these materials in a separate, clean storage space, ideally in cabinets away from potential pest infestation and dust.

REPORT INFRACTIONS. Report misconduct occurring with or near objects to your supervisor. Keep a vigil eye out for potential hazards for the safety of both objects and people. Share your knowledge and always be willing to assist others to grow in theirs.

McClung Museum Object Handling Guidelines Agreement

The McClung Museum is committed to preserving its collections using best practices in object handling. As an Intern, Graduate Assistant, or Volunteer of the museum working with the collections, you are part of that effort. Please sign below stating that you have read this document and understand the responsibilities as an object handler.

Name (print): _____

Date: _____

Signature: _____

Your Supervisor's Name: _____

Please keep the Guidelines document and give this completed page to your supervisor.

ATTACHMENT VI

McClung Museum Object Damage Report

When damage happens to an object or an object is found to be damaged this form must be filled out completely and submitted immediately to the Registrar for further necessary steps. Please provide as much of the following as possible.

Date:

Reporter Name and Position:

Was anyone hurt? If so, please report it immediately to your supervisor for further instructions.

Location and Time of damage:

List of other people or witnesses:

Please describe in detail how the damage occurred if known:

Was there more than one object damaged?

Please describe the damage to the object(s):

Were parts or pieces collected?

Did you and/or someone take pics? If so please collect them and attach it to this report.

Was the object(s) moved? If so, provide the location where the object(s) was moved.

Registrar Use Only:

Date report received:

Permanent Collection or Loaned Object?

Risk Management notified?

Conservation required?

ATTACHMENT VII

RESEARCH REQUEST FORM

Date:

User Name:

Driver License # and State:

Position/Institution:

Address:

Collection(s) or facility/facilities to be used:

Proposed date(s) of use (list in order of preference): 1) 2) 3)

Purpose of use—Describe the proposed research methodology and expected analytical results. Attach additional sheet(s) if necessary (please note that if researcher is requesting sampling, this information must be filled out below):

Is the researcher requesting an object sample(s) for destructive analysis?

Yes (if yes please answer questions 1–8 below)

No

1. Type of Sample Requested (include materials, culture, other pertinent information):
2. Type of analysis to be performed (destructive or nondestructive to the objects):
3. Number of samples to be taken:
4. Sample size or weight (each sample):
5. Location where the analysis will be performed (name of institution and contact information):
6. Date when the sample will be returned (if applicable):
7. Catalog number and description of each object to be sampled:
8. Purpose of analysis (formal proposal or a statement describing the proposed research methodology and expected analytical results). Attach additional page(s) if necessary.

Conditions:

The policy of the museum requires that researchers who use museum collections or data acknowledge this use and submit for the museum files a copy of all papers, theses, dissertations, articles, books, contract reports, etc. generated from these data. In regard to original data from collections (field notes, site maps, photographs, site forms, etc.) copied by a researcher and retained in his/her possession or in the possession of another institution, agency, or company, the museum expects that any future use will include proper acknowledgment of their source and the exercise of discretion and professional ethics in their future use and accessibility. Researchers will be informed of and expected to comply with the museum’s collections access guidelines as well as the museum’s policies and procedures. The proper credit line for the museum is: Courtesy McClung Museum of Natural History and Culture, the University of Tennessee, Knoxville.

Special Conditions:

Signature of User: _____

Report received by: _____

Date report filed: _____

FOR MUSEUM USE ONLY

Approved by: Date:

Types of access granted:

_____ General Tour _____ Removal from storage _____ Staff Supervision _____ One-time access _____

Photo illustration _____ Unaccompanied access _____ Other _____ Loan # _____ Access denied

Dates and Hours Assigned:

Conditions:

ATTACHMENT VIII

ACCESS TO COLLECTIONS GUIDELINES

Hours of availability: 9:00 a.m.–5:00 p.m., Monday–Friday, by appointment only

*Although the public must have reasonable access to the collections on a nondiscriminatory basis, museums assume as a primary responsibility for the safeguarding of their materials, and therefore may regulate access to them. The collection exists for the benefit of present and future generations; it should be as easily accessible as is consistent with the safety of the individual objects.

All efforts will be made by the McClung Museum to enable researchers to make use of collections and/or archival material at their convenience. Please read the following rules for researchers and sign at the bottom of the page that you have read and will honor our requests.

1. Please refrain from bringing personal objects into the McClung research library. This includes book bags, books, and notebooks. A laptop computer or paper and pencil are acceptable, but all other material will be stored in the collection manager’s office or the museum secretary’s office.
2. Only pencils will be allowed when using archival material.
3. No food or drink, including water, is allowed in the collections storage area, anthropology lab, or research library.
4. Appointments are required to access objects or material. Researchers wishing to utilize the collections or archival material should fill out a Request for Access to Collections form, submitting it at least two weeks in advance. This form also must identify the specific items or files you wish to examine. All efforts will be made to accommodate your requests.
5. Handling of objects may only be allowed with special permission from the collections manager. However, no modifications to either objects or data will be allowed (persons allowed to handle objects or records should have clean, washed hands; no lotions or oils on hands; and will be supplied with clean white gloves for handling. Refrain from touching your person while wearing gloves. Please do not sneeze or cough into gloves and then handle objects or paper artifacts).
6. No material may be photocopied or removed from the research area without prior written permission from the collection manager.
7. Only the person requesting access to collections use will be allowed into collection storage, anthropology lab, or research library.

By signing below, I acknowledge I have read the above rules and will abide by them. Should I not adhere to the rules, I understand I may be asked to leave and may not be allowed access to collections or records in the future.

Researcher’s signature and date: _____

*American Association of Museums, Museum Ethics: A Report to the American Association of Museums by its Committee on Ethics (1978).

List of Appendices

1. *UNESCO 1970 Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transport of Ownership of Cultural Property*
(<https://eca.state.gov/files/bureau/unesco01.pdf>)
2. National NAGPRA (<https://www.nps.gov/subjects/nagpra/index.htm>)
3. *Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)*
(<https://www.cites.org/>)
4. *Bald Eagle Protection Act* (<https://www.fws.gov/laws/lawsdigest/BALDEGL.HTML>)
5. *Migratory Bird Treaty Act* (<https://www.fws.gov/birds/policies-and-regulations/laws-legislations/migratory-bird-treaty-act.php>)
6. *Marine Mammal Protection Act* (<https://www.fisheries.noaa.gov/national/marine-mammal-protection/marine-mammal-protection-act>)
7. *Endangered Species Act* (<https://www.worldwildlife.org/pages/the-us-endangered-species-act>)
8. *National Parks Service Research Permitting and Reporting System*
(<https://irma.nps.gov/Datastore/DownloadFile/494693>)
9. *Archaeological Resource Protection Act*
(<https://www.nps.gov/archeology/tools/laws/ARPA.htm>)
10. *Curation of Federally Owned and Administered Archaeological Collections, 36 CFR Part 79*
(https://www.nps.gov/archeology/collections/laws_04.htm)
11. *AAM Guidelines Concerning the Unlawful Appropriation of Objects During the Nazi Era*
12. (<https://www.aam-us.org/programs/ethics-standards-and-professional-practices/unlawful-appropriation-of-objects-during-the-nazi-era/>)