



# Draft Collections Management Plan

Campus Art and Artifacts Collection

Campus Archives Collection

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This policy does not control those objects or art works that are not accessioned into the University's collections.

Detailed administrative information, operating procedures, forms and other resources for administering the collections are included in the UMass Lowell Collections Manual (Collections Manual).

## Table of Contents

1. Mission and Vision Statements.....	2
2. Collection Management Policy Purpose.....	3
3. Governance and Responsibilities.....	4
4. Acquisitions.....	8
5. Accessions.....	10
6. Deaccessions.....	11
7. Loans.....	13
8. Intellectual Property.....	15
9. Collections Care.....	16
10. Collections Access.....	17
11. Ethics.....	17
12. Risk Management.....	19
13. Documentation.....	20
14. Display.....	21
15. Policy Review and Revision.....	21

## 1. MISSION AND VISION STATEMENTS

### 1.1 The University of Massachusetts Mission

The mission of the University of Massachusetts is to provide an affordable and accessible education of high quality and to conduct programs of research and public service that advance knowledge and improve the lives of the people of the Commonwealth, the nation and the world.

### 1.2 The University of Massachusetts Lowell's Commitment to Excellence and the Creation of a Collection Program

The University of Massachusetts Lowell (the "University") is committed to excellence in teaching, research and community engagement. Dedicated to transformational education that fosters student success, lifelong learning and global awareness, UMass Lowell offers affordable, experience-based undergraduate and graduate academic programs taught by internationally recognized faculty who conduct research to expand the horizons of knowledge. The programs span the disciplines of business, education, engineering, fine arts, health, humanities, sciences and social sciences.

In order to support these commitments and continue its growth, the University intends to create a program to manage and expand its ownership and management of the significant art, artifacts and archives it currently owns and is likely to acquire in the future.

### 1.3 Vision Statement

The UMass Lowell Campus Art and Artifacts Collection and UMass Lowell Archives Collection ("the collections") support excellence in teaching, research, and community engagement through the use and display of creative, historic and intellectual materials, including but not limited to: visual and performing arts, design and engineering, literature, culture, innovative emerging technologies, and local community history and international history. Dedicated to the idea that art, artifacts and archival materials can inform and inspire, the collections will provide transformational experiences and access to valuable research materials that foster research, lifelong learning, and global awareness. The collections will enliven the quality of UMass Lowell's physical environment through direct contact for visitors, students, faculty and staff with publicly-sited original works of art and exhibitions.

The collections are held and will be managed by the University to support the goals of the Five Pillars of Excellence:

**Transformational Education:** Bring the collaborative, inspirational and narrative power of art, design, innovation and history to broader segments of the campus and community.

**Global Engagement and Inclusive Culture:** Provide opportunities through the use of art, artifacts and archives to explore other cultures and broaden our sense of community.

**Innovative Research and Entrepreneurship:** Promote UMASS Lowell as a campus that is dedicated to intellectual and creative excellence, and dedicated to promoting inventive and cross-disciplinary endeavors.

**Leverage Our Legacy and Our Place:** Use the tangible mediums of art, culture and history as a stimulus for empowering our sense of identity.

**Entrepreneurial Stewardship in Higher Education:** Celebrate our ongoing role in the economic growth of our community, particularly our legacy of combining artistic, technical, scientific and economic expertise.

## **2. COLLECTIONS MANAGEMENT POLICY PURPOSE**

Looking forward to future increases in the artistic, archival and cultural holdings of the University, the intent of this policy is to establish an administrative and quality control framework for all University collections. Valuable materials have historically been collected, housed and exhibited at the University and its predecessor institutions through a variety of circumstances and under varying curatorial standards. This policy seeks to improve collection management resources and accountability for the manner in which incoming and existing collection material is accumulated, documented and protected across all Departments and Centers at the University of Massachusetts Lowell.

This policy does not regulate the acquisition, use or disposition of objects received by the University that are not intended to be part of the University collections. Existing resources that are not formally accessioned into the University collections will remain under the control of the Departments and Centers that currently manage them. Unless stated otherwise, term “Department” refers in this policy and the related manual to both Departments and other academic Centers at the University.

The purpose of this policy is to:

- Establish core principles, guidelines and procedures for the acquisition, accessioning, documentation, care, preservation, public access, and deaccessioning of items in the collections of the University.
- Provide administrative resources to maintain, manage and display University collections.
- Promote the professional dissemination of diverse intellectual assets to a wide cross-section of the University, its community and institutional peers by making primary source materials available for experiential learning, and interdisciplinary exchange of ideas.

## **3. GOVERNANCE AND RESPONSIBILITIES**

**3.1 Overview:** The University is a public institution, which brings both benefits and responsibilities with respect to acceptance of donations of art, artifacts and archives. Works accepted into the collections have significant value, and the University becomes, in essence, the trustee of these works for future generations. Understanding that accepting art, artifacts and archives brings a commitment to maintain those works in perpetuity, this policy includes:

- An administrative framework for the collections, capable of preparing budget proposals, evaluating staff, operations and facility requirements, and management of Collection procedures and documentation
- Application of museum industry-accepted standards of care and best practices with respect to environmental controls, security and conditions of object maintenance, storage and display.
- Establishment of a Collections Committee, governed by a single Collections Committee Chair.
- Delegation authority to UMass Lowell Departments who hold collections to act as the curators and physical repositories for collections. Departments will collect and deaccession objects and archives in tandem with the Collections Committee.
- Appointment of a Collections Manager, under supervision of a Collections Committee Chair, to serve as program administrator for both the Art and Artifacts Collection and the Archives Collection.
- Coordination with the University Office of Advancement in management of the donation process and reporting requirements for donations to the collections.
- Coordination with University Foundation as well as the UMass Office of Advancement regarding all donations of non-cash and tangible property over \$100,000, all bequests and all endowments.

### **3.2 Governance by the UMASS Lowell Chancellor or Her Assigns:**

The University Art, Artifact and Archives Collection Committee will serve under the direction of the Chancellor or her assigns. Duties include:

- Pursuant to the University's By-Laws, the Chancellor or her assigns will appoint the members of the Committee from within the University community. She may also invite individuals from outside the University who possess expert knowledge in the subject matter, development, care, or management of collections to be members of the Committee.
- Appoint a Collection Chairperson who will report to the Chancellor or her assigns concerning the work of the committee. This may include the administration of the Collections Manager, Collections Database System, and revision of this policy.
- Receive reports and recommendations from the Committee, and oversee the collections Committee through the Collections Chair
- Review and allow or disallow gifts to the University of art, artifacts and archival collections valued at over \$10,000.
- Review and allow or disallow deaccessions from the University collections of art, artifacts and archival collections valued at over \$10,000.
- Review proposals for annual administrative and operational budgets.

- Recommend annual updates to the Collections Management Policy, based on the recommendations of the Collections Chair.
- Recommend annual updates to the University Collections Manual, based on the recommendations of the Collections Chair.

### **3.3 Responsibilities of the Collections Chair**

The Collections Chair will provide overall coordination of procedures and operations of the Collections Committee. These may include administration of the shared Collections Database, collection inventories, joint exhibitions, and reporting to the Chancellor or her assigns. The Collections Chair's duties include:

- Inventory control of the art, artifacts and archives under the program's administration (the Collections Database).
- Supervise a Collections Manager who will have the training and academic background necessary to properly handle art, artifacts, and archives for the University. This individual will act as the program administrator and an assistant to the Chair.
- Submission of Collection-related budgets, proposals and reports to the Chancellor or her assigns.
- Committee schedules, meetings, agendas and reports.

### **3.4 Responsibilities of the Collection Committee**

Responsibilities of the Committee include:

- Recommend items for accession or deaccession from the collections, in consultation with the Departments, when the estimated value of the item(s) from a single source in a single year are less than \$10,000.
- Establish standards of care for the collections as well as develop policies and procedures for the management of the collections by individual University departments.
- Provide direction to the University as to the most appropriate evaluation protocol for art works, artifacts and archival materials offered as gifts.
- Establish qualitative criteria with respect to works to be accessioned into the collections.
- Establish criteria for deaccessions from the collections.
- Establish deadlines by which proposals for acquisitions for collection items by departments are submitted, with consideration given to accommodating preparation of tax receipts.
- Work with University faculty, staff, and development officers to ensure that the University Collections Management Policy is communicated to and understood by University departments and potential donors.
- Coordinate with Facilities Management to identify spaces, furnishings and equipment appropriate for receiving, storing, processing, displaying and exhibiting University collections.
- Maintain a complete database of all items in the collections (the Collections Database).
- Coordinate an Annual Departmental Review of collections.

- Coordinate acquisition, content, quality, placement and logistics for the collections intended for use in public display on campus.
- Establish time limits, when appropriate, for the public display of collection items.
- Develop, maintain and annually review the collection management policies, Collections Manual and documents.
- Review the standards of care provided by Departments which hold collections.

### **3.5 Responsibilities of the Collections Manager**

The Collections Manager will be responsible for administrative support to the Collections Chair and for implementing and actively maintaining the Collections Database, duties of this position include:

- Administrative control of the Collections Database.
- Verify the Collections Database includes accurate information pertaining to history, provenance, location and condition of collection objects. The Collections Database may be in the form of an electronic database which includes data on the objects, and should, where possible, include photographs for identification purposes.
- Provide documentation relating to the acceptance and transfer of title of works for accession or deaccession in accordance with generally accepted museum and archives industry standards.
- Training and communication of use of forms and procedures included in the Collections Manual.
- Coordinate and assist in repairs, conservation and movement of Collection material
- Other duties of the Collections Manager may be established by the Collections Chair.

### **3.6 Responsibilities of Departments**

Individual Departments who hold collections will be tasked with coordinating relevant acquisitions through University Advancement, administering the standards of care set forth by the Committee in the Collections Management Policy and Collections Manual, and providing timely data on the collections to be entered into the Collections Database.

Departments will report annually to the Committee on the status of the collections they hold. Data to be reported includes acquisitions and deaccessions, major changes in storage or management, exhibit plans, collection risks, publications and research pertaining to collections. A sample Annual Department Report on collections is contained in the Collections Manual.

University Departments will develop and maintain a Scope of Collections Statement for each of the collections they administer.

Departments will also:

- Identify personnel responsible for the administration and maintenance of each collection.
- Develop budgets for the care of the collections.

- Identify spaces for collections to be stored and exhibited, with the assistance of the Department of Facilities Management, that are consistent with the guidelines set forth in the Collections Management Policy and related Collections Manual
- Assure that the collections are inventoried and the items are listed correctly in the Collections Database which is established by the Collections Committee. Departments will provide the Collections Manager with the information necessary to catalogue accessions in the Collections Database.
- Conduct an Annual Departmental Review of Collections.

#### **4. ACQUISITIONS**

##### **4.1 Acquisition**

An acquisition is the formal transfer of ownership to the University of property (i.e. title), accompanied by proper legal documentation. The title of an object transfers legally to the University when three conditions are met: the intent and right of a person or entity to donate, the object is transferred physically to the University, and the University formally accepts the donation.

The University may acquire art, artifacts or archives (property) by purchase, gift, donation, bequest, or exchange. The University requires that donors sign the University Deed of Gift document, in order to transfer title.

Once an object or archival collection is acquired, the University will accession the Collection item(s). Section 5 below provides information on the accession process.

##### **4.2 UMASS Lowell Gift Acceptance Policy**

The University of Massachusetts Gift Acceptance Policy governs donation policies and procedures related to the solicitation, recording, and acceptance of gifts including art, artifacts and archival material. See the Collections Manual for a full text of the University Gift Acceptance Policy. The UMass Lowell Gift Acceptance Policy is a working document that will be updated periodically as policies are revised by the University.

The University Collections Committee will act as consultant to individual academic departments and University Advancement, which administers the Gift Acceptance Policy, to evaluate potential gifts, and to determine whether gifts will be accessioned into a University Collection, either wholly or in part.

##### **4.3 Acquisition Recommendations**

Departments may recommend accessions to the Collection Committee. Forms necessary for making recommendations for acquisitions are located in the Collections Manual.

##### **4.4 Conditions Attached to Gifts**



Conditions placed on the acquisition of items entering the Collections are to be avoided to the extent possible. Any conditions which would prevent effective research, examination, normal exhibition, use, loan or disposal, or any conditions that would require display or other commitments which may in future be contrary to best practices or economic judgment should not be part of discussions or agreements to accept Collection objects by the University. Proposed conditions are reviewed by the Collections Committee and University Advancement at the time the acquisition is accepted and should only be allowed in extreme circumstances.

#### 4.5 Guidelines for Accessioning Acquisitions into University Collections

The University should accession a work only if it has, or may reasonably anticipate, adequate resources to document, research, exhibit, store, conserve, display and/or interpret the item(s) in accordance with accepted professional standards established by the American Association of Museums or the Society of American Archivists. Recommendations for acquisitions to the collections by purchase, gift, bequest, or other means will be based upon the following criteria:

- **Relevance:** Relevance to the existing collections and relevance to the teaching/research components of the academic mission of the University.
- **Significance:** Aesthetic or historical significance of the item and its usefulness for exhibition, teaching, or scholarly study.
- **Provenance:** The work of art or artifact has a lineage of ownership and confirmed history which allows it to be authenticated.
- **Condition and Quality:** The work of art, artifact, or documents is in good condition and of high quality. If it is not, establish a plan and budget for conservation before the acquisition is made.
- **Title:** University Advancement will verify that a donor has an unencumbered and clear legal title and has signed a deed of gift transferring exclusive title to the University, and in the case of a bequest, the donor's estate has clear title. Transfer of ownership documentation, including gift agreements and other information supporting the University's legal title shall be maintained in the Collections Database Object Files by the Collections Manager.
- **Duplication and Relationship to Existing Collection Components:** Potential acquisitions should be evaluated to determine whether or not the University already owns sufficient examples or better examples of the type work or from the same stylistic period or cultural area, or whether the object or documents complement and reinforce existing strengths or themes without duplicating existing items in the collections.
- **Adequate Financial Support:** At the advice of the Collections Committee, adequate funding for maintenance, conservation, storage, installation, display, or expenses related to a donation to the collections may be requested of the donor, or other UMass Lowell funding source identified as a condition of acceptance of the gift.
- **Restrictions:** Proposed acquisitions are free of donor-imposed restrictions unless such restrictions are reviewed by the collections Committee and accepted by the Chancellor or her assigns. See Section 4.3 of this policy, Conditions Attached to Gifts.

## **5. Accessions**

### **5.1 Accession Definition**

Accessioning is the process of formally adding objects to the permanent collections of the University. Accessioning creates a permanent record of an object, assemblage, or lot received from one source at one time for which the University has custody, right and title, and assigning a unique control number to said object, assembly, or lot. (Note: Some institutions use the term 'cataloguing' for this, effectively a synonym of this definition.) Therefore, in cases in which objects are acquired, but not intended to become or remain part of a collection, they should not be accessioned. Accessioning implies a permanency in the artifact's usage and care. Upon accessioning, the University assumes full obligation for the proper care and management of that object until such time as it is deaccessioned according to the guidelines established by the procedures set forth in the Collections Manual.

This policy relates specifically to items which will be accessioned into University collections. Items donated but not accessioned remain under management of the guidelines of the University's Office of Advancement, remain part of the University's property or be disposed of to benefit the University, and are not governed by this policy.

### **5.2 Accession Documentation**

In order for a work of art, artifact, or archival material to be accessioned into the collections, the Collection Committee must ensure that each item has proper documentation of ownership and title. Title refers to not only physical possession of the object, but also control of use of the item, including copyright. For more information concerning the use of art, artifacts and archives see the Section 8: Intellectual Property. An object will be considered fully accessioned when the following steps have been completed:

- Completed and signed gift agreement
- Bill of sale, provenance record or other proof of ownership obtained
- Completed condition report
- Completed accession record
- Entry into the collections management database (the Collections Database)
- Labeling and photographing (where appropriate) of the item
- Proper storage

## **6. DEACCESSIONS**

### **6.1 Deaccession Definition**

Deaccessioning is the administrative process of removing an accessioned object from the collections, and the disposal of the object after it has been removed. In order to resolve all legal obligations for the care and maintenance of collections objects, a process of deaccessioning will be completed for all items to be removed from the collections.

## 6.2 Evaluating Potential Deaccessions

Objects previously accessioned into the collections may be evaluated for deaccession if they meet one or more of the following conditions:

- The object is no longer consistent with the scope of the collections or mission of the University.
- The object's condition has deteriorated, making its use for exhibition or study purposes null.
- The work is of poor quality and lacks value for exhibition or study.
- The University is unable to properly preserve and care for the object.
- The object is a duplicate and has no value as part of a series.
- The work is a reproduction.
- The item presents a hazard to people or other collection items.
- The item has been lost or stolen and has not been recovered for a period of more than 10 years.
- The object is requested for return to a recognized Native American Tribe under the Native Americans Graves Protection and Repatriation Act.<sup>1</sup>
- The University's possession of the work is not consistent with applicable law, e.g. the object may have been stolen or illegally imported in violation of the law.

## 6.3 Recommendations to Deaccession

Recommendations concerning the deaccession of art, artifacts and archives will be made through the Department, or in some circumstances the Collections Manager, to the Collections Committee. Departments are encouraged to refine their respective collections through regular and judicious review. Expert advice should be sought before an item is deaccessioned. Deaccessioning and disposal from the collections should result from clear collecting policies that are in keeping with the American Alliance of Museums Standards and Best Practices. Departments forward recommendations to the collections Committee with documentation on each item and justification for its removal from the collection. The Collections Manager may also provide comment on Department proposals for deaccessions.

Ideally, the Annual Departmental Review of Collections will identify objects for deaccession. The Collections Committee will review recommendations forwarded to them, and will vote on the proposed deaccessioning based on the criteria listed above. Careful written accounts of the reasons for deaccessioning will be kept as part of the Collections Committee's meeting minutes and placed in the Collections Database Object Files for those objects.

The Collection Committees may also recommend items for deaccessioning after consulting with the Department responsible for the items. This may be necessary if the Committee finds that art, artifacts or archival material cannot be adequately maintained by the Department.

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<sup>1</sup> The Native American Graves Protection and Repatriation Act covers objects and artifacts removed from Native American cultural groups, and which form an integral role in the perpetuation of a tribe's identity and cultural patrimony. American museums and cultural institutions have a responsibility to assess items in their collections that at one time belonged to Native American tribes. These items are recorded in a publicly accessible record in the event that a native group comes forward in search of such items.

General fund raising or financial growth of the University should not be a justification for deaccessioning Collection material. Funds received from disposal of deaccessioned Collection items are typically placed into a restricted fund, named by the Department, to be used for the acquisition, preservation, protection, or direct care of collections material in that department. Funds will be administered by the Collections Committee and individual departments may apply to use the funds for collections acquisitions, care, exhibition and preservation.

#### **6.4 Documenting Deaccessions**

A complete record of deaccessions is kept in perpetuity. Deaccessioned objects are not removed from the Collections Database, but are marked as deaccessioned. A copy of the records of the item shall be retained permanently in the Collection Object Files of the Database.

#### **6.5 Methods of Disposal**

Once an object is identified and reviewed for deaccessioning, it may be disposed of in accordance with the methods outlined in the Collections Manual.

Materials deaccessioned are not privately sold, given, or otherwise transferred to University staff or trustees.

### **7. LOANS**

The Collections Committee will use all of the resources at its disposal to extend access and availability of collections content to students, faculty, researchers and the general public. Outgoing loans may be utilized by the University to extend its audience and outreach, without compromising internal uses of the collections. Manage all items on loan or in temporary custody of the University in accordance with the guidelines set forth by the Smithsonian Museum Conservation Institute. These guidelines can be found at:

[http://www.si.edu/mci/english/learn\\_more/taking\\_care/index.html](http://www.si.edu/mci/english/learn_more/taking_care/index.html)

#### **7.1 Loans Outgoing from Departments**

Interdepartmental Loans on Campus: Departments or faculty may apply across Departments for loans for academic purposes. The lending Department may determine if an interdepartmental loan meets their standards for scholarship, exhibition, and preservation of the item, and may deny or allow loans based on these criteria. After approval by the department, loan requests will be routed through the collections Manager, facilitating uniform handling of these loans, insuring a standard of care is maintained for the objects, and proper tracking in the Collections Database. Placement and management of interdepartmental loans should conform to the standards contained in the Collections Manual. In the event that conflicts arise regarding interdepartmental loans the Collections Committee will act as arbiter.

Intradepartmental Loans: Departments may administer loans of works within their own department, but will provide documentation of the loan to the Collections Manager for inclusion in the Collections Database.

Decorative Art Loan Program: The Committee may establish and administer a program of loans of non-sensitive collection items for use as decoration in Departments and public spaces throughout the University. The Art and Artifact Collection Committee will administer interdepartmental decorative art loans on campus. As part of a Decorative Art Loan Program, managers of campus office suites may request works via a list of available work, such as a Campus Decorative Art Loan Program webpage. These items will be installed by the Collections Manager or its assigns and may be displayed in publicly accessible locations such as reception areas, leadership offices and conference rooms that meet environmental and security standards described in the Collections Manual.

Loans to Other Institutions: The University may also loan pieces from the collections to other institutions in order to increase exposure of valuable material to audiences outside UMass Lowell. This strategy will allow the University to rotate its collections, ensuring proper storage and care, as well as better publicize its holdings. Such loans will allow the University to fully meet its education-driven mission. Individual Departments may propose out-loans through the Collections Committee. Lending Departments may determine if a loan meets their standards for scholarship, exhibition and preservation of the item, and may recommend to the Collections Committee denial or approval of loans based on these criteria. See the Collections Manual for the forms and procedures regarding out-loans, including documentation of loans in the Collections Database.

## **7.2 Incoming Loans and Exhibits**

Applications and proposals for incoming loans to the University Collections from outside institutions will be evaluated by the Collection Committee in order to coordinate in-loans across the campus. See the Collections Manual for the forms and procedures regarding in-loans.

Submit Departmental proposals for incoming loans to the Collection Committees at least 90 days (preferably sooner when there is advance knowledge of an exhibit) prior to installation of the item. Individual University exhibit venues may also impose additional requirements for application and installation procedures. Include details on special construction, equipment, security, handling, insurance, or space assignments in loan proposals. If the Committee recommends an incoming loan or incoming exhibit, the Department will submit the proper paperwork before the object arrives at the University. The Collections Manual contains the documentation necessary to execute loans to the University. Loan documentation includes the signature of the Collections Chair, Department Chair and a representative from the lending institution or individual.

The Collection Committee will consider the following criteria for incoming loans:

- Items form part of a planned short-term exhibition.
- Items are for short-term deposit for academic study and pertain directly to the University mission.

- Items fit within the overall scope of the Collection, but are unavailable for permanent acquisition. Such items will only be borrowed for short durations and the maximum length of individual loans will be determined by the Collections Committee.
- The loan item does not place undue burden on the University in terms of administration, care, security, insurance or storage.

Where appropriate, items are reviewed by the Departments where they will be temporarily housed.

Enter Object Information for all in-loan items, regardless of source, into the Collections Database and assign a loan number prior to the delivery of the loan item to campus.

### **7.3 Temporary Custody**

In rare instances, the University may temporarily house valuable material on its property that is not part of a permanent collection, intended to be acquisitioned, or on loan. These items are in a state of temporary custody of the University.

Items of significant value may be managed by the Collection Committee and Department, and reviewed by the Collections Committee prior to arrival on campus and using the procedures, forms, and standards described above and in the Collections Manual.

## **8. INTELLECTUAL PROPERTY**

### **8.1 Copyrights**

For the purposes of this policy, the University owns all intellectual property associated with the collections, outside of previously existing copyrights. Items that are part of the collections will be managed in compliance with the University of Massachusetts Intellectual Property Policy. A copy of this policy can be found on the University's website or in the Appendices of the Collections Manual.

The Deed of Gift for all items should indicate that the copyright, if in the possession of the donor, is given to the University with the object or documents. The University actively discourages the splitting of the copyright from the item to be acquired. Whether the donor owns the copyright to an item or not will be indicated on the Deed of Gift.

If it is not known who owns the copyright, the Department wishing to reproduce an item may seek the advice of the Collections Manager and/or University Counsel to ensure that University guidelines are followed.

### **8.2 Permission for Publication**

Permission by outside researchers or institutions to publish items or images from University Collections, when UMass Lowell owns the copyright, will be processed through the Department responsible for the item, reviewed by the Collection Committee, and documented by the Collections Manager. Further use

of the same material is subject to the same process of request. The Collections Manual will detail the application procedures for obtaining publication permissions.

University of Massachusetts Lowell will be clearly credited for reproduced materials in any and all publications.

## **9. COLLECTIONS CARE**

### **9.1 University Responsibilities**

By accessioning objects into its collections, the University takes responsibility for proper care and preservation of these objects. These responsibilities include preventative conservation, security, proper storage and handling of art, artifacts and archives, and the maintenance of facilities for these purposes in accordance with the guidelines set forth by the Smithsonian Museum Conservation Institute. These guidelines can be found at:

[http://www.si.edu/mci/english/learn\\_more/taking\\_care/index.html](http://www.si.edu/mci/english/learn_more/taking_care/index.html)

### **9.2 Department Responsibilities**

The Collections Manual will detail responsibilities and resources for the Departments regarding general care of collections.

### **9.3 Conservation**

In the event an item in the collections is deemed in need of special conservation and the financial cost is reviewed by the Collections Committee and Chairperson, the Collections Manager will provide technical assistance to the Department to secure a qualified conservator to evaluate the object, prepare a scope of work and budget for approval, and execute the conservation work. Coordination includes appropriate crating, transportation and documentation of the objects' location. The Collections Manual contains procedures for requesting conservation work.

## **10. COLLECTIONS ACCESS**

### **10.1 General Access**

An integral goal of University Collections is to provide students, faculty, and researchers with access to materials which will expand knowledge and support teaching. Due to the delicate and valuable nature of many collection items, specialized access procedures may be required preserve and secure the collections.

Examples of criteria for determining access to portions of the collections may include: value of the material, the fragility of the material, staff availability, and whether photographs are to be taken and the use of those images. The Collections Manual may detail specific access controls for collections.

### **10.2 Access to Exhibited Collections**

Access to items on exhibit may be limited to facility open hours and otherwise controlled by the Department. Collection materials on exhibit that need to be removed for researcher inspection may be made available on a case-by-case basis by designated Department administrators.

### **10.3 Access to Stored Collections**

Access to stored collections will be limited to researchers who follow established Department protocol for gaining access. Researchers will need to demonstrate how access will benefit both their research and the University. All access to collections in storage will be by appointment and with supervision by Department staff who have been trained by the Collections Manager to handle collection objects. Permission for access may be obtained through a request to the Department using the Researcher Access Request Form developed by the Collections Committee (see the Collections Manual).

Department “Annual Report on Collections” submitted to the Collections Committee should include annual Visitor Logs identifying the number of permissions requested and granted, as well as visitation and use of their collections.

## **11. Ethics**

### **11.1 Applicability of Ethics Policy**

The items outlined below apply to the members of the University Collections Committee, Department staff who have oversight of collections and volunteers or interns who work with Collections. These policies may extend to consultants and staff of the Committee and should be detailed in individual agreements with those individuals as necessary. Existing policies and state laws on ethics and conflicts of interest will also apply to the conduct of individuals who manage University Collections. These policies include, but are not limited to:

- UMASS Policy on conflicts of interest relating to intellectual property and commercial ventures,
- Chapter 268A of the Massachusetts General Laws, which governs the conduct of public officials and employees, and
- Copies of both of the above documents may be found in the Appendices section of the Collections Manual.

### **11.2 Guiding Principles**

Individuals having oversight of collections shall be guided by the following principles:



- All issues relating to conflicts of interest should be brought to the attention of the University Conflicts Committee for evaluation and guidance.
- Positions related to the management of the collections should not be used for personal gain.
- Information regarding administrative, financial or scholarly activities that may take place in the course of duties and not generally known or available to the public must be treated as proprietary information.

### **11.3 Personal Collecting**

The acquisition, collecting, and owning of artifacts by Committee Members or Department Staff relating to the scope of a collection held by the University is not in itself unethical, but can create a conflict of interest, or the appearance of a conflict of interest. The following prohibitions are established in order to eliminate conflicts of interest:

No current Collection Committee member, Committee staff, or Department staff having direct oversight of collections shall:

- Sell the University a work of art, archival documents or artifacts,
- Allow a work of art or property created by the Committee or staff, or by anyone in his/her family to be considered for purchase, donation or performance during his/her membership or employment,
- Compete with the University in any personal collecting activity covered under the Scope of Collections for the collection which the person has oversight, or
- Use his/her affiliation with the collections to promote his/her own, or an associate's, personal collecting activities.

### **11.4 Volunteers and Interns**

Volunteers have a responsibility to the collections, especially those individuals with access to artifacts and proprietary information. The lack of material compensation for the efforts expended on behalf of the University does not free volunteers from adherence to the standards that apply to the staff of the University. Departments shall provide written copies of University policies regarding ethics to volunteers and interns. Volunteers are expected to respect the confidentiality of any proprietary information to which they receive access and should not accept gifts, favors, meals, loans, or other gratuities from outside sources in connection with carrying out their activities in relationship to the University Collections.

### **11.5 Commercial Activities**

Commercial activities regarding objects in the Collections Database shall adhere to accepted University policies. Where the University's general guidelines on commercial activities do not cover the University's collections, the following guidelines will apply:

- Commercial activities will be in keeping with the University's mission.

- Commercial activities should be relevant to the Collection involved.
- Commercial endeavors should not compromise the quality of the Collection.
- Such commercial activities are recommended by the Collections Committee.

In the case of University-authorized reproductions, care should be taken to permanently identify items as reproductions and ensure accuracy and high quality of manufacturing.

The Collections Manual may detail procedures for obtaining permissions to use collections for commercial purposes that are in keeping with University guidelines.

## **12. Risk Management**

In addition to the general care of the collection, the University will work to protect the collections from outside risks, including theft and natural disasters.

### **12.2 Insurance:**

The University currently self-insures its' collections. Determinations regarding additional insurance will be made in consultation with the Collections Chair and appropriate UMass financial and legal Departments. The Collections Chair may review the insurance needs of high value items in the collections and forward recommendations to the Chancellor or her assigns.

### **12.3 Insurance for Incoming Loans:**

At a lender's request, the University may opt insure incoming loans under a wall-to-wall fine arts policy for the duration of the loan, in consultation with the appropriate UMass financial and legal Department.

### **12.4 Insurance for Out-Going Loans:**

The University may require insurance for coverage based on the fair market value of Collection items. Insurance must be carried by the borrower and a Certificate of Insurance supplied to the collections Manager. Alternatively, the University may maintain its own insurance at the borrower's expense.

### **12.5 Risk Management Program**

In order to prevent losses, the University will carry out a program of risk management and mitigation. The Collections Committee will be responsible for detailing such a program in the Collections Manual and disseminating information to the Departments who hold collections.

### **12.6 Appraisals:**

A baseline appraisal of all Collection items is recommended at the time of the creation of the Collections Database. Appraisals provide the University with a value for the purposes of insurance and inform risk management decisions, and may be updated as necessary.

- Upon donation, objects valued at over \$10,000 by the donor are accompanied by an appraisal by a certified appraiser according to IRS Publication 561.
- University staff may not appraise objects for donations, in-coming loans, or objects placed in the custody of a department for identification or research purposes, nor may the Collections Manager make arrangements for an appraisal on behalf of a donor or lender. Such activity is prohibited by IRS Publication 561.
- The Collections Manager may, however, provide a list of appraisers to donors, but may not recommend particular appraisers. The Collections Manager or department personnel may determine informal values of University Collections for use in the internal administration of the collections.
- All appraisals commissioned by the University or donors should be conducted by an Appraisal Association of America Certified Appraiser, or an appraiser certified by another nationally accepted certification organization.

### **13. Documentation:**

In order for a collection to be of educational value, it must be documented. Documentation involves the gathering and recording of data on the objects and manuscripts in the collection. It also involves the recording of the context of items to each other and their relevance to the study of the world around us. It is incumbent on the Department to collect this information for all Collection objects it holds. Specific information to be collected and the formats for that information may be detailed in the Collections Manual.

### **14. Display:**

One of the primary methods for using artifacts, art and manuscripts for education purposes is to display these objects. Guidelines on exhibit development and the display of items from the collections may be detailed in the Collections Manual. The following policies provide guidelines for developing displays and exhibiting collections.

**14.1 Exhibit Development:** Departments are encouraged to exhibit their holdings. Display and research are the main reasons for a department to collect and hold collections.

**14.2 Venues:** The Collections Committee may periodically identify a list of appropriate display areas around the campus. Areas may be evaluated based on criteria such as environmental conditions, security, and Americans with Disability Act considerations for access. Areas that rank highly in this survey should be prioritized by Departments for exhibit placement when developing exhibits.

### **15. Policy Review and Revision**

Upon its acceptance, this policy stands as a tool to manage and preserve the collections. Changes in University policies, or changes made to collections, may necessitate modifications to this policy.

All policies and procedures contained in this document shall be reviewed annually by the Collections Committee. The Collections Chair may also charge the Collections Manager with drafting changes to

these policies, or appoint/hire a consultant to do so. Recommended changes will be presented to the Collections Chair and subsequently to the Chancellor or her assigns for review and acceptance.