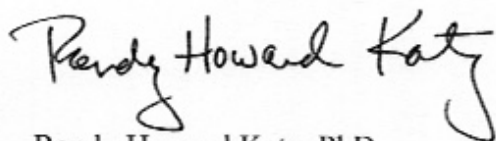




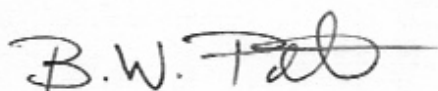
COLLECTIONS MANAGEMENT POLICY
Phoebe A. Hearst Museum of Anthropology
2018

As the governing authority of the Phoebe A. Hearst Museum of Anthropology, I hereby approve of this Collections Management Policy



Randy Howard Katz, PhD
Vice Chancellor for Research
University of California, Berkeley

As the director of the Phoebe A. Hearst Museum of Anthropology, I hereby approve of this Collections Management Policy



Benjamin W. Porter, PhD
Museum Director
University of California, Berkeley

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1. INTRODUCTION

The purpose of this Collections Management Policy is to identify the professional practices and standards that the Phoebe A. Hearst Museum of Anthropology (the Museum) at the University of California (UC), Berkeley will uphold in the acquisition, deaccession, care, management, and use of collections either owned by the Museum or managed by it under agreements. This policy is for use by Museum Staff members, Faculty Curators, descendant community representatives, students, volunteers, and others who work with the Museum collections.

The Collections Management Policy will be reviewed every two years, and revised as necessary, to reflect changes in the Museum's and University's policies, advances in museum professional standards, and other updates. This 2017-2018 revision is based on the September 2011 version of the Collections Management Plan.

1.1 Background

The Phoebe A. Hearst Museum of Anthropology (formerly the University of California Museum of Anthropology, and later, in 1959, the Robert H. Lowie Museum of Anthropology) was founded in 1901. Its major patron, Phoebe Apperson Hearst, supported systematic collecting efforts by both archaeologists and ethnologists to provide the University of California with the materials for a museum to support a department of Anthropology. Hearst hoped that the Anthropology program at the University of California, the first Anthropology department and museum established west of the Mississippi, would become a center for the discipline.

Other important early figures in the history of the Museum were: Frederic W. Putnam, the first director, who was simultaneously director of the Peabody Museum at Harvard; Alfred L. Kroeber, who acted as Director from 1909 to 1947; the archaeologists Max Uhle and George Reisner, who conducted expeditions in Peru and Egypt, respectively, resulting in major collections; and a variety of researchers specializing in California ethnology and archaeology, including Alfred L. Kroeber, Pliny E. Goddard, Samuel A. Barrett, Thomas T. Waterman, Edward W. Gifford, and Nels Nelson. The Museum's collections have grown from an initial nucleus of approximately 230,000 objects gathered under the patronage of Phoebe Hearst to an estimated 3.8 million items. The Museum was accredited by the American Association of Museums (now the American Alliance of Museums) in 1973, and re-accredited in 1990 and in 2003.

From 1903 to 1931, the Museum was physically housed in San Francisco's Parnassus Heights, where exhibits opened to the public in October 1911. A key figure during these years was Ishi, a Yahi Indian who lived at the Museum from 1911 until his death in 1916 and who worked with Museum Staff to document the ways of his society. When the Museum returned to the Berkeley campus in 1931, there was little space for public exhibitions, and the Museum focused on

research and teaching. With the construction of a new building housing the Museum and Anthropology Department in 1959, space for exhibition again became available. The building, which the Museum continues to occupy, was named Kroeber Hall, and the Museum was named in honor of Robert H. Lowie, a pioneer in the Berkeley Anthropology department. In 1991, the Museum's name was changed to the Phoebe A. Hearst Museum of Anthropology to recognize Hearst's crucial role as founder and patron.

1.2 Mission, Purpose, and Vision

Mission Statement

To steward a vast collection of objects spanning the infinite breadth of human cultures for the advancement of knowledge and understanding.

Purpose

The Phoebe A. Hearst Museum of Anthropology at UC Berkeley, serves faculty, students, researchers, descendant communities, and members of the general public. The Museum is committed to collections access, public engagement, and K-12 education through exhibition, programming, publication, digital access, and outreach activities.

Vision

To promote the tools of humanists and social scientists, encouraging people to reflect on alternative perspectives, connect with others, and take action for positive change.

1.3 Other Documents

The Museum will create and maintain additional collection documents and manuals related to the implementation of this Collection Management Policy, including:

Appendix A: Institutional Codes of Ethics

A listing of the Museum's, University, and professional ethics the Museum upholds.

Appendix B: Collections Conservation Plan

Identify, prioritize, and schedule conservation treatment of specific collections objects.

Appendix C: Disaster Preparedness and Salvage Plan 2017

Describes policies and procedures for managing emergencies and disasters

Appendix D: Protocol for the Transfer of Collections to Controlling Agencies

Describes the process by which collections are transferred to controlling agencies

Appendix E: Rights and Duties of Faculty Curators

Appendix F: Guidelines for Repository Collections

Appendix G: Policy, Procedure, and Fee Schedules for Loans

Appendix H: Policy, Procedure, and Fee Schedules for Research

Appendix I: Policy, Procedure, and Fee Schedules for Media Permissions

Appendices Under Development

Collecting Plan

Prioritizes and guides the Museum's collection acquisitions activities.

Collections Procedures Manual

Instructions for registrarial collections care with appendices of all approved legal documents and task records.

Collection Stewardship Assessment

A wayfinding guide and overview of the Museum's collections since its founding in 1901.

Digital Documentation Policy

2. DEFINITIONS

2.1 Title and Ownership

The Museum is a Research Unit of UC Berkeley, which is governed by the UC Board of Regents, a state governmental entity. The State of California and the UC Regents hold legal title to the collections housed at the Museum, unless they are held under an agreement, have been approved for repatriation or disposition under the Native American Graves Protection and Repatriation Act (NAGPRA), or are Objects in Custody, as defined in section 2.3.6. While title is held by the UC Regents, delegated authority to act on these collections is held by the Museum.

The title to any materials managed by the Museum on behalf of a governmental entity or agency shall remain with the government or agency of origin, unless mutually agreed upon by contract. Such materials will be managed in accordance with all applicable law, regulations, and procedures.

2.2 Repository Agreements

The Museum may enter into repository agreements with federal agencies and other public or private entities to manage collections, under the following conditions:

- The collection must accord with the Museum's mission and purpose as defined in section 1.2.
- The contract or agreement must be accompanied by adequate financial resources or a plan to acquire financial resources for collection processing, management, care, and access.
- All parties agree on the procedures governing the management, care, access, and use of the collections.

2.3 Scope of the Collections

The collections include any objects or items in which legal title resides with the Museum and for objects which the Museum is trusted to care for under agreement, as defined in section 2.1.

The Museum's collections began with Phoebe A. Hearst's original donations. These collections focused on ancient Egypt and Peru, Classical Greece and Rome, East Asia, Mexico and Guatemala, and Native California. The collections have grown to almost four million pieces represented by approximately 650,000 Museum numbers, and are encyclopedic in scope. Objects range from ethnological objects (including major basket and textile collections) to archaeological materials (including both cultural and biological materials from nearly two million years ago to the recent historical past) to documentary materials (audiovisual media including photographs, motion pictures, and audio recordings).

2.3.1 Permanent Collection

The Permanent Collection consists of ethnological objects, archaeological objects, human remains, and audiovisual media accessioned and cataloged by the Museum. Both original media and their surrogates (copies or components of the original) are managed and cared for under the same principles as the Permanent Collection. In addition to original objects, the Permanent Collection contains archaeological casts of originals and ethnological reproductions that are historic objects within themselves.

2.3.2 Repository Collection

The Museum curates archaeological collections from state, federal, and tribal lands for research, exhibit, and instruction. The Museum makes a commitment to ensure the safe storage and availability for study of collections deposited at the Museum for permanent curation in accordance with 36 CFR Part 79 – Curation of Federally Owned and Administered Archaeological Collections. The Museum accepts only collections associated with sufficient documentation, as assessed through the Museum's accession process. Documentation may include archival copies of research, field records, photographs, maps, drawings, reports, correspondence, contracts, catalogs, and any other documentation that describes how the materials were collected.

2.3.3 Supporting Collections: Archive and Document Collection; and Library Collection

The Archive and Document Collection is comprised of documents and records from the Museum, researchers, private individuals, businesses, and organizations, including but not limited to photographs, audiovisual media, manuscripts, field notes, maps, books, ephemera, and digital documentation. Previously, the Museum's photographer created images of Permanent Collection objects that were cataloged. These photographs became a collection-supporting asset which is now contained within the Museum's Archive Collection. The University Archives held

at the Bancroft Library also preserves an archival collection relating to the Museum collections and history.

The Museum's Library Collection is a non-circulating reference collection containing books, catalogs, and other published and unpublished research that directly supports the Permanent Collection and the work of the Museum to achieve its mission.

2.3.4 Educational Outreach Collection

The Educational Outreach Collection (EOC) contains non-accessioned, non-cataloged objects that directly support the educational activities and programs of the Museum by contributing to the understanding and appreciation of the Permanent Collection. The EOC must meet the same ethical and legal criteria as the Museum's Permanent Collection. Further, the EOC is inventoried, numbered, and managed by the Education and Interpretation Division of the Museum.

2.3.5 Found in Collections Objects

Found In Collections (FIC) objects can be similar in type and quality to the Permanent Collection, but are found in collections storage areas with no museum number, nor any obvious characteristics associating them to any original documentation. FIC objects are tracked in the collections management system with a temporary number, but are not known to be accessioned or cataloged. These objects are under the Museum's care and may be an object from an old loan, abandoned property, or an object from the Permanent Collection that has lost its museum number.

2.3.6 Objects in Custody

Objects in Custody refer to incoming objects on temporary deposit with the Museum, for examination, research, or potential acquisition. Objects in Custody are not encouraged and can only be authorized by the Director. Examination and research will be expeditiously accomplished. Likewise, decisions to accept gifts are expected to occur in a timely and professional manner. Objects in the process of being accessioned, awaiting disposition or repatriation under NAGPRA, or loan are not considered Objects in Custody. All Objects in Custody are documented and cared for according to standard practice. All Objects in Custody are accompanied by an Incoming Receipt.

3. ROLES AND GOVERNANCE

3.1 Campus Authority

3.1.1 University of California Board of Regents

The State of California and the UC Regents hold title to the collections.

3.1.2 Vice Chancellor for Research

The Museum is a UC Berkeley Research Unit, situated in the administrative category of “Museums and Field Stations.” The Museum Director reports to the Vice Chancellor for Research Office (VCRO). The VCRO delegates certain authorities to the Museum’s Director to manage the collections; agree to loans; carry out accessions, and deaccessions.

3.1.3 Campus Native American Graves Protection and Repatriation Act (NAGPRA) Committee

The Campus NAGPRA Committee was formed in 2008 as a campus-level advisory committee, reflecting expertise pertinent to Native Americans, NAGPRA, and the relevant natural and social sciences across campus. Per the UC Office of the President’s (UCOP) Policy and Procedures on Curation and Repatriation of Human Remains and Cultural Items,¹ this committee reviews and makes recommendations on requests relating to repatriation and inventory reclassification as they are received by the Museum, and within the time periods specified by NAGPRA. Recommendations from the Campus NAGPRA Committee are reported to the Campus’s NAGPRA Official, who makes the campus-level determination. If a decision is made to recommend the repatriation or transfer of material under NAGPRA, this recommendation is transmitted to the systemwide Office of the Vice President of Research along with any additional comment that the Campus’s NAGPRA Official wishes, for referral to the University of California system-wide NAGPRA Advisory Committee and an ultimate decision by the UC President or designee.

3.2 Director, Staff, and Volunteers

In all respects, the Museum’s authority resides with the Director. Under the direction of the Vice Chancellor for Research, the Director has authority and responsibility to ensure that the collections are managed and cared for in accord with the highest professional standards, applicable laws, statutes, regulations, and contractual terms and conditions.

The Collections and Registration Staff manage and care for the collections on a daily basis. All Staff who work with collections shall conduct their work in accordance with this *Collections Management Policy* and the *Collections Procedure Manual*. Volunteers, students, work study students, and contractors may work under the direct supervision of Collections and Registration Staff to perform specific tasks.

3.3 Council of Faculty Curators

Faculty Curators are UC Berkeley faculty from various disciplines, including but not limited to Departments of Anthropology, History of Art, Classics, Integrative Biology, Linguistics, and Near Eastern Studies. They use their expertise and energies to promote the Museum's mission and goals. Curators document and develop the collections, carry out and encourage research on

¹ See <http://policy.ucop.edu/doc/2500489/HumanCulturalRemains>.

the collections, use and encourage the use of the collections for teaching, and facilitate interpretation and understanding by reaching out to audiences within and beyond the university. The rights and duties of faculty curators are described in Appendix E.

The Director nominates Curators to the Council after consulting with other curators, deans, department chairs, and other campus decision makers.

3.4 Loans and Acquisitions Committee

The Loans and Acquisitions (L&A) Committee is managed by the Head of the Registration Division, and consists of staff members appointed by the Director. The Committee meets regularly to provide advice and guidance to the Director. The Director makes decisions on L&A topics including but not limited to collection reconciliation, loans, accessions, deaccessions, and destructive analyses. In the Director's decision making process, the Council of Faculty Curators are consulted and notified of final decisions.

4. ETHICS

4.1 General

All Museum Staff, Curators, and Volunteers follow the Hearst Museum's Code of Ethics as well as UC and State of California regulations and codes of ethics, including the Conflict of Interest Code. Further, the Museum subscribes to the codes of ethics of the International Council of Museums (ICOM), the American Alliance of Museums (AAM), and other appropriate standards and codes of ethics and performance established by professional disciplines and sub-disciplines.

The Museum's research, acquisition, deaccession, 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.

4.2 Laws and Permit Compliance

The Museum complies with all relevant legal instruments and laws. 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 discovered in, the museum's physical custody.

4.3 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 any objects acquired 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.

4.4 Cultural Sensitivities and Traditional Care

The Museum will seek to mitigate--wherever practicable, and in line with the Museum's mission and governing principles--all conflicts between standard museum practice and the specific sensitivities and cultural needs of descendant communities. Under the general term of "traditional care," these strategies may include, but are not limited to, specific storage arrangements, posted advisories, and community access for cultural use. The Native American Advisory Council (NAAC), the Council of Faculty Curators, Cultural Policy & Repatriation, and Collections Divisions will be consulted in the development of traditional care procedures.

4.5 Personal Collecting

Upon entering 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. Any individual who purchases an item for a personal collection should provide the Museum the opportunity to purchase the item at the documented original purchase price. Except as specifically authorized by the Director, no employee or volunteer will represent the Museum in negotiating or purchasing collections on behalf of the Museum.

4.6 Personal Gain, Use, and Disposition of the Permanent Collection

Museum Staff, Curators, researchers, and other associates must never abuse their Museum affiliation. 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 used for exhibition and/or research, and only when approved by the Director and handled as an incoming loan.

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

5. ACQUISITIONS

5.1 Authority

The authority to accept and acquire objects for the Museum collections rests solely with the Director. No employee, volunteer, public body, official, or advisory member other than the Director may obligate the Museum to acquire an item for the collections. Normally, prior advice is sought from the Loans and Acquisitions (L&A) Committee and the Council of Curators for the acquisition of any object that falls within or outside the Purpose and Criteria as defined herein.

With the Director's approval, the L&A may refer such items to other more appropriate museums or institutions.

5.2 Criteria

L&A shall use the following criteria in considering collection acquisitions for the Permanent Collection.

- The object is relevant to the collection and the Museum's mission and purpose.
- The object is unique in a collecting area and would thereby enhance the existing collection.
- The object fills a specific need within a collection or opens a new collection area consistent with the Museum's goals.
- The Museum can shoulder its burden of proof that the object's provenance aligns with relevant legal instruments and best practices for acquisition. Considerations include, but are not limited to, whether an object was licitly collected and--where applicable--licitly exported from its country of origin and licitly imported into the United States.
- 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 an outright and not a fractional gift.
- The object will be treated 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.

5.3 Special Circumstances

Whole Collections

Whole collections which 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.

Promised Gifts

If a collection or object is offered as a promised gift or bequest to the Museum, it should be presented to the L&A 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 Director's acceptance is documented in writing.

Bequests without prior acceptance are at the Director's discretion to accept into the Permanent Collection or Educational Outreach Collection, or to refuse outright.

Illegally Collected Materials

In line with codes of best practice, 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 objects 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.

5.4 Means of Acquisition

The Museum is not required to accept any collections, whether or not they meet Its Mission. Objects may be added to the collections by means of gifts, bequests, purchases, transfers, exchanges, or fieldwork acquisitions. All specimens obtained through field collection shall be accompanied by all appropriate permits, letters of consent from property owners, and necessary documentation to establish that materials were collected in accord with local, state, federal, and international law.

5.5 Title and Right

Full title and all rights shall be transferred free and clear, with no restrictions or preconditions prior or at the time of pick up. The Museum will request documentation and transfer of intellectual property rights, if applicable.

Obtaining clear title to items previously accessioned into the collections but not documented may be done through any legal means, such as abandonment, a contractual reversionary clause, or application of the State of California's Unclaimed Loan law California Civil Code Section §1899 et seq.

5.6 Appraisal, Monetary Value, and Internal Revenue Service Compliance

The Staff will not provide collection donors with monetary appraisals for objects. Staff may assist the donor by providing a link to National Appraiser Registries. Appraisals or valuation for tax deduction purposes are the responsibility of the donor and those costs are 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 insurance purposes only and are not offered to donors.

5.7 Registration and Cataloging

To limit its liability, the Museum strongly discourages the physical receipt of objects prior to acceptance into the Permanent Collection. In the event the potential acquisition must be brought into the Museum, Registration staff will establish with the donor an agreed upon time limitation

for Museum consideration. Once accepted, Museum procedures assure prompt recording and full accounting of all accessioned objects by the Registration division.

6. DEACCESSION

6.1 Definition and Purpose

Deaccessioning is the process of legally and permanently removing an object from the Museum's Permanent Collection 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 *Code of Ethics*, the Museum agrees that "...there must always be a strong presumption against the disposal of objects or specimens to which a museum has assumed formal title." Collections shall not be deaccessioned or disposed of in order to provide financial support for institutional operations, facilities maintenance, or any reason other than the preservation of--or acquisitions to--the Permanent Collection.

6.2 Criteria

One or more of the following criteria must be met for deaccession to occur:

- The object is not relevant to the Museum's mission.
- The object does not contribute to the Museum's research, exhibition, teaching, and/or outreach priorities.
- The physical integrity of the object is compromised, and conservation is not possible or practicable.
- The object is not of museum quality, within the broad definition appropriate for a research anthropology museum.
- The object is the subject of an approved repatriation claim under NAGPRA.
- For objects for which NAGPRA's articulated review procedures do not apply, that the Museum cannot meet its burden of proof that the object was licitly collected, that its chain of custody involved only licit transfers, and--if applicable--that it was exported licitly from its country of origin and licitly imported into the United States.
- The object was accessioned in error.
- The object is abandoned property.
- Destructive analysis has resulted in severe damage or destruction of the object.

6.3 Restrictions and Title Clearance

All deaccessions must comply with ethical standards and pertinent laws and regulations. Adhering to the 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 Collection.

In instances where title is not clear or is incomplete, the Museum can execute a quitclaim deed transferring title to a second party, who bears the burden of resolving any title claims that exist.

6.4 Authority and Procedure

The Director, Loans and Acquisitions (L&A) Committee, or a Faculty Curator with appropriate knowledge may recommend deaccessioning of an object if one or more of the criteria in 6.2 of this policy are met. Requests to deaccession objects or collections are submitted in writing to the Director, in care of the L&A Committee. Requests must include:

1. A statement of the rationale for deaccessioning each item or collection.
2. The proposed disposal method.
3. The proposed recipient in the case of transfer or exchange.
4. The proposed use of any funds generated.

The proposed deaccession will be reviewed by the Director, L&A Committee, the appropriate Faculty Curator(s), and other Staff appointed by the Director; including but not limited to Research, Collections, Registration, and Cultural Policy & Repatriation Staff. The Director 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 Director of opinions from qualified professional colleagues or consultants with appropriate expertise. The Director should also seek the advice of the University authorities (such as the Vice Chancellor for Research, Office of Legal Affairs, etc.) in conducting the review.

If the Director denies the proposed deaccession, no further action is taken on the proposal. If the director approves the proposal, the director will forward the deaccession recommendation and a description of the proposed means of disposal to the Vice Chancellor for Research (VCR).

6.5 Stakeholders

Deaccessioning is a highly visible action, subject to public scrutiny, and therefore must be done with great care and consideration. In serving the long-term, best interests of the collections--as well as Museum, University, and the faculty, student, and public constituencies--a stakeholder communication plan can be prepared as a part of the deaccessioning process if the Director deems necessary.

6.6 Disposition - Disposal Methods

Objects approved for deaccessioning may be disposed by transfer, sale, or destruction.

- Transfer

Transfer of ownership to another Museum Division, University department, or institution is the preferred method of disposal. Consideration is given first to placement within the Museum's

Educational Outreach Collection; thereafter within UC Berkeley, the University of California system, or with other museums or allied non-profit institutions, in that order.

If the deaccession is part of a NAGPRA action, the process follows UC Berkeley and UC System guidelines as well as the federal statute and regulations.

NAGPRA repatriation deaccessions involving Collections under the NAGPRA-defined “possession” and “control” of a state or federal agency are the responsibility of that agency.

- **Sale**

Deaccessioned items may be sold only through advertised public auction, including internet-based auction services. Sale is contemplated only when, after exhaustive review, all other methods of deaccession are deemed impossible.

- **Destruction**

Destruction of an object might be necessary in the case of severe deterioration or hazard. Destruction is to be documented and witnessed by an impartial observer. Objects may not be kept by Staff members, Faculty Curators or given to others.

6.7 Records

Deaccessioned object records, accession, registration, and catalog numbers are retained as a part of the Permanent Collection record.

When a deaccessioned item is recorded as a gift from an identified donor, a subsequent new acquisition purchase using the proceeds from that sale will be noted in the credit line.

7. LOANS

All loans are temporary physical transfers of specimens or objects for exhibition, research, and/or educational use, for a finite period of time, between peer institutions, without transfer of ownership. Incoming and outgoing loans are undertaken under the terms of contractual agreements that specify loan terms, dates, conditions, and responsibilities.

7.1 Authority

The Loans and Acquisitions Committee reviews and makes recommendations to the Director on all loan requests. The Director consults with relevant Faculty Curators and has approval authority over all loan agreements. Registration oversees all loan paperwork and logistics, and works closely with the appropriate Staff members to realize the loan.

7.2 Incoming Loans

7.2.1 Purpose

The Museum may accept objects on loan from other institutions or individuals, for purposes of research, instruction, or exhibition, contingent on the Director's approval. All loaned objects must meet the Museum's own ethical guidelines concerning licit collection, chain of custody, import and export.

Objects loaned to the Museum will be treated with the same high standard of care as the Museum's Permanent Collection. In cases of disaster, incoming loaned objects are given priority.

7.2.2 Packing and Transit

Packing and shipment of loaned objects must be in accordance with professional standards. All couriers will follow the *Code of Practice for Couriering Museum Objects* (1998).

7.2.3 Insurance

The University will insure the borrowed objects and issue a Certificate of Insurance upon request.

7.2.4 Long Term Loans

The Museum will avoid incoming long-term or permanent loans of indefinite duration with the exception of collections placed on deposit via curation or repository agreements. The Museum will attempt to convert any long-term loans into unrestricted gifts to the Permanent Collection. The Director can negotiate and formalize long-term loan agreements with partners on the UC Berkeley campus.

7.2.5 Unclaimed Loans/Abandoned Property

As pursuant with California Civil Code § 1899 et seq., abandoned loans will convert into an unrestricted gift to the Museum and may be accessioned as such or disposed of by any means.

7.2.6 Limitations

Incoming loans terminate on the date specified on the Incoming Loan Agreement and shall be for a reasonable period of time, not to exceed three years.

7.3 Outgoing Loans

7.3.1 Conditions

Loan requests to borrow objects from the Museum are made in writing at least six months in advance and must demonstrate appropriate institutional approval for receiving the loan, such as a facility report. 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 express written permission of the Museum.

Every effort will be made to grant loans of objects to Tribes and descendant communities for exhibition, research, or ceremonial events if the object is determined to be safe to travel and to be used in the manner requested within the desired timeframe. Couriered by Museum or working directly with the Tribe, Collections, Conservation, Registration, and Cultural Policy Staff work together to ensure/realize the loan.

Research loans are only made to institutions and not to individuals affiliated with those institutions. Researchers are encouraged to use the Museum's facilities for access and investigation of the collections. In both cases, the researcher is asked to demonstrate the research significance of the request. For Cultural Resource Management (CRM) firms or independent researcher loan requests, after the Loans and Acquisitions Committee has recommended the loan, and the Director approved it, a tenured UC Berkeley Faculty Curator must approve the loan. The loan will be made out to the sponsoring Faculty Curator.

7.3.2 Criteria

Loans will only be released after receiving the Museum's completed Outgoing Loan Agreement and a Certificate of Insurance from the borrower naming the UC Regents as "Additionally Insured" and waiving subrogation rights. Additionally, all related expenses must be paid. Certain collections or objects may not be available for loan for various reasons, including but not limited to the following:

- There is ongoing research involving the object(s);
- The object cannot withstand the rigors of packing and transport;
- The objects have been approved for repatriation under NAGPRA;
- The object has great value or importance to the Museum.

7.3.3 Limitations

The borrower is responsible for obtaining the express written permission from the Tribe for objects that have been culturally affiliated under NAGPRA. Objects subject to repository agreements must also be approved for loan in writing by the owner, unless otherwise specified in the agreement.

Limitations printed on the Outgoing Loan Agreement can include a limit or restriction on:

- Photography of the object;
- Use of images;
- Casting or reproduction;
- Alteration to the object, like restoration, removing matrix, or changing installation mounts.

7.3.4 Insurance

Unless otherwise agreed, the borrower is responsible for the cost of insuring all borrowed objects and materials from the time they leave the Museum to the time they are returned (i.e., nail-to-nail.) Coverage will 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 "Regents of the University of California" as additional insured and will waive subrogation rights. Prior to releasing objects for loan, the Museum must receive a Certificate of Insurance from the borrower. 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 Museum's Outgoing Loan Agreement.

7.3.5 Duration

Loans for a single exhibition may be up to one year in duration, with the possibility of renewal for a variable term, reviewed on an annual basis and subject to annual renewal fees.

Loans for research are permissible to accredited universities and institutions for up to six months in duration, with consideration of annual renewal subject to annual renewal fees.

8. COLLECTIONS RECORDS

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

8.1 Responsibilities

All Museum Divisions are responsible for the input and maintenance of collections information in the Museum's Collection Management System (CMS), *CollectionSpace (CSpace)*. Specifically, all Divisions are responsible for updating existing descriptive metadata based on object or document review, as well as tracking and updating object locations. The Registration Division is directly responsible for the creation, management, access, and preservation of the first source original and other supporting collections documentation. Additionally, Registration Staff create catalog, valuation, condition, and supporting descriptive metadata for the CMS upon accessioning and cataloging items into the Permanent Collection. Further, Registration creates loan and object exit records for objects. Cultural Policy & Repatriation Staff also create object exit records for repatriated objects and objects transferred to state and federal agencies. The Research & Information Division oversees the Museum's CMS, as described in section 8.3, below.

8.2 Documents

Paper trails are an integral part of the collections records and will be maintained in a stable and secure environment with controlled access as per policy below.

8.3 Information Management Records

The Museum's Collection Management System (CMS) or database records and maintains information about objects in the Museum's collections, including provenance, use, location, condition, accession status, descriptive attributes, and valuation. In addition to the details of objects in the collections, the CMS is the Museum's database of record for information about accessions, claims, conservation treatments, exhibitions, loans, and deaccessions. A select subset of non-sensitive information recorded is shared online with the public via collections portals.

The Research & Information Division develops, maintains, and enforces data quality standards, and performs data quality checks to ensure adherence to these standards. Research & Information is also responsible for database access requests.

9. COLLECTIONS CARE

The care and preservation of the collections is the responsibility of the entire Museum, including all Museum Staff, Faculty Curators, and associates. The Collections Division, consisting of Conservators and Collection Managers, provides guidance on collections storage and use in order to protect the collections and ensure their future research, exhibition, and teaching/outreach potential. Some of the principal duties of the Collections Division include arranging for appropriate storage conditions for the collections, conducting conservation assessment and treatment as necessary, and overseeing the use and handling of collections by researchers, students, and others. Together with Registration and Research & Information Divisions, Collections Staff ensures that all information concerning the collections are maintained systematically and preserved in a secure fashion, both physically and digitally.

9.1 Security

The Collections Division oversees the localized locking and securing of collections storage. The Exhibition Staff assures the security of objects on display. Museum security is managed by the Office of the Director and supported by the University Police Department.

9.2 Storage

The Museum collections are stored in two facilities; Kroeber Hall on the UC Berkeley campus and the Regatta Collections and Archives Center in Richmond. All objects shall be stored safely and securely, with adequate seismic security measures.

9.3 Transit

The Museum van is used to transport the Permanent Collection for museum business including loan, conservation, scanning services, and relocation from one Museum facility to another. Only approved Staff members can drive the van, and are subject to University fleet policy. Two people will escort all object movement via van or personal vehicle. While not encouraged, the use of

personal vehicles for transport of Museum collections is subject to the University's vehicle insurance policy.

9.4 Conservation

In accordance with the Code of Ethics and Guidelines for Practice of the American Institute for Conservation of Historic and Artistic Works, the Museum's Conservation Staff are responsible for the assessment, stabilization, and treatment of the Museum's collections. This includes the examination, documentation, analysis, and/or conservation treatment of individual objects or groups of objects. The selection of projects reflects Museum priorities, and is made by the Director with guidance from Museum Staff and Faculty Curators.

Upon request, Conservation Staff provides any available conservation treatment reports to the Registration Division for its use in condition reporting outgoing loans. The Conservator will directly notify the Collections Managers and the Registration Division with information about objects undergoing conservation research or treatment. Conservation Staff will update the Museum's Collection Management System with any treatment information or condition changes in the appropriate fields. The Conservator collaborates with the Registration Division on Facilities Reports. The Conservator specifies environmental conditions, mounting, handling, packing and transport conditions for loans and exhibits.

The Conservator also conducts, supervises, or advises about mounts and object handling, as well as packing, crating, and transport. Museum Conservators may act as couriers along with Staff from Collection Management, Registration, and Cultural Policy Divisions, the Director, and the Faculty Curators.

Conservation Staff is responsible for the assessment and possible treatment of objects when they are damaged. Damage reports are filed with Conservation, having been filled out by the person who noticed or caused the damage to the object, whether a Museum Staff member, a volunteer, a visitor, etc.

Museum Conservators provide expertise about collections storage and exhibition conditions, particularly with regard to reducing risks from agents of deterioration. Conservation Staff undertakes specialized collections-based preventive conservation improvement projects.

Ideally, Conservation Staff will perform or supervise the sampling of objects for the purpose of destructive analysis..

9.5 Preservation, Restoration, and Housekeeping

Collections Staff works with UC Berkeley physical plant engineers and specialists (as well as with Capital Projects Staff, in some cases) to establish and track the optimum fire suppression,

air quality, and heating, ventilation, and air conditioning (HVAC) standards and temperature and relative humidity (RH) priorities for the collections.

As funding allows, the equipment required to maintain optimum conditions will be installed throughout the Museum. Temperature and relative humidity is monitored by data loggers in all major collections holding areas. It is the goal to have all collections and archives stored in areas with functional drainage systems with well maintained weatherproofing and secured pipes. 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. Storage areas are kept neat and orderly, and are subject to periodic cleaning. Shared work areas (e.g., study areas located within the collections facilities) are to be kept clean. Objects are to be stored away from direct sunlight and vents. UV filters and protection will be used as necessary.

Should problems occur (e.g. HVAC system malfunctions, problematic temperature/RH readings, flooding), the designated facilities management team will immediately notify the Collections Division. An appropriate Staff member is responsible for working with UC Berkeley to repair the problem and determining action to protect the collections.

Collections areas are monitored for pests through an Integrated Pest Management (IPM) program, overseen by the Conservator. If an object is found to be infested, it will be isolated and subjected to freezing or to anoxic treatment. Records of any pest mitigation efforts are maintained by the Collections Division. Basic tenets of IPM include the following:

- Live plants or animals and food and beverage storage and consumption are not permitted in the collections or exhibition areas.
- Areas where food and beverages are consumed will be cleaned immediately, particularly following special events.
- 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.
- Traps are used as part of a strategy to monitor for the presence of pests, with traps checked and maintained by the Conservator.

9.6 Inventories

Inventory procedures adhere to AAM standards. As directed by the Director, and as Staff time and circumstances allow, Registration will organize and conduct full inventories of storage locations not recently inventoried. As resources allow, Registration will oversee spot checks of randomly selected objects and/or locations on a biennial basis, or annually as dictated by University audit.

9.7 Traditional Care

The Museum recognizes and respects cultural guidelines surrounding the treatment of human remains and cultural objects. These “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. 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--described above--and their documentation. Requests should be sent to the Museum's Head of Cultural Policy and Repatriation, and will be considered on a case-by-case basis by the Director, with the input of Faculty Curators and Museum Staff members, as appropriate. All implemented traditional care practices are to be recorded and added to the relevant object records.

10. RISK MANAGEMENT

10.1 Insurance

The University of California Office of the President (UCOP), Office of Risk Services negotiates fine arts insurance system-wide with a carrier they have selected. Comprehensive fine arts insurance under UCOP *Property, Fine Arts, Library Materials, and Boiler and Machinery Coverage* 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. It is a policy of The Regents not to purchase earthquake or flood insurance. The Campus Risk Manager must be consulted if a sponsor requires such coverage.

10.2 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 may estimate insurance values for loans or other internal uses and should document the sources of these estimates as indicated in Section 5.6.

10.3 Audits

The University’s Audit and Advisory Services conducts audits on the Museum’s collections management, registration, and collection documentation procedures.

The Museum does not support the capitalization or use of collections as collateral for financial loans. The AAM's 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.

11. ACCESS

11.1 Access

All Staff members must model appropriate collections care and object handling procedures when working directly with collections and documentation. Facility access is limited to work hours as determined by the Museum's Office of the Director. After-hours access is prohibited without the approval of the Director. Most exceptions will occur during scheduled after-hours events and programs.

11.1.1 Staff and Faculty Curators

The Director, Staff, and Faculty Curators have access to collections areas. Faculty Curators may call on Staff for access assistance at their discretion.

11.1.2 Researchers and Students

Researchers, volunteers, interns, and work-study students may be granted access and monitored by Museum Staff, given the below criteria are met. All visitors must complete a "Visitor Information Form," which is kept on file in the Office of the Director. All visitors must wear the appropriate color-coded badge as assigned by the Museum.

Access to the collections is contingent upon approval by the Director based on the particular research project, and is considered on a case-by-case basis. Requests must be submitted through the Collections Research Access form. The request must outline the project's research objectives and its relationship to Museum collections, and must include a list of objects to be examined. Student researchers must submit a letter of support from a faculty sponsor. Unaffiliated researchers must submit a Curriculum Vita. The document, "Collections and Document Access Fees," describes access fees. Documentation provided by researchers will be kept physically on file in the Registration Division. Digital documentation is managed by the Research and Information System Division.

The Director reserves the right to refuse or withdraw access for individuals who do not follow Museum procedures, including object handling protocols and established security methods.

Once the Director has granted approval, the Collections Division and Faculty Curators will facilitate access to particular collections, by appointment. A Museum Staff member must be present at all times; at no time may a visitor be unsupervised. Visitors are not to be given keys or unsupervised access to collection areas. All visitors must follow all procedures outlined by the

Collections Staff, including object handling, safety instructions, and signing in and out for visits. A Visitor Information Form is required.

11.1.3 NAGPRA (Native American Grave Protection and Repatriation Act)

Access to the collections for consultation under NAGPRA is by appointment only and must be scheduled in advance with the Cultural Policy & Repatriation Division. For non-NAGPRA related access to culturally affiliated human remains and associated funerary objects, a requesting researcher must obtain a letter of permission for access from the affiliated tribal chairperson(s) or official designee.

11.1.4 Repository Collection

Access by an agency representative, researcher, or another individual to federal- or state-owned collections falls under the authority of the Museum's North American Collections Manager in concert with the Cultural Policy and Repatriation Division. Unless specifically restricted by repository agreement, access to state- and federally-owned collections is generally allowed under the same considerations as those governing the Museum's Permanent Collections.

Collections on deposit via informal agreement or formal Repository Agreement may have restricted access according to the authority of the owner. Permission for access to these records is granted by application to the Office of the Director on a case-by-case basis. A confidentiality agreement is required.

11.1.5 Destructive Analysis

In its advisory capacity, the L&A Committee 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 or 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.

11.1.6 Public

Members of the public, the press, contractors, inspectors, and others must always sign into collections storage and be escorted by a designated Staff member. Such visits must be scheduled in advance, and are subject to the Director's approval.

11.1.7 Culturally Sensitive Collections

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 research by qualified researchers on any of the collections in its care—unless subject to the University of California policies--the Museum will consider requests to inform researchers of descendant communities' specific cultural and spiritual concerns. To streamline this process, requests will be accepted only from tribal chairpersons, authorized NAGPRA representatives, or individuals at similar level 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 Museum's Head of Cultural Policy and Repatriation.

11.2 Intellectual Property/Collections Registration Documentation

Physical access to registration documentation by Staff--including but not limited to, accession ledgers, accession, loan, exhibit, and archival files--is granted through direct request and notification of Registration. Researchers and non-staff must submit and receive Director approval via The Collections Access Request Form.

11.2.1 Sensitive Documentation

The Museum is also aware that the documentation accompanying its collections exist within a larger context, and that some may be sensitive, requiring special considerations.

11.2.1.1 Archaeological Resource Protection Act

The Museum fully abides by the provisions of the Archaeological Resource Protection Act (ARPA) of 1979. As a manager 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.

11.2.1.2. Culturally Sensitive Documentation

As with the objects in its care, described in section 11.1.7, 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 research by qualified researchers on any Museum-held documentation, the Museum will consider requests to inform researchers of descendant communities' specific cultural and spiritual concerns. To streamline this process, requests will be accepted only from tribal chairpersons, authorized NAGPRA representatives, or individuals at similar level of community authority, and should be accompanied by a brief statement describing concerns related to the documentation in question.

Requests should be sent to the Museum's Head of Cultural Policy and Repatriation, and will be considered on a case-by-case basis by the Museum Director, with the input of Faculty Curators and Museum Staff members, as appropriate.

11.2.2 General Documentation Access Provisions

The Collections Division will notify Registration of approved researchers who in addition to collections access are requesting document access but did not previously make such a request.

If a researcher requires the use of registration records but not the Museum collections, those individuals may contact Registration directly after Director approval. As described above, access to some records are limited or restricted due to the sensitive nature. A confidentiality agreement is required.

All original documents will be reviewed in the Registration office unless otherwise authorized, or as part of a Cultural Policy & Repatriation Division consultation.

Photocopies of original documents created for public research may be checked out by Staff and used within the Museum the same day. All original documents, however, must be reviewed within the Museum premises as overseen by the Registration or Cultural Policy & Repatriation Staff. Ledgers may be used in non-Registration Staff offices for extended research projects with approval from Registration. No collections registration documentation, original or otherwise, may be photocopied or edited without approval from the Head of Registration or in the case of Cultural Policy & Repatriation Division access, the Division Head.

11.3 Reproduction

Researchers may take images for personal use of non-sensitive collection documentation and archive information after completing a Researcher Photography Form. Permission must be obtained for image and information publication.

11.4 Public Records

Catalog cards and basic data on the Permanent Collection are available through the online collections portal. All documents are available to the public. Access to sensitive documents, as described above, requires Director approval. In all such cases, a visitor form and confidentiality agreement is required.