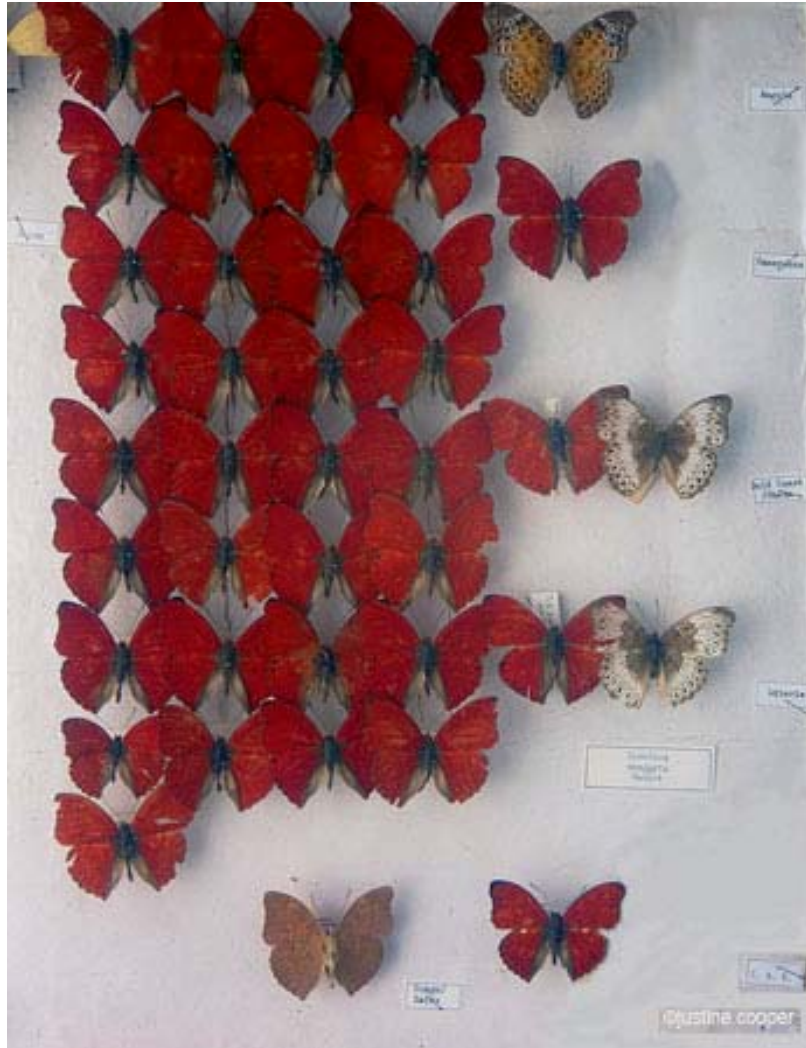


American Museum of Natural History

New York



Collections Policy

June 2008

**American Museum of Natural History
New York**

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American Museum of Natural History New York

Collections Policy

1.0 Introduction

- 1.1 This policy applies to all who manage, work with or use the AMNH collections. This includes:
 - AMNH Scientific Staff, support staff and volunteers
 - Research associates and visiting researchers in the science divisions
 - Faculty, matriculating students and other resident graduate students associated with the Richard Gilder Graduate School, and
 - Registrars and conservators.
- 1.2 This policy is implemented and supported by collection management procedures for each science division and interdivisional departments (e.g., the Monell Cryo-collection). The procedures for each division are reviewed and approved by the division curators-in-charge and division chair and submitted for review and approval by the Associate Dean of Science for Collections and the Provost and Senior Vice-President of Science (Provost). Any departure from this policy must be documented and approved in writing by the division chair, the Associate Dean of Science for Collections and the Provost.
- 1.3 This document is the third revision of the AMNH policy that governs the scientific collections, their acquisition, disposition, use, and their management. AMNH institutional and divisional policies were first consolidated in a single, museum-wide document in 1974. That policy was revised and strengthened in 1996. This third revision in 2008 expands the policy to cover new areas and development of collections at AMNH and the evolution of generally accepted practices and international standards.
- 1.4 AMNH is chartered as a museum, library, and recently as a higher education institution by the Regents of the University of the State of New York (the Regents). It is an accredited museum by the American Association of Museums (AAM) and approved by the Regents, and it has accreditation pending with the Regents as a higher education institution. As such, this policy has been reviewed for consistency with the published collections standards of AAM, for compliance with the collection regulations promulgated by the Regents, and for compatibility with the needs of higher education. The Regents are notified annually of any changes to the AMNH Collection Policy and of all deaccessions from the scientific collections.
- 1.5 AMNH does not list its collections as assets on its financial statements, nor pledge the collections as collateral for the satisfaction of debts.
- 1.6 AMNH maintains insurance on the collections when on premises, at off-site storage, in transit, and when on loan. The collections insurance coverage is reviewed by the Audit Committee based upon recommendations from insurance consultants.

- 1.7 Digital data collections are at the heart of a fundamental change in research. The data stored in digital form can be text and still images, video and audio recordings, software, algorithms, equations, animations, models and simulations. The proliferation of digital data collections—from individual research projects to global reference sources—presents challenges in their management for cost-efficient long-term preservation. Approaches to the unique issues presented by this type of collection are evolving and may be included in each scientific division's procedures subject to review of the Associate Dean of Collections and approval of the Provost.
- 1.8 Native American and Native Hawaiian cultural property—human remains, funerary objects, sacred objects, and cultural patrimony—is governed by the Native American Graves Protection and Repatriation Act (“NAGPRA”). Compliance with NAGPRA is addressed by this policy and supersedes prior policies on this subject.
- 1.9 Excluded from this policy is a collection used for hands-on teaching by the AMNH Education Department that will be separately covered by the Education Department's policy; human remains collections, which are covered by a separate policy approved by the Trustees Collections Committee; and the Library collections that will be separately covered by policies to be reviewed and approved by the Trustees Library Committee and the Board of Trustees. However, specialized libraries and archives within the science divisions are considered ancillary collections of the divisions, and, like other ancillary collections, are governed by this policy.

2.0 Governance and Management of the Collections

2.1 Board of Trustees and Collections Committee

- 2.1.1 Except as otherwise provided herein, the Board of Trustees hereby delegates oversight of significant collection matters to its Collections Committee and the general administration of this policy to the President and Provost.

2.2 Senior Administration

- 2.2.1 Except as otherwise provided herein, the President delegates authority and responsibility for the scientific collections to the Provost, including providing for the implementation and monitoring through the five science division chairs and the Associate Dean of Science for Collections.
- 2.2.2 The President, Provost, and Associate Dean of Science for Collections shall report annually to the Trustees Collections Committee on the status of the collections, and the Trustees Collections Committee shall report their deliberations thereon to the Board of Trustees with such recommendations that require review and approval by the Board of Trustees.

2.3 Science Division Chairs

- 2.3.1 Each science division chair shall delegate authority and responsibility for procedural implementation and compliance among the scientific staff in their division in written division procedures that are subject to review by the Associate Dean of Science for Collections and approval in writing of the Provost.
- 2.3.2 Each science division chair bears primary responsibility for assuring that the curators in the division care responsibly for the collections in their charge. Curatorial management of each collection shall be assigned to a curator-in-charge who will take responsibility for assuring that identification, acquisition, preparation, sampling, conservation, maintenance, documentation, supervision of resident and visiting scholars, and loans within their collection are carried out according to professional and institutional standards.
- 2.3.3 Each division chair shall assure that collection management responsibility is assigned to and accepted by each member of the collection management staff within their division.

2.4 Curators-in-charge

“Curators-in-charge” in the sense of this policy is a functional designation (not a position title) used to identify the curator accountable for the management, use, care, and conservation of the specific collections in his or her care. Each curator-in-charge is responsible for working with and overseeing the work of the collections management staff assigned to work on the collections in his or her care, in consultation with and under the direction of the division chair. Each is also accountable for implementing this policy and the division’s procedures within the collection entrusted to the curator’s care and for assuring adherence to the institution’s and division’s procedures for visiting scholars, students, post-doctoral researchers, and other researchers granted access or loans to the collections in the curator’s care. A curator-in-charge is also responsible for working with his or her division chair, divisional curatorial committees, and collection management staff to implement strategic collecting programs, proposals for collections support (e.g. federal grants), and related projects.

2.5 Collection Management Staff

The collection management staff is responsible for delivering preventive maintenance, curation support, and conservation support to the collections assigned to them, including management of inventory, documentation, research loans and collections databases. They are assigned responsibility for individual division collections care in consultation with and under the direction of the curators-in-charge and the division chair. In addition, collection management staff manages aspects of externally-supported collections and consultancy projects involving their collections, support researchers in accessing and using the collections in their projects on-site, process *research loans*, and work with curatorial staff to develop collections strategies and proposals for collections support.

2.6 *Conservators and Preparators*

- 2.6.1 Work undertaken by conservators and preparators includes preparation for research purposes, analysis, stabilization, repair, documentation, and monitoring of objects and their environment in research storage, on display in the Museum, and on loan for exhibition at other institutions. They work under the direction of each science division chair who is responsible to the Associate Dean of Science for Collections and the Provost for all aspects of conservation matters within their divisions.
- 2.6.2 The Conservator for Natural Science Collections, reporting to the Associate Dean of Science for Collections, oversees conservation efforts across all divisions, including preventative conservation, environmental and pest monitoring, disaster planning and preparedness, and risk assessment, and provides training for collection management staff, registrars, and Exhibition staff who may handle collection items as part of exhibition development.

2.7 *Registrars*

- 2.7.1 The registrars are responsible for maintaining the permanent records of acquisitions, accession, deaccessions and all incoming, outgoing, and intramural *exhibition loans*, under the review of the Associate Dean of Science for Collections and the direction of the Provost.
- 2.7.2 For acquisitions, they register and assign accession numbers to all objects or lots being added to the collections, according to the established registration system and keep the permanent *acquisition/accession records* including permits, specimen transfers, and all other legal documentation of the acquisition.
- 2.7.3 For exhibitions traveling outside the Museum, as well as for intramural exhibition loans, the registrars prepare and retain the originals of *exhibition loan records*. They make arrangements for and oversee handling, packing, transport, and professional inspection of all objects entering or leaving the Museum for on-site exhibitions, incoming borrowed exhibitions, AMNH traveling exhibitions, and individual outgoing exhibition loans. They prepare condition reports, damage reports, loan agreements with individual lenders, photographs, insurance papers, packing and unpacking orders, shipping and receiving papers. They manage the collection insurance program in collaboration with the Office of the Controller, the Chief Financial Officer and General Counsel to assure insurance coverage.

2.8 *Annual Collections Report*

- 2.8.1 Each division chair shall file an annual collections report of division collection management activities with the Associate Dean of Science for Collections, who will forward the report to the Provost. The annual collections report shall include:
- a synopsis of all acquisitions, deaccessions, dispositions, and loans during the year
 - emergent issues of collections care

- the appointment of curators-in-charge for the coming year and identify the segments of the collection for which these curators are responsible
 - the roster of collections management staff with their names, titles, individual primary responsibilities, and direct supervisor
 - all approvals obtained as required by this policy
 - such additional information as required by this policy or requested by the Associate Dean of Science for Collections or the Provost.
- 2.8.2 The Provost will annually summarize and present each division's annual collections reports to the Trustees Collections Committee.

3.0 Ethics

3.1 General Guidelines

- 3.1.1 Members of the AMNH community are bound by the AMNH Code of Ethical Practices. AMNH expects individuals to adhere to AMNH policies, procedures, and practices and to comply with applicable external laws and regulations in carrying out their responsibilities and to report intentional violations of this policy to the Associate Dean of Science for Collections or the Provost.
- 3.1.2 Frequently, an individual's activities are not governed by specific policies or by laws or regulations. In these instances, individuals should be guided by the generally accepted professional practices and ethical standards in their field, remembering that as a publicly- funded institution, members of the AMNH community are held to a standard that encourages and retains the public trust in AMNH.
- 3.1.3 Should a staff member have any questions about a matter appearing to involve the collections, the staff member should discuss the matter with his or her division chair, the Associate Dean of Science for Collections or the Museum's Ethics Officer. Below are specific ethical practices applicable to all staff.

3.2 Identifications and Authentications

- 3.2.1 Museum employees shall not give appraisals for the purpose of establishing the tax-deductible value of gifts offered to the Museum, nor shall they appraise, identify, or otherwise authenticate for other persons or agencies natural history specimens or artifacts under circumstances that involve commercial marketing of material, or that could encourage or benefit illegal, unethical, or irresponsible traffic in such materials.
- 3.2.2 Aside from those prohibitions, it is beneficial to the Museum for staff members to assist collectors and other museum professionals in identifying, authenticating, and assessing the quality and condition of natural history specimens, artifacts, and documents. Information of this kind, provided in writing as a part of an employee's official capacity at the Museum, must be accompanied by the Museum's disclaimer that the information is an opinion, subject to change upon acquisition of new information, and is not to be used in a purchase or sale transaction, nor published without the written consent of the Museum employee and Associate Dean of Science

of Collections. All assistance, whether written or oral, shall be provided free of monetary or other compensation, unless otherwise approved by the Provost.

3.3 Use of Museum Property and Services

- 3.3.1 Museum employees, officers, trustees, and committee members shall not use Museum collections facilities or collections staff for appraisals, work-for-hire for non-AMNH work, or for maintenance, care, or storage of their personal collections.
- 3.3.2 Use of Museum collections, collection data, documentation, and illustrations by Museum staff shall be in accordance with Museum standards of professional practice.
- 3.3.3 Books, bulletins and journals provided gratis to scientific staff as part of publication exchanges supported financially by the Museum are the property of the Museum. These shall be retained unless and until written permission to dispose of them is received from the science division chair.

3.4 Private Collecting: conflicts of interest and ethical constraints

- 3.4.1 Scientific staff is prohibited from assembling or adding to personal collections that are in their professional field of interest while an employee of the Museum. A scientific staff member who joins the Museum with a personal collection must file an inventory of that collection with the division chair and may retain that collection.
- 3.4.2 Although it is understood that an employee is not restricted from selling objects from his or her personal collection, an employee may not act as a dealer, buying and selling natural history objects for profit, whether or not in his or her field of professional interest.

4.0 Acquisitions and Accessions

4.1 Legal and Ethical Assessment of Acquisitions

- 4.1.1 Items or lots proposed for acquisition shall be reviewed for ethical and legal collection procedures by the curator involved in the acquisition and the division chair and, where questions arise, by the Associate Dean of Science for Collections, Provost and General Counsel. AMNH shall not acquire any item or lot unless it is satisfied, through the application of a 'due diligence' process, that it has been acquired in compliance with this policy.
- 4.1.2 Title to all objects acquired for the collections shall be obtained, barring exceptional circumstances, free and clear, with unimpaired right of possession.
- 4.1.3 AMNH shall not knowingly acquire and import:

- a) cultural property from its country of origin unless accompanied by an export certificate where the country of origin's laws so require;
 - b) cultural property that was stolen from any individual, corporation, institution, indigenous group, or foreign nation;
 - c) cultural property that has been seized under compulsion arising directly or indirectly from the occupation of a country by a foreign power;
 - d) any biological or geological specimen that has been collected, sold or otherwise transferred in contravention of any national or international wildlife protection or natural history conservation law or treaty to which the USA is signatory, except with the express consent of the authorized governmental authority (examples of those laws and treaties are at Appendix A).; or
 - e) any item or lot that was collected or recovered under circumstances that would support or encourage irresponsible damage to or destruction of archeological sites, cultural monuments, or defilement of human burial places.
- 4.1.4 AMNH may accept objects that have been legally confiscated and offered to AMNH by government authorities under terms approved by the Associate Dean of Collections or Provost in consultation with the General Counsel.

4.2 General Provisions

- 4.2.1 "Acquisitions" means the transfer of title or right of possession to AMNH of specimens and artifacts for the collections. It does not include receiving loans, which represent the temporary transfer of objects to and from a museum without a change of ownership. "Accessions" means the formal addition via an accession record of specimens and artifacts to the collections with the intent that they will be preserved and used as part of the permanent collections.
- 4.2.2 Not all items or lots acquired by AMNH under this acquisition policy are meant to be accessioned into the permanent collections. Acquisitions shall not normally be accessioned if there are plans to dispose of the items at a later date, to return the items to a country of origin, or for use solely by the Education Department.
- 4.2.3 Beyond field collecting and exchanges with other cultural or educational institutions, acquisition of objects often is opportunistic. From time to time, collections of significance become available for purchase; from individuals by bequest or lifetime gift; or from institutions that no longer are able or willing to preserve, maintain, and use them in research and educational activities. Acquisitions of such collections are judged on their individual merits, weighing the values and costs of such additions against the evolving research, educational, and exhibition programs and initiatives of the Museum. Purchases made off-site and without the required approvals shall be submitted upon return for approval as required by this policy and division procedures; if not approved, the acquisition will not be made nor the purchase reimbursed.

4.2.4 The primary factors in evaluating acquisitions are:

- bridging or filling gaps in collections, to ensure an appropriate breadth and depth of coverage;
- scientific or scholarly importance;
- fulfilment of a research need;
- significance to the history of the discipline;
- potential for public exhibition or education (e.g. the acquisition of display specimens or specimens for an education collection); and
- material that can be utilised to benefit the collection in the future (e.g. through future exchanges etc.).

4.2.5 None of the above criteria is of a higher priority than any other, and AMNH may give equal significance to any of these factors. The above criteria are not exclusive, and other factors may be considered.

4.2.6 AMNH staff shall evaluate each item or lot before committing to its acquisition to assure adequate standards of care and documentation can be applied to the item or lot and that the item or lot is fit for the purpose for which it was acquired. AMNH shall not acquire items that do not fulfill these criteria. A “major acquisition”—one that will require an unusual amount of space or support, or is a new area of collecting— shall be accompanied by a science division evaluation of its cost and impact on the resources available to curate and care for the material, including space. If in doubt whether an acquisition is major, the curator of division chair should contact the Provost or Associate Dean of Science for Collections. A proposed acquisition should normally be placed in the collections of the appropriate division, which may differ from the division proposing the acquisition.

4.2.7 AMNH shall not accept an acquisition that would constitute a commercial endorsement.

4.3 Field Collecting

4.3.1 Direct acquisition during field research and expeditions shall be conducted with the permission or agreement of and according to the laws of the host state or country.

4.3.2 Curators or other collection staff may not enter into formal agreements (e.g., MOUs) for fieldwork to be conducted jointly with other museums, universities, or similar research organizations. In all such cases a written agreement regarding allocation, disposition, and use of field collections shall be sought and obtained, where possible, prior to the field work and signed by the Provost or Associate Dean of Science for Collections. All such agreements that impose obligations on AMNH for financial contributions, training, educational materials, research facilities must be in writing and executed by the Associate Dean of Science for Collections in consultation with the General Counsel, with copies promptly filed by the principal curator with the division chair or facility conducting the work and with the registrar. Prior approval from the Dean and, Provost, is not required for joint fieldwork by AMNH curators and their individual colleagues, nor where fieldwork is supported by grant funds to AMNH that are budgeted specifically for that purpose.

- 4.3.3 In the case of acquisitions that will eventually be divided and part returned to the country or institution of origin, if the items are to remain in the custody of the Museum for a significant period of time (generally speaking, more than a year), the items or lots will be recorded as an accession and shall be retained as a permanent record the same as the accession record. Longer pre-accession periods of collections in the Museum will require a written explanation for the delay of the accession by the division chair, which will become part of the permanent accession record. The accession record will include a copy of the agreement as well as a record of the subsequent deaccession. The purpose is to assure that agreements made for purposes of collection-sharing are documented in a permanent way and assure that the Museum can demonstrate good faith in meeting the terms of the pre-existing agreement.
- 4.3.4 Further, in the case of agreements with countries of origin, other museums, or others that require division of items or lots to be made collaboratively or unilaterally by Museum employees, every effort will be made to stipulate to a closing date after which all partition of the items will cease.

4.4 Gifts

- 4.4.1 A valid gift requires that the owner intended to make a gift of the item or lot, that there was a complete and unconditional transfer of title and delivery of possession to the Museum, and that the Museum accepted the property as a gift.

The AMNH standard documents required for this purpose are either a deed of gift or a specimen transfer form transferring title and possession. These forms identify the person who owns the donation, warrant that the item or lot has been lawfully acquired and imported within the USA, and state that the donation is an unrestricted gift for the general purposes of the Museum. Other gift documents (e.g. letters, emails) transferring title and possession may be used and supplemented when necessary in the opinion of the registrars or Associate Dean of Science for Collections to provide the information required by AMNH standard documents.

4.5 Partial Interest Gifts

Partial interest gifts allow a donor to make fractional interest gifts over time. Such gifts are rare but can be beneficial to the Museum and donor. They require special tax and legal considerations and may only be accepted upon terms and conditions in a signed gift instrument that is approved by General Counsel and the Provost. Generally the terms address an allocation of the right of possession, cost of insurance, and a commitment to convey the balance of the ownership interest.

4.6 Bequests

Upon a proposed bequest of an item or lot to the collections, the Development Office will refer the appropriate documents to the Associate Dean of Science for Collections and General Counsel to arrange for a curator's examination and review. The curator must physically examine the item(s) and then a decision to accept or reject will be

made by the curator or other authorized person or committee according to the division's procedure. If a curator is initially contacted regarding a bequest, the curator shall notify their division chair, Associate Dean and General Counsel who will consult with the Development Office on the proposed gift.

4.7 Exchanges

Incoming material from an exchange requires submission of an accession record to the Office of the Registrar. Outgoing material from an exchange requires a deaccession record and must meet the requirements for deaccessioning in this policy.

4.8 Permanent or Long-Term Loans

4.8.1 Permanent or long-term loans to the Museum are sometimes offered for objects and collections owned by US and foreign government agencies and institutions whose own collection policies do not allow transfer of title, or until and if the country develops the facilities to properly house them AMNH will accept such loans under terms acceptable to AMNH. In this case the acquisition record shall include a copy of the agreement and designate the status of the specimens in the acquisition records and division inventory. Such loans are otherwise not accepted.

4.8.2 Permanent or long-term loans require the same approvals as an acquisition. Permanent loans shall be documented by a written repository agreement signed by the lender and shall address, in accordance with each science division's procedure, at least the following:

- the purpose of the loan (exhibition, research, or education);
- the rights to use and publish the material;
- financial obligations to be borne by each party;
- the duration of loan and right of the Museum to return the loan; and
- the legal and ethical responsibilities of the Museum during custody and upon termination of the loan.

4.9 Restrictions

Acquisitions should discourage restrictions as to use or future disposition. Where restrictions are attached to an acquisition, review by General Counsel and approval of the Provost is required. Every effort shall be made to place a reasonable limit on the time for which the restrictions may apply and to define the conditions under which their force may terminate or provide for alternate conditions to be applied by the Museum. Restrictions shall be adequately documented and retained as part of the permanent acquisition records.

4.10 Approvals of Acquisitions

4.10.1 In the normal course, science divisions may accept donations and exchanges of items, collect through field work, and purchase specimens or artifacts using current amounts from acquisition funds made available to the division, subject only to the following:

- a) The approval of the science division arrived at through the division's implementation procedures. This may include 1) approval by the division chair and curator-in-charge, or 2) approval by the loan committee of the division.
- b) The approval of the Provost and the President shall be required prior to acceptance for any of the following:
 - i) an acquisition entailing a restriction or condition on the Museum as to title, right of possession, care, exhibition, loan, or requiring special restrictions such as attribution beyond the records of the division,
 - ii) an exchange with a commercial dealer or collector acting as a dealer, or
 - iii) a purchase or exchange where the price and special expenditures, or exchange value of either object, exceed \$100,000.
- c) The President and Provost shall refer to the Board of Trustees for approval any acquisition that lies outside the scope of the disciplines represented by the five scientific divisions, or that is material in acquisition cost or ongoing maintenance expense, or entails significant risk to the Museum, or is otherwise extraordinary or sensitive in nature.

4.10.2 Partial interest gifts and bequests must be reviewed by General Counsel.

4.11 Acquisition/Accession Record

4.11.1 The Museum shall not acknowledge ownership of an acquisition until title and possession have been transferred and an accession record is made for the acquisition. The record shall include a legal instrument of conveyance for all gifts, bequests, purchases, and exchanges and shall be signed by the seller or donor and set forth an adequate description of the objects involved and the precise conditions of transfer. The record shall include approval signatures of the science division chair and a registrar.

4.11.2 In addition, documentation that has been gathered to establish title, right of possession and the appropriateness of the acquisition within the context of the legal guidelines given above, such as permits, provenience and history, shall be made a part of the record. These records and title documents (invoice, bill of sale, deed of gift, correspondence offering a gift, receipts and acceptances, IRS form 8283, and the like) shall be retained permanently as part of the acquisition record.

4.11.3 The accession record shall contain, but not be limited to, the following information:

- 1) A unique accession number that will be associated with the artifact, sample, or object, or lot in such a way that the acquisition and any object or sample that is part of the acquisition shall be permanently associated and identifiable with the accession record at any time in the future. A lot may include bulk collections such as Malaise or pitfall trap material, so that one accession number will be associated with this material, and upon sorting and identification, each item will be labeled with this accession number to indicate identifiable, specific acquisition of material.
- 2) Which research collection will receive the acquisition.
- 3) The name and address of the donor as well as any associated documentation regarding a bequest; restrictions approved by the Provost.
- 4) Name of collection owner if different from initial contact;
- 5) Items or lots in collection, e.g., number of objects or number of lots, books, notes, photographs. Reasonable preliminary estimates are appropriate for large collections, although these accession records shall be amended as estimates are refined.
- 6) Statement of the provenience of the objects—a brief summary should be provided for large collections containing hundreds or thousands of objects with varied or extensively detailed provenience.
- 7) Estimated insurance value of objects.
- 8) Documentation supporting compliance with the legal and ethical requirements of this policy, e.g., export permits from the country of origin, or U.S. Federal or state permits.
- 9) Signed letter, document, or certificate from the owner stating that title and possession to the collection is being transferred to the American Museum of Natural History.
- 10) Date collection was physically transferred to the Museum, i.e., the date at which the collection became physically present in the Museum.
- 11) Date and signature of the science division chair acknowledging that all reasonable measures were taken to provide adequate documentation and that the division chair believes that the collection is being accessioned under the legal and ethical principles laid down by this policy.
- 12) A copy of the receipt given to the donor or owner.
- 13) Any other information detailing the circumstance or original acquisition and the curatorial history of the collection.
- 14) Department or division catalog number or other internal tracking number when available.

4.11.4 If the collection is of a large volume and represents a significant impact on museum resources, or will require considerable curation or transportation cost before it is fully incorporated into the research collection and available to researchers, the following additional information must be submitted to the Associate Dean of Science of Collections and the Provost for approval of the acquisition:

- 1) How the collection is to be transported to the Museum.
- 2) Cost of transporting the collection to the Museum.
- 3) Where the collection will be held while it is being processed into the research collection.
- 4) Projected time needed for curation prior to the completion of the accession record.

- 5) Projected cost of curation, including extra staff, cabinets, labels, computer entry, etc.
 - 6) Before any sizable collection can be acquired and accessioned, the division chair, and, if necessary, the Provost must be made aware of and approve the curatorial time and budget that will be committed to integrating the collection into the research collection.
- 4.11.5 Should a registrar find the documentation required for the acquisition to be incomplete or otherwise inadequate, the registrar will forward the matter to the division chair, and if necessary, to the Associate Dean of Science for Collections and General Counsel.

5.0 Deaccessions and Disposition

5.1 General Provisions

- 5.1.1 In natural science collections, typically many more objects are involved in deaccessions via exchanges between institutions, donations from one institution to another, and destructive sampling, than in other museum disciplines. Such exchanges and donations of specimens benefit the collections through reciprocal activities of the collecting institutions. Occasionally, the reciprocal benefit to the Museum is in the form of enhanced curation of the collection or special research opportunities, rather than in the form of specimens.
- 5.1.2 Because of the number of transactions and the kind of materials involved in natural sciences, these activities call for special protocols and are dealt with under this policy and the specific procedures of each science division as approved by the Associate Dean of Science of Collections and the Provost.
- 5.1.3 To monitor acquisitions and deaccessions/dispositions, each division files an annual collections report, signed and certified by the division chair, which includes its acquisitions and dispositions during the year as well as all research activity, loans, etc. The report is filed with and reviewed by the Associate Dean of Science for Collections and the Provost of Science, and through them, summaries are reported to the Board's Collections Committee and then to the full Board of Trustees. A list of all deaccessions and exchanges are part of the Museum's annual report to the Regents of the State of New York.
- 5.1.4 The Museum recognizes that collections are not static and must be continually improved to reflect new research directions, to complete the record of life and nature they represent, and to support new exhibitions. Improvement includes growth through new acquisitions and exchanges. It also includes judicious removal of materials from the collections through exchange, gift, or sale to other institutions or agencies. In such transactions, the Museum must rely on the competence and judgment of its professional staff—those who are entrusted with the selection, care, and use of the collections—or other experts acceptable to them, subject to the approvals below.

- 5.1.5 Specimens and artifacts are normally retained in the collections as long as they retain their physical integrity and continue to be relevant to the scope and purpose of the collections. When these conditions no longer prevail, objects may be removed by exchange, donation, sale, or destruction. Reasons to approve a disposition request shall be:
- a) the specimen or artifact is damaged beyond the point at which it can be used;
 - b) the material does not relate or is tangential to the Museum's scope of collections, research or educational activities;
 - c) the data are insufficient to document the specimen or artifact;
 - d) the specimen or artifact is a health hazard;
 - e) the specimen or artifact has little scientific or educational value;
 - f) the specimen or artifact will be destroyed by scientific study;
 - g) ownership of the specimen or artifact has been determined adverse to the Museum;
 - h) repatriation is required or requested and deemed appropriate;
 - i) the Museum is unable to provide proper care, and another repository has been determined to be more suitable.
 - j) it is an exchange where the outgoing specimen is well represented in the collection, while the incoming specimen is not.

5.2 Approvals

- 5.2.1 In the normal management of the collections, curators-in-charge may exchange, donate, sell, or otherwise dispose of specimens and artifacts, pursuant to the above reasons, subject to the prior approval of their division chair and to any additional approvals required by the division's procedures.
- 5.2.2 Prior notice shall be given by the curator and division chair to the Associate Dean of Science for Collections and the Provost for their approval for:
- b) a sale, exchange or donation of an object whose monetary value might reasonably be expected to exceed \$25,000
 - c) a disposition of a restricted gift or bequest,
 - d) a disposition of a gift within 10 years of receipt or within the donor's lifetime, or
 - e) a disposition of an out-of-the ordinary-course sample or extract of a portion of a significant specimen (whether housed in the research collections or on display).

- 5.2.3 Where the value of the item or lot to be sold or exchanged is reasonably assumed to exceed \$100,000, or the restrictions are deemed by the Provost or President to be material, then the further approval of the Trustees Collections Committee shall be required.
- 5.2.4 In considering the removal of specimens and artifacts from the collections, the judgment of the division chair and the curator-in-charge and other appropriate members of the curatorial staff, to the extent practical, shall be followed. Documentation of the basis for disposition shall be recorded in the in the deaccession record and in the science division's records of inventory.
- 5.2.5 Preference shall be given to placing material that is part of the historical, cultural, or scientific heritage of New York State or of the United States at institutions within the state or nation, respectively. Alternatively, the object may be transferred to the Museum's Department of Education for use in public programs. If the object is offered for sale, preference shall be given for sale at public auction or the public market place in a manner that will best protect the interests of the Museum.
- 5.2.6 Objects shall not be given or sold privately to Museum employees, officers, members of the Board of Trustees or committees, or their representatives, except under extraordinary circumstances and when approved as provided above.
- 5.2.7 Objects that have lost their value to the collections because of alteration, replication, deterioration or other compelling reason and have no value for exchange, sale, or donation may be discarded or destroyed, with the deaccession record deposited with the Office of Registrar.
- 5.2.8 Upon disposition, the catalog numbers shall be removed.

5.3 Deaccession Record

The de-accession record shall contain, but not be limited to, the following information:

- 1) Date the material was de-accessioned and removed from the catalog
- 2) AMNH Accession number
- 3) Department accession number and/or catalog number
- 4) Name of division and department de-accessioning the material
- 5) Description of material, including number of specimens
- 6) Estimated insurance value
- 7) Reason for de-accession
- 8) Disposition (where object is transferred to and name of contact)
- 9) Method of disposition/transfer
- 10) Date and signatures of division chair, curator-in-charge, and registrar
- 11) Authorized signature and date of other required approvals in section 5.2
- 12) Supporting documentation, such as export permits, copy of receipt of outgoing transfer, copy of original accession record, correspondence, notes of any restrictions, etc

5.4 Restrictions

- 5.4.1 Donation of an object to the collections that is proposed for disposition shall be reviewed to determine if it is under any restrictions. Where restrictions exist as to use or disposition of an object, the Museum shall do the following:
- a) mandatory conditions shall be observed unless deviation from their terms is authorized by a court of competent jurisdiction; or
 - b) non-binding restrictions shall be observed until reasonable efforts to comply with the restricting conditions are no longer practical or possible.
- 5.4.2 For unrestricted objects where the value exceeds \$2,500, the Museum will make reasonable efforts to notify the donor if it intends to dispose of the object within ten years of receiving the gift or within the donor's lifetime, whichever is less. If there is any question as to the intent or force of restrictions, the Museum will seek the advice of its General Counsel.
- 5.4.3 The unique and special nature of human remains and funerary and sacred objects shall be considered in disposition decisions concerning such collections.

5.5 Use of Proceeds

The proceeds realized from a sale of collection items must be used for acquisitions to the collections.

5.6 Claims for Repatriation of Cultural Property Pursuant to NAGPRA

- 5.6.1 AMNH complies with the Native American Graves Protection and Repatriation Act. It requires federal agencies and federally-funded museums and institutions to repatriate to federally-recognized Native American tribes the following: human remains, funerary objects, sacred objects, and objects of cultural patrimony. The program is administered by the Cultural Resources Office reporting to the Provost. The staff is advised by the curators of Anthropology, with responsibility for repatriation decisions assigned to the Anthropology division chair, the Associate Dean of Science for Collections, and the Provost, subject to approval by the Trustees Collections Committee for contested repatriation decisions.
- 5.6.2 Set forth below are general principles guiding the Museum's collection, use and repatriation of human remains and cultural property of Native Americans within the scope of NAGPRA:
- The Museum will strive to answer promptly inquiries for information about its collections by Native American authorized representatives and provide physical access to collections and research materials in accordance with the Museum's policies regarding access to collections.
 - The Museum will engage in consultation with potential Native American

claimants with respect for the human rights of Native Americans and with recognition of the values of archeological and anthropological research and public education and the need to pursue them in a manner that takes into account the values of Native American peoples.

- The Museum will strive, when appropriate, to resolve questions of repatriation consensually through cooperative and timely discussions with all interested Native American groups and lineal descendants recognized under NAGPRA. Where issues remain after good faith discussions, an attempt will be made, to the extent permitted by NAGPRA, to settle these issues through mutually agreed upon processes of mediation, arbitration, or through use of the NAGPRA Review Committee.
- The Museum recognizes the need to exhibit Native American cultural items with respect for their relationship to the cultures of Native peoples, and, where appropriate, will engage in consultation with Native Americans concerning their beliefs and viewpoints.
- The Museum will document the objects of repatriation as thoroughly as is reasonable and appropriate. The costs associated with repatriation such as packing, transportation, insurance, or other expenses will be paid by the party identified by the regulations unless otherwise agreed.

5.7 Claims for Repatriation of Cultural Property from Outside the USA

- 5.7.1 Where cultural property is found to have been imported illegally, or under circumstances that render the claim of AMNH to title or right of possession invalid, the claim for restitution or repatriation from a foreign nation, foreign government agency unit, or foreign institution shall be granted. Cultural property under this policy does not include human remains.
- 5.7.2 Unless an object or artifact of cultural property is found to have been imported illegally, or under circumstances that render the claim of AMNH to title or right of possession invalid, a claim for restitution or repatriation from a foreign nation, foreign government agency unit, or foreign institution is contingent upon agreement with AMNH. Agreement from AMNH to return cultural property may be obtained upon exceptional circumstances and, where appropriate, an exchange of consideration in response to approved claims for repatriation and pursuant to an agreement. Such circumstances and agreement should recognize the legal norm that property imported lawfully and with good title and right of possession that is put to a public use such as in a museum becomes the protected cultural property of the institution and collecting nation. It is protected by the institution's ethical obligation of preservation and the general understanding that the cultural property should remain in the collecting country for the benefit of present and future generations
- 5.7.3 The broadest law compelling repatriation of cultural property is the 14 November 1970 UNESCO Convention on the Means of Prohibiting the Illicit Import, Export and Transfer of Ownership of Cultural Property. The USA and over 100 nations have signed and ratified the convention which provides that the following are illicit after the date of the convention: a) the exportation of cultural property from its territory unless

accompanied by an export certificate where the country of origin's laws so require; b) the acquisition and import of cultural property stolen from a museum or a religious or secular public monument or similar institution; and c) the export and transfer of ownership of cultural property under compulsion arising directly or indirectly from the occupation of a country by a foreign power. As implemented by the US (P.L. 97-446 in 1983, 19 USC 2601), the convention provides protection for archeological and ethnographic materials when the US grants the foreign nation's request. Bolivia, Cambodia, Canada, Cyprus, El Salvador, Guatemala, Honduras, Italy, Mali, Nicaragua, and Peru have had such requests approved. China has a request pending.

- 5.7.4 In addition to the specific restrictions on imports from countries covered by the 1970 UNESCO Convention, many countries now have cultural heritage laws that either prohibit export or require permits for the export of items ranging from cultural objects of indigenous peoples, archeological objects, historical items, and items of natural science such as meteorites, fossils and other natural history specimens. Such laws include export controls and some include foreign government ownership. While foreign export controls alone are not enforceable directly in the USA, they can invoke other US laws such as the US Stolen Property Act where accompanied by foreign national ownership.
- 5.7.5 Other laws also compel repatriation. The Treaty of Cooperation between the USA and Mexico of 1970 provides for the recovery and return of stolen archeological, historical, and cultural properties. And the Pre-Columbian Monumental Act of 1972 (19 USC 2091-2095 and regulation 19 CFR 12.105-12.109) governs the import of monumental or architectural sculptures or murals that are the product of a pre-Columbian Indian culture of Belize, Bolivia, Colombia, Costa Rica, Dominican Republic, Ecuador, El Salvador, Guatemala, Honduras, Mexico, Panama, Peru, or Venezuela. The law requires either a certificate from the country of origin that the export is not in violation of the laws of that country or evidence that the item was exported from the country of origin on or before June 1, 1973.
- 5.7.6 Any claim shall be forwarded to the Provost, and upon request of the Provost, the Cultural Resources Office will ordinarily maintain coordinating communications with the claimant. The Provost shall appoint an ad hoc committee (including the curator in charge of the appropriate collection) to examine the claim and make a recommendation to the Provost. The Provost shall obtain the advice of General Counsel and make his recommendation to the Trustees Collections Committee of the Board of Trustees, who shall decide the claim and approve any agreement.

6.0 Access to Collections and Security

6.1 General Requirements of Security

- 6.1.1 Standards of what constitutes appropriate security are changing rapidly concomitant with the rapid increase in the scientific and monetary value of natural history collections generally and Museum collections specifically. Depletion of natural populations means that fewer and fewer specimens in our zoological collections can ever be replaced. Many species of animals considered common a generation ago

are now threatened, endangered, or extinct. Other collections (e.g., fossils, minerals and gems, ethnographic and archeological items, some butterflies, and shells), always valuable in the monetary sense, have seen their values in recent years driven to very high levels by private collectors.

- 6.1.2 In light of the irreplaceability of the collections, their scientific and in some case monetary value, and the importance of protecting AMNH collections for future generations, it is essential to meet security standards issued from time to time to protect the collections while supporting and promoting ongoing scholarly use and development of the collections. Security requires protection against both outside intrusion as well as internal theft of the collections.
- 6.1.3 Security standards provide a) an overarching access and security policy that establishes broad responsibilities and basic security objectives; b) science division procedures that implement the policy and meet the special or unique nature of each collection and of the storage area physical environment; and c) tools to monitor compliance, deter or detect violation of division procedures, including non-technical procedures (e.g. sign-in/sign-out, coat/bag check areas away from collection rooms, monitoring those using the collections, check-out procedures) as well as recording cameras, collection alarms, and security card access information.
- 6.1.4 The Museum's existing Collection Security Policy is superseded by this policy.
- 6.1.5 An institution as large and complex as the Museum with its enormous number of ongoing educational and academic activities requires some supervised flexibility in the application of any policy. To accomplish this, and to help refine this policy, all requests for specific exemptions should be directed, well in advance of the needed exemption (e.g. staff, visitors, volunteers, part-timers, off-hours work), by the division chairs in writing to the Associate Dean of Science for Collections.

6.2 Staff Collection Access

- 6.2.1 Scientific staff and scientific support staff will have access to the collections assigned to their care. Formally-associated graduate students (those who are candidates for a degree to be awarded by the Gilder Graduate School and students who are resident at AMNH but matriculating through other institutions e.g. CUNY, Columbia, Cornell, or NYU) may have access to the collections relevant to their study, including departmental libraries and archives upon approval by the division chair or Associate Dean of Science Collections and upon any conditions they require. Only these researchers may have keys to collection space and even in these cases, division chairs are cautioned to pay close attention to who is provided access. Division chairs will be provided annually by Security with a report providing all key assignments as well as the distribution of electronic access to their departmental areas, and in the case of collection storage areas (and with the exception of Security), all keys and electronic card access within the science divisions must be approved annually by the division chairs and reviewed by the Associate Dean of Science for Collections.
- 6.2.2 Volunteer and part-time employee access to collections must be restricted and supervised. All volunteers must be registered through the Volunteer Office, including those whose initial association with the Museum predates the Volunteer Office. Volunteers and part-time employees may be used to assist in curation and arrangement of collections, but they may not have unsupervised access nor off-

hours access to the collections except upon approval by the division chair or Associate Dean of Science for Collections and upon any conditions they require.

6.3 Scholar Research Access

- 6.3.1 During normal operating hours, the collections shall be accessible for legitimate research and study by responsible, approved researchers (including visiting graduate students), subject to procedures necessary to safeguard the objects and to restrictions imposed by limitations of space and facilities, exhibition requirements, and availability of appropriate scientific staff, subject to the discretion of each science division.

Visits to collections shall involve a formal documentation process comparable to that for specimen loans to other institutions. Requests must be recorded in the form of written application describing the purpose and duration of the use. Requests for visits must be made in writing or email, and made sufficiently prior to the anticipated visit to allow the curator-in-charge (or division chair) time to evaluate carefully the request and approve or disapprove it in writing or email.

- 6.3.2 In the case of scholarly visitors from other recognized academic institutions, including graduate students with countersigned requests, access must be monitored and supervised by a member of the scientific staff. Visiting researchers should be restricted to only the areas of collections they have requested to visit.
- 6.3.3 The division shall maintain a visitor's register as a permanent record recording sign-in, sign-out names, dates and times and signed or initialed by the staff member supervising the visitor.

6.4 Tours and Visitor Collection Access

- 6.4.1 Tours and other visits by the general public to collections areas shall involve a formal documentation process comparable to that for specimen loans to other institutions. Requests for visits must be made in writing, and made sufficiently prior to the anticipated visit to allow the relevant curator-in-charge (or division chair) time to evaluate carefully the request and approve or disapprove it in writing. Tours and public visits must be accompanied by curatorial or collections management staff. Unannounced tours and visits to collections by visitors will not be permitted. No computer cases, briefcases, or backpacks are allowed in collection storage during these tours and public visits.
- 6.4.2 All visitors must go through a checkout procedure by either the collection staff (and noted on the visitor record) or by Security. The checkout will include a physical search of such items as computer cases, briefcases, and backpacks if such items were taken into collection areas.
- 6.4.3 Private collectors, dealers, or amateurs, the category of users of most concern from a security standpoint, will have only indirect access to specimens and then only under direct supervision of curatorial or collections management staff. Without exception,

access to specimens by this category of user will be limited exclusively to regular weekday work hours.

6.5 Staff Service Access

- 6.5.1 Unless specifically requested by the relevant division chair, access by Security staff into collection storage rooms will be restricted to scheduled security tours or documented emergencies.
- 6.5.2 Access by members of Facilities Services, Construction, and Custodial staff will be restricted and access will be permitted solely by prior agreement of the Associate Dean of Science for Collections and the division chair. Access to collection areas by Facilities Services, Construction, and Custodial staff will be restricted to business hours and supervised by collection management staff, except in the case of emergencies or by prior agreement with collection management staff, where Security staff may substitute for collection management staff.

6.6 Contractor or Other Access

Contractor access is barred unless a) approved by the collections management staff or the Associate Dean of Science of Collections and accompanied by a Security guard, or b) approved by the curator-in-charge or science division chair and accompanied by a responsible member of the collection management staff.

Access to collections for filming or other media purposes will be permitted solely after approval by AMNH Communications and by prior agreement of the curator-in-charge, science division chair, Associate Dean of Collections or Provost. Following approval of the request, the media staff will be accompanied at all times by a member of the AMNH Communications staff and a responsible member of the collection management staff or a Security guard. All arrangements relating to lighting or movement of specimens must be approved in advance by the curator-in-charge, science division chair, or the collection management staff

6.7 Physical Security Requirements

- 6.7.1 All collection cabinets that can lock must be locked; all doors to collection areas must be locked and kept locked. Keys to these cabinets should be restricted and the arrangements for issuing keys set out in the division's procedures. Divisions should make an inventory of all cabinets that do not lock and convey this information to the Associate Dean of Science for Collections, as well as attempt to get extramural funding for their replacement.
- 6.7.2 Office space and collection storage space should not be mixed except for current research on collection objects that reside securely in a curator's laboratory or office. Where offices and collection storage are already unavoidably mixed due to design decisions made years ago in response to space limitations and other considerations, departments should move towards having all collection cabinets in these areas

locked and appropriate thought given to improving collection security. No new office space may be developed in areas shared with collection storage.

7.0 Collection Data Access and Use

- 7.1 Collection data are defined to be those data (whether in electronic form or not) directly linked to the Museum's scientific collections, including but not necessarily limited to specimen or object (including images) identification, provenience, and disposition, such as is provided by catalogs, images, label information, field notes, and other associated descriptors. Excluded by this definition are the interpretive data and conclusions that are derived from specimens/objects in the normal course of scientific and scholarly research. It is assumed that free, open, and timely access to these kinds of data will result from standard avenues of scholarly publication and electronic dissemination.
- 7.2 The Museum's collection data, specimen-based and taxonomic databases, catalogues, and lists, like the collections from which they are derived, are the property of the Museum. The Museum through the division chairs and curators shall exercise responsible stewardship over this data so as to maximize the usefulness of these resources to the research community, while protecting the resources for the future.
- 7.3 Researchers will be granted the right to copy and make duplicates of their field notes and photographs and other documentation. Should the researcher leave the Museum, copies of the field notes and field photographs will be provided as requested by the researcher. The original materials shall be maintained as part of the collections in the division or in permanent storage in the Museum archives or special collections, or as otherwise provided in the AMNH Scientific Research Data Custody, Retention and Access policy.
- 7.4 Reasonable measures will be made by AMNH to assure that ongoing research by the scientific staff is not expropriated by others through injudicious dissemination of recently collected data, or access to recently collected specimens which are the focus of ongoing research and/or authorship within the Museum.
- 7.5 Release of collection data in any media, including hard copy, CD-ROM, on-line service, or other electronic media, to another research institution or scholar shall be upon terms and conditions established in each science division procedure and in consultation with the Associate Dean of Science for Collections and the Provost where substantial reason exists. The science division policy shall establish when it is appropriate that these terms be in writing or in a data release agreement that addresses the following:
 - a) the intended use and its scientific merit;
 - b) restrictions on publication, if any, including release of sensitive information (e.g. locality data for endangered species, and restricted donor identification);

- c) agreement by the borrower to acknowledge the Museum as the source of the data in all publications (if authorized);
 - d) the borrower's rights and restrictions to reproduce the data through photography or other means;
 - e) provision for reciprocity and in-kind services, as appropriate; and
 - f) prohibition on the transfer of data or documentation to a third party without the Museum's consent.
- 7.6 The Museum expects appropriate citation and acknowledgment for the use of such information and materials, whether scholarly or commercial, except by prior agreement or where the Museum prohibits or disassociates its name from the use.
- 7.7 AMNH recognizes that in some circumstances access to some information (as well as to the collections themselves) may be variously restricted. As outlined above, reasons for limiting access will be provided to the person or agency making the request. Although no list can be complete, the following restrictions to access have been identified:
- 1) Information that might create threats to the conservation of biodiversity, such as precise geographic information about threatened, endangered, or commercially exploitable species.
 - 2) Information that might create threats to collection localities, including fossil or archaeological sites, and thus impede preservation efforts.
 - 3) Information associated with collections that are culturally sensitive.
 - 4) Information associated with collection material that is restricted by binding agreements with other parties or is otherwise restricted as deemed appropriate (e.g., when it might jeopardize collection security).

8.0 Research Loans

8.1 Incoming Research Loans

- 8.1.1 At any point in time thousands of specimens belonging to other research institutions are held for research purposes and are under loan agreements by the AMNH for use by AMNH researchers. Currently, approximately 151,000 specimens are on loan to AMNH research staff across all five science divisions. This activity is reciprocal and common practice within the fields of comparative biology and Earth and planetary sciences. It is expected that all such materials will be returned to the institution of ownership in a timely way.
- 8.1.2 All incoming loans are regulated by loan agreements held by the individual divisions/departments and their respective curators. Incoming research loans shall be processed and managed under the care of the collection management staff. A

loan record shall be maintained in division files by the collection management staff with an inventory list of all incoming loans.

- 8.1.3 Only curators and those resident research associates authorized by the division chair have authority to accept institutional loans for research and to review the required documentation and legal compliance. This includes loans for research by graduate students, post-doctoral fellows, and other staff, all of whom will require a curator to be the responsible party for any loans made for their use.

8.2 *Outgoing Research Loans*

- 8.2.1 The division/department shall submit its loan procedures within six months after adoption of this policy for approval of the Associate Dean of Science for Collections, and the Provost. The procedures shall include a loan time limit, approval by a loan committee or curator-in-charge, and that the loan is promptly recorded in a database accessible by the division chair, Associate Dean of Science for Collections, and Provost. Objects shall not be loaned except under the stipulations of the divisional procedures. Exceptions to these procedures require the approval of the science division chair, the Associate Dean of Science for Collections, and the Provost.
- 8.2.2 Research loans shall be limited to a qualified staff member of a research institute, educational institution, or museum. Loans shall not be made to individuals except under special circumstances and then only with approval of the division chair. In all cases, the following shall be required:
- a) A condition report (photo and notes on condition from examination prior to shipment) and shipping record shall accompany each loan, and accurate and complete records of the loan shall be maintained by the division.
 - b) In circumstances where reasonable doubt exists regarding the ability of the borrowing institution to care for the specimen, a facilities report and a statement on the care required of the specimens or artifacts shall be required;
 - c) Except where declined or prohibited by the Museum, or precluded by journal publication format, the Museum shall receive credit in publications and databases for providing samples to the researcher, and shall receive copies of all publications and notices of database deposits;
 - d) Ownership of the products of research shall also be addressed where required by the AMNH intellectual property policies;
 - e) A loan agreement, signed by the borrower specifying date of return and requiring written permission for pest treatment, preparation, restoration, dissection, casting, photography, publication, destructive sampling, and transfer to a third party. The division shall make and retain a permanent record of the return or other disposition of the object.
 - f) For outgoing research loans, the borrowing institution (or the individual approved borrower if not affiliated at an institution) is responsible for assuring that the borrowed items are insured or indemnified in line with this policy.

- 8.2.3 The division chair shall periodically review with the curator-in-charge or collection staff delinquent loans and adopt a procedure to address compliance.

8.3 Access to Genetic Resources and Benefit-Sharing Policy

- 8.3.1 The Provost must approve all AMNH research that is conceived with the aim of discovering and developing marketable products. Where AMNH research is conceived with the aim of discovering and developing marketable products, such projects will be governed by specifically negotiated agreements with countries of origin that set out agreed terms of fair and equitable benefit-sharing.
- 8.3.2 Where AMNH research projects are not conceived with the aim of discovering and developing marketable products, but do lead to the discovery of potential commercial uses of certain genetic resources, the AMNH will notify the country of origin as soon as is practical. AMNH will not commercialize any plant, animal or fungal material without the prior informed consent of the country of origin and appropriate stakeholder institutions. AMNH undertakes to share fairly and equitably any benefits arising from such commercialization.
- 8.3.3 Use of AMNH genetic research shall be in accordance with AMNH intellectual property policies.
- 8.3.4 AMNH does not sell biological material from its collections for commercial purposes.

8.4 Destructive and Invasive Sampling Policy

- 8.4.1 Destructive and invasive sampling varies with the scientific field. In natural sciences dismemberment of specimens is a common occurrence and leads to increase specimen value. In other collections, destructive and invasive sampling is considered an exceptional occurrence.
- 8.4.2 Each division shall establish an approval procedure for destructive sampling which shall take into account the obligation to balance the demands placed on the collections for current research with the need for preservation for future use. This obligation applies to the physical and chemical integrity of the specimen as well as to associated data.
- 8.4.3 Requests shall be evaluated on the basis of written information provided by the researcher. Each division shall also establish general standards for carrying out the sampling process and fulfilling documentation requirements where destructive sampling is permitted. These procedures shall be undertaken in a controlled manner with approval by a curator and the division chair or curatorial committee.
- 8.4.4 Any out-of-the-ordinary-course intent to extract or destroy a noticeable proportion of a significant specimen must also be referred for approval to the Associate Dean of Science of Collections, and, if warranted, to the Provost.
- 8.4.5 If the specimen or artifact will be completely destroyed during sampling or so

damaged that its significance for the collections shall be substantially compromised, be deaccessioned and a deaccession record submitted to the Office of the Registrar.

8.4.6 Criteria to be used in evaluating destructive sampling requests by staff members and outside researchers shall include:

- a) the intended use and its scientific merit;
- b) the nature of the specimen and its history of acquisition and sensitivities surrounding the specimen, including its rarity, scientific importance, and monetary value;
- c) the quantity of material necessary and limitations on the quantity made available;
- d) the researcher's competence with the proposed methods and the appropriateness of these methods as the least intrusive and the most likely to yield the intended results;
- e) the researcher's resources, including availability of relevant specimens at the requesting institution, to carry out the study without sacrificing all the available material of the particular collecting event or compromising the future utility of the specimen or artifact for other investigations;
- f) the possibility of the Museum receiving an exchange of other materials from the researcher or institution in situations where the specimen or artifact is to be completely destroyed or extensively damaged;
- g) where the sampling includes DNA sampling, whether the DNA extraction will be returned to the Museum for reference to decrease the need for additional extractions by other researchers; and
- h) the willingness of the researcher to abide by the Museum's operational standards for processing, documentation and for the dissemination of the results of the work within a reasonable time period.

8.4.7 Failure of a researcher or institution to comply with Museum requirements and standards in previous transactions shall be reported to the science division chair and the Associate Dean of Science of Collections and may be grounds for denying new requests and other sanctions. Open transactions (e.g., loans) shall become a part of the record of the current request.

8.4.8 Original data, documentation, and records of specimens or artifacts that have undergone destructive sampling shall be preserved in division files.

Upon the approval of a request for destructive sampling, a loan agreement shall be signed between the science division and the researcher and an authorized representative of the researcher's institution. The agreement shall stipulate the scope of the material to be sampled, methods of evaluation, standards for processing and documentation.

- a) the documentation of the methods and extent of sampling; .
- b) return to the Museum of unused portions of specimens or artifacts, unless otherwise specifically agreed;
- c) what, if any, resulting analytical data and duplicates of tangible products such as photographs and slides shall be provided to the Museum to become part of the specimen or artifact's permanent record, and the date of deposit;
- d) what, if any, period of confidentiality the researcher may be granted during which the data may not be made available by the Museum to others;
- e) what, if any, gene sequence data shall be deposited in relevant public access databases, with GenBank accession numbers provided;
- f) the responsibility of the researcher or his or her institution for all costs associated with the sampling, including curatorial and collections management time in handling the request; and
- g) that the Museum shall receive credit, or prohibit credit, in publications and databases for providing samples to the researcher and shall receive copies of all publications and notices of database deposits.

9.0 Exhibition Loans

9.1 Outgoing Loans for AMNH Traveling Exhibitions

9.1.1 Outgoing loans from the AMNH collections to be displayed in AMNH traveling exhibitions shall be reviewed by the curator-in-charge, a registrar, a conservator, an Exhibition department representative with responsibility for maintenance of exhibitions on-site, and a representative of Traveling Exhibitions. Loans shall require at least the approval of the science division chair or its loan committee and shall be discretionary with each science division evaluated according, but not limited to the following criteria:

- a) the rarity, scientific importance, and monetary value of the material;
- b) the nature of the material and the conditions of preservation and security under which it will be kept;
- c) the impact of the material's absence on research and exhibition;
- d) the impact of the material's absence on education programs;
- e) the potential risk of moving and transporting the material;
- f) the cost to the Museum of preparing the loan;
- g) legal restrictions on the object's loan; and
- h) concerns of indigenous peoples.

9.1.2 Tracking and management of these loans is the responsibility of the Registrar. The AMNH Traveling Exhibition Agreement shall require at least the following:

- a) An acceptable facility report shall be secured for all venues.

- b) The stability of the material for loan and transport shall be evaluated and any necessary preparation and conservation shall be carried out prior to the loan.
- c) The identity of the party paying the costs of conservation, insurance, mounting, appraisal, packing and shipping, including the costs of a hand-courier when required by the status or condition of the object, or as required by section 12.9.4, shall be explicit in the loan agreement.
- d) A condition report (photo and notes on condition from examination prior to shipment) shall be prepared to accompany each object on shipment out. The condition report shall be updated at each packing and unpacking. The loan agreement shall require condition reports to be filed by the borrower upon receipt and upon shipment to the Museum upon return and shall require prompt notice to the Museum of any loss or damage.
- e) Items and lots from the AMNH collections and from others lending to the exhibition must be fully insured or indemnified for the whole period of the loan on an "all risks, wall to wall" insurance policy. Insurance is normally arranged by AMNH through its approved insurers at AMNH expense. If the borrower proposes to use its own insurance or an indemnity by the foreign government or agency, the insurance policy and insurer, or indemnity and foreign agency, shall be subject to approval of the Registrar and General Counsel. The insurance or indemnity shall provide for AMNH or other lenders to be named insureds with a waiver of subrogation.
- f) A borrower outside of the United States shall be required to furnish an official document, or an equivalent assurance, certifying that loans are granted immunity from seizure where a risk of seizure exists in the opinion of the Registrar, curator of the exhibition, or General Counsel.
- g) All loans must comply with all USA and foreign government import and export regulations.

9.2 Outgoing Loans for Exhibition at another Institution

Tracking and management of these loans is the responsibility of the Registrar who shall obtain a loan agreement and shall require at least the following:

- a) An acceptable facility report.
- b) The stability of the material for loan and transport shall be evaluated and any necessary preparation and conservation shall be carried out prior to the loan.
- c) The identity of the party paying the costs of conservation, insurance, mounting, appraisal, packing and shipping, including the costs of a hand-courier when required by the status or condition of the object, shall be explicit in the loan agreement.

- d) A condition report (photo and notes on condition from examination prior to shipment) shall be prepared to accompany each object on shipment out. The condition report shall be updated at each packing and unpacking. The loan agreement shall require condition reports to be filed by the borrower upon receipt and upon shipment and return and shall require prompt notice to the Museum of any loss or damage.
- e) Items or lots from the AMNH collections must be fully insured or indemnified for the whole period of the loan on an "all risks, wall to wall" insurance policy. If the borrower proposes to use its own insurance or an indemnity by the foreign government or agency, the insurance policy and insurer, or indemnity and foreign agency, shall be subject to approval of the Registrar and General Counsel. The insurance or indemnity shall provide for AMNH or other lenders to be named insureds with a waiver of subrogation.
- f) A borrower outside of the United States shall be required to furnish an official document, or an equivalent assurance, certifying that loans are granted immunity from seizure where a risk of seizure exists in the opinion of the Registrar or the curator-in-charge, in consultation with General Counsel, who shall review the document granting immunity.
- g) All loans must comply with all USA and foreign government import and export regulations.

9.3 Incoming Loans for Exhibition at AMNH and for use in AMNH Traveling Exhibitions

Incoming loans of objects for exhibition at AMNH or for AMNH Traveling Exhibitions shall be managed by the registrar assigned to the exhibition with assistance from the curator of the exhibition and the Exhibition staff assigned to manage the exhibition. Incoming exhibition loans shall comply with the following:

- a) insurance values, as determined in writing by the lender and acceptable to AMNH before the item or lot leaves possession of the owner, shall be obtained to procure sufficient coverage under the Museum's insurance, lender's insurance, or federal indemnity;
- b) condition reports with photographs shall be prepared and kept on file upon each packing and unpacking, and any damage or loss shall be reported promptly to the lender;
- c) immunity from seizure shall be sought by the Registrar and General Counsel from the US State Department for all international loans of objects; and
- d) a loan agreement shall be signed by the lender acceptable to the registrar, curator, and Exhibition staff; loan renewals shall be sought when required; and loans shall be returned promptly at the end of the loan period.
- d) If an object is to travel to other venues after exhibit at AMNH, the registrar shall ensure that the lender's agreement so provides and that the above items a) through d) are met.

9.4 Intramural Loans for Exhibition at AMNH

Loans from the science divisions to the Department of Exhibition for purposes of exhibition within AMNH premises will be managed by the Office of the Registrar in consultation with a conservator and approval of the science division of origin. The reason for the loan shall be reviewed (e.g., casting, making surface molds, temporary relocation off-site to contractor studios) as well as the exigencies of exhibition development and maintenance. As with incoming loans for purposes of exhibition the following conditions will be met:

- a) condition reports shall be prepared and kept on file and any damage or loss shall be reported promptly to the lender;
- b) a loan agreement shall be signed by the lending curator-in-charge, acceptable to the registrar, science division, and Exhibition Department; loan renewals shall be sought when required; and loans shall be returned promptly at the end of the loan period; and
- c) adequate security shall be provided.

10.0 Inventory Control

10.1 Minimum Standards

- 10.1.1 Each science division shall maintain an up-to-date inventory in written or database form with back-up copies that includes the description, accession status, loan status, and location of all specimens or lots in its collections. This includes outgoing items or lots loaned from the collections for research or through the Office of Registrar for exhibition.
- 10.1.2 Any division that cannot currently meet this minimum shall report that fact in their annual collections report and include a plan and plan progress in meeting the minimum standard.
- 10.1.3 Each division will identify in its procedures the division staff with the authority to create, edit, update and access inventory records and who is accountable to keep the inventory current. An inventory record must be created at the time a specimen or specimen lot enters the AMNH, or at the time of discovery if later. Specifically this means that all incoming loans and collections with the potential to be accessioned will have their existence, location, and acquisition information documented in the records of the division.
- 10.1.4 Each science division shall maintain up-to-date information that accounts for the description, ownership, and location of all incoming specimens or specimen lots entering into the division's custody. In general, such material shall be either recorded as a) an incoming research loan, b) a temporary deposit (for a potential gift, bequest, purchase or exchange), c) an acquisition or accession (by purchase, exchange, gift, bequest, or field collecting.) or d) a permanent loan (see section 4.7)

- 10.1.5 Each science division shall maintain up-to-date information that accounts for the description, ownership, and location of all outgoing specimens or specimen lots leaving the division's custody. In general, such material shall be either recorded as a) an outgoing research loan, b) an outgoing exhibition loan, or c) a deaccession or other disposition.
- 10.1.6 Many specimens come into AMNH on a temporary or provisional basis, most awaiting completion of research with a later determination that the specimen be accessioned into the collection (e.g. specimens retained in exchange for identification from other institutions), or in cases of joint collecting with a foreign or other US institution, the specimens await research and a later agreement on allocation of the specimens collected from an expedition. Other objects come in for authentication, or on loan, or to be examined and considered for purchase or exchange. No science division shall take possession of material without recording in its inventory records a deposit, loan, or acquisition, which shall be done promptly, generally within 3 months.
- 10.1.7 Each science division shall maintain as part of its inventory record the room and shelf or cabinet location of each cataloged specimen or specimen lot (or group of such items that are stored together). For the natural science collections, initially a generalized inventory of the location of permanent and borrowed collection 'lots' with more specific location and status of important objects such as type collections may be sufficient. Locations of priority collections (types, high value objects, rare materials) will be noted in the inventory and the specimens in question will be documented by photography or other methods to the extent of the resources available. Location records for these items or lots will only be made available to AMNH staff, and for certain items or collections it may be necessary to further restrict access to records of location to selected personnel only.

10.2 Control Procedures

- 10.2.1 Each science division must identify a curator-in-charge as the person who has authority to receive and accept objects and specimens into custody and to review the required documentation and legal compliance for each collection within the science division. AMNH shall only accept items for entry through trained designated staff and at designated times and points of acceptance where entry of the items can be logged and receipts issued. Designated points of entry are 1) collection management or research staff within a science division by hand or by post where the science division is the point at which these parcels are opened; or 2) another point designated by the division chair.
- 10.2.2 Those non-divisional units within the AMNH (e.g., Center for Biodiversity Conservation) that field collect as part of their activities must do so in collaboration with a science division through the division chair and Associate Dean of Science for Collections. Prior to any field work, the division chair and Associate Dean of Science for Collections must receive the opportunity for a prior review and then a final copy and progress reports of all field research agreements with host countries, their agencies or institutions that involve acquisition and curation of specimens on deposit or under custodial control of AMNH. The director of the non-divisional unit, the division chair and Associate Dean of Science for Collections will oversee compliance

with this policy and the foreign agreements, including any requirement of repatriation of some or all of the specimens to collaborating institutions.

- 10.2.3 Specimens of protected species must be brought in through a designated port unless prior arrangements are made with U.S. Fish and Wildlife Service. CITES requires special permits to move a specimen or part of a specimen on the CITES list across an international border. In addition, AMNH prohibits the acquisition of a specimen or object collected in violation of the laws of a foreign country.
- 10.2.4 All items or lots deposited at designated entry points must comply with the pest management procedures set out in the procedures manual for the relevant science division, or with general AMNH procedures and be treated to eradicate any insect pests before entering collections areas. AMNH staff shall inform the depositor of the items that the items shall be treated in accordance with the AMNH procedures.
- 10.2.5 Collection management staff receiving items shall complete a brief condition checklist in standard form prepared by conservation on the item being deposited and shall highlight any defects, damage, conservation problems, health or safety issues and reject any item that poses a risk to staff or the public and record the reasons. AMNH is under no obligation to accept hazardous items from the public or to perform safe disposition on their behalf.
- 10.2.6 AMNH shall generally refuse special conditions attached to any item or lot deposited. If a depositor or owner wishes to attach special conditions to an item then these must be placed in writing and sent to the Associate Dean of Science for Collections at least five (5) business days before the item is due to be deposited.
- 10.2.7 AMNH shall only accept items after reasonable assurance that the owner holds valid legal title to the items and that delivery to AMNH complies with this policy's provisions as to legal and ethical assessments applied to acquisitions by the Museum for its collections.

10.3 Lost or Missing Items

- 10.3.1 In the event a collection item or lot is discovered or recognized as lost, the curator-in-charge will inform the Associate Dean of Science for Collections, the registrar, and, as appropriate Security. Each missing item is an individual and often unique item and thus each recent discovery of loss must be investigated. Details of the loss sustained and any subsequently acquired information should be recorded and maintained in permanent registrar, division and Security files.
- 10.3.2 Relevant staff (e.g., collection managers, registrars, division chair, Director of Security, General Counsel, Provost and President) should be informed as appropriate, depending on the significance/value of the item that is missing and the possible cause of the loss. The Associate Dean of Science for Collections will lead a review to consider whether a change to the procedures is required to prevent a reoccurrence. The Registrar shall maintain a central register of lost Items.
- 10.3.3 Efforts to recover lost or stolen property shall be referred to General Counsel.

11.0 Documentation

11.1 General Requirements

- 11.1.1 The catalog record is the compilation and maintenance of key information, formally identifying and describing a specimen or lot within a particular collection. It may include information concerning the provenience of objects and also collections management documentation e.g. details of acquisition, conservation, identification, type status, exhibition and loan history, and location history. It need not bring together in one location everything known about an object, but should provide cross-references to any other relevant information source known to the organization.
- 11.1.2 Evidence of the identity, condition, history, of scientific value of a specimen, artifact, or collection when recorded in a permanent manner enhances its' value. Also, this record may need to substitute for a specimen or artifact should, for example, the object deteriorate, be lost, stolen, or destroyed.
- 11.1.3 All objects or groups of objects acquired for the collections shall be catalogued to meet the professional standards of the pertinent scientific discipline and recommendations of relevant professional societies. Catalogue records must 1) provide a level of description sufficient to identify an object or group of objects and its differences from other, similar objects; 2) provide an historic archive relating to an object or cross-references to sources where information can be found; 3) be held in a system that allows convenient access, e.g. using indexes or free-text retrieval.
- 11.1.4 It is recognized that some science divisions may have inherited catalogs that fall short of the standards outlined here, or may be dealing with backlogs of uncataloged material. Steps will be taken to address these issues to the extent made possible by available resources and reported in the annual collections report.

11.2 Primary Documents; Study Materials

Originals of field notes, maps, research notes, original specimen labels, correspondence, reports, electronic files, illustrations, recordings, photographs including negatives, archives, catalogues and lists integral to the preparation and study of the specimens and artifacts are organic to the collections and shall be the physical property of the Museum.

11.3 Archival Requirements

To provide long-term security of the existing and new cataloguing information and primary documents currently in the form of paper-based media, AMNH is endeavoring to digitize relevant paper-based records and preserve these with electronic management systems and off-site back-up copies.

12.0 Care and Conservation

12.1 Preventive Maintenance

- 12.1.1 Each division shall establish in consultation with the Conservator of Natural Science collections and subject to the approval of the Associate Dean of Science for Collections or Provost a written preventive maintenance plan that sets priorities for the care of the collections as a whole and for the care and treatment of individual specimens, artifacts, and documents of particular scientific, educational, historic, or aesthetic value.
- 12.1.2 Most specimens come to museums through field collecting. But, whatever their source, all specimens undergo some field and/or laboratory preparation prior to becoming part of a collection. Preparation may entail the skilled excavation of fragile fossils from the surrounding matrix, or the complex chemical fixation of biological tissues to stop putrefaction.
- 12.1.3 For biological collections, most basic preparation is done in the field within hours of the collection of the specimen. This ensures that they will not deteriorate before being taken to the laboratory for final preparation, analysis, and storage. Geological and paleontological collections are prepared both in the field and in the laboratory depending on the particular collecting environment and the needs of the specimen.
- 12.1.4 Preventive conservation continues after preparation in the field. It is an on-going process throughout the life of each item that provides for the mitigation of deterioration and damage through:
- appropriate environmental conditions;
 - handling and maintenance procedures for storage, exhibition, packing, transport, and use;
 - integrated pest management;
 - emergency preparedness and response; and
 - reformatting/duplication.
- 12.1.5 In broad terms, the science collections use three main ways of preservation: dry (usually pressed, pinned, boxed, articulated skeletons, disarticulated skeletons, study skins or mounted), in fluid (primarily in an ethyl alcohol), or at extreme low temperatures (for example, in liquid-nitrogen-cooled dewars at -100 deg C). The preservation of items in the collections is influenced by practical considerations and contemporary developments. AMNH is always open to consider new information and methods of specimen preservation.
- 12.1.6 The preventive maintenance plan shall normally provide for prevention and treatment of pests. It shall include procedures for treatment of specimens and artifacts entering the buildings; prevention of infestation from outside sources, a survey and regular inspection for pests, and restriction of nutrients and living organisms in collection areas.

12.2 Conservation and Maintenance Facilities, Expertise and Treatments

12.2.1 High standards of professional collections care are essential to ensure that specimens are of value in research, exhibitions and other activities, and to promote the long-term preservation of the collections for use by future generations. AMNH places emphasis on developing the knowledge, skills and expertise of its collections management staff with the objective that they acquire:

- Expert knowledge about their own and associated collections, and the broader field to which they relate, so that they are able to make informed decisions on collections development and provide appropriate advice for users of the collections;
- The museum and archive skills necessary to handle, prepare, display, conserve and store items;
- Sufficient understanding of modern information technology to be able to apply it in the use and development of information management systems for the collections;
- Understanding of health and safety, security and risk management issues, as they apply to the collections and those who work with them;
- Broader management skills, especially in planning, assessing priorities and managing resources to meet curatorial needs.

12.2.2 A science division may either maintain its own facility for preparation and conservation or make cooperative arrangements to use the facilities or training of another AMNH department, such as the Office of the Conservator of Natural Science Collections, or institution. Preparation or conservation work may also be contracted out to freelance workers, or to other institutions, as approved by the curator-in-charge or division chair.

12.2.3 Treatments shall reflect the currently accepted conservation methods and practices in the field. Treatments shall be undertaken only by qualified Museum personnel, within the limits of their area of expertise and the facilities, or within training programs supervised by Museum conservators, or by conservation experts outside the Museum.

12.2.4 In either case, treatments (including pest management) shall adhere to professional ethics and guidelines. The Society for the Preservation of Natural History Collections ([SPNHC](#)), a professional organization, specifically supports collections management and preventive conservation for natural history collections. The organization publishes a newsletter and a journal, *Collection Forum*, with information on preservation of natural history collections and produces on-line and printed resources for collection management activities. Other earlier SPNHC reference publications include: *Storage of Natural History Collections: Ideas and Practical Solutions*, edited by Carolyn L. Rose and Amparo R. de Torres and *Storage of Natural History Collections: A Preventive Conservation Approach*, edited by Carolyn L. Rose, Catharine A. Hawks, and Hugh H. Genoways.

- 12.2.5 Conservation and preparation techniques and materials shall be fully documented by individuals who use, prepare, and manage these materials and shall be recorded in the division's files.
- 12.2.6 While collection care is principally the responsibility of scientific staff directly involved with the collections, other departments are also responsible when handling specimens and artifacts on loan to them, and preventive conservation is the responsibility of all staff, including those in the departments of Facilities-Operations, Exhibitions, and those responsible for events, conferences, and development functions.

12.3 Collections Condition Survey

- 12.3.1 In planning and executing collection upgrades, moves, and other activities relating to the physical curation of the collections, collection staff will survey, and visually inspect the conditions in which collections are kept to determine priority areas for improvement. See e.g. 'Benchmarks in Collections Care for Museums, Libraries and Archives Self Assessment Checklist', 2002 (Resource, Museums, Libraries & Archives Council, www.mla.gov.uk).
- 12.3.2 The outcome of these assessments will be summarized and included in the relevant section of each division's annual collections report.

12.4 Building Conditions

- 12.4.1 Facilities and Maintenance managers will be responsible for the provision and maintenance of suitable building conditions and will work closely with conservation and division collections management staff and curators to achieve the best possible conditions for the collections, making full use of defect reporting systems. Collections are safeguarded through the management of the following facilities systems:
- building maintenance
 - mechanical and electrical maintenance
 - building management systems
 - intrusion alarms
 - fire and evacuation systems
 - pest management
- 12.4.2 All relevant systems will be covered by service contracts and inspected periodically. When capital developments are planned the care of the collections will be taken into account and collections management staff and curators-in-charge of collections will be involved in the planning process.

12.5 Environmental Monitoring and Control

12.5.1 Collection management staff will be responsible for monitoring the collections environment as follows:

- Monitor the environment in storage and display areas, to measure and record relative humidity (RH), temperature, visible light, ultra violet radiation (UV) and atmospheric pollutants where applicable;
- Collect environmental data using continuous recording systems and hand held meters and retain the data for a minimum of 5 years;
- Collate, utilize and act upon data to provide stable and appropriate collection environments; and
- Monitor, manage and eradicate pests.

12.5.2 AMNH will store and display collections in a managed environment (relative humidity, light, etc.) that minimizes their rate of deterioration and as close to professional standards as possible. (See e.g. *Guide to Environmental Protection of Collections* by Barbara Applebaum.)

12.5.3 The following control methods will be used:

- Relative Humidity (RH): localized buffering material, humidifiers, dehumidifiers, air conditioning;
- Temperature: air handling units and localized heating and cooling;
- Visible light: daylight exclusion, blinds, filtering films, controllable fiber optic lighting, Light Emitting Diodes; and
- UV Radiation: filtering films, daylight exclusion.

12.6 Premises Maintenance

Cleaning programs will be established and followed in line with benchmarking action plans. Any staff and volunteers that are undertaking cleaning work in collection storage or display areas will be trained in cleaning techniques that are not detrimental to the collections. Chemical-based commercial cleaning products will be avoided in favor of dry cleaning methods. Vulnerable areas, such as textiles, will have dedicated cleaning materials and equipment to prevent the potential introduction of pests from other areas.

12.7 Quarantine Procedures

New acquisitions and incoming materials will be physically isolated from the Museum's collections pending full inspection and treatment to reduce the risk of pest infestation, toxic chemicals, or dangerous bacteria from affecting other collections. Where suitable, items will be sealed in polythene and held at -30°C for 72 hours to eradicate pests. Where material is not suitable for freezing, other methods (e.g. chemical treatments, anoxia, or heat) may be used. Only when treated will such objects be introduced into stores or displays containing other collection items.

12.8 High Risk Organic Material

Collections that are particularly vulnerable to insect infestation, e.g. pinned insects, feathers and fur, will be segregated to prevent the rapid spread of an infestation in the event of an outbreak. They will be stored in clearly marked boxes or sealed cabinets that are easily identifiable for regular visual inspections. When appropriate and needed, high-risk collections may be fumigated by trained individuals (either collections staff or contractors) in consultation with the Safety Officer and Conservator of Natural Science Collections and in compliance with laws and regulations regarding the selection and use of such materials.

12.9 Handling, Moving and Transport

- 12.9.1 Museum objects should be moved as infrequently as possible. They are particularly at risk when being moved or handled. AMNH will move its collection objects safely and securely.
- 12.9.2 The movement of large or awkward items will be planned in accordance with advice from the collections staff. Such moves will be risk-assessed and method statements will be produced.
- 12.9.3 All objects that are transported will be appropriately wrapped or crated to give them the most suitable protection, as specified by the collections staff and/or curators-in-charge.
- 12.9.4 When necessary for reasons of fragility, high value, complexity, etc., items that are transported abroad may be accompanied by a courier, who will be either a member of the AMNH staff or a delegated representative from another institution. A conservator, registrar, or curator may determine when a courier is required, subject to the review of the Associate Dean of Science for Collections.

12.10 Interventive Conservation and Preparation

Only appropriately qualified and experienced conservators and collections-care staff will be employed to carry out preparation and/or treatment of an object, whether to stabilize or enhance its condition or engage in any other conservation work. Conservation and preparation work should be underpinned by knowledge and understanding of the object. Critical to this is documentation of its condition and treatment, and a long term plan for the care of the object.

Conservation and/or preparation work should be planned and carried out in consultation with curatorial staff and undertaken by an appropriately qualified person, or under the supervision of an appropriately qualified person. Work undertaken by the AMNH conservators and preparators will conform to generally accepted professional standards and ethics. All treatments will be photographed and documented and records will be maintained in accordance with professional standards.

13.0 Safety

- 13.1 Safety of staff and the public is a priority at AMNH. AMNH has established a safety office and committees to manage compliance with the occupational safety and health laws and regulations and to provide safe and sanitary working facilities and equipment. AMNH expects that all members of the AMNH community will cooperate fully with the AMNH safety programs and requirements.
- 13.2 All staff and other individuals who work with the collections must be safety-trained and be approved to work on the collections and shall use only safety-approved materials and protocols.
- 13.3 The science divisions shall implement in consultation with the AMNH Safety Officer a hygiene plan with appropriate safety procedures and training for staff, volunteers, and researchers to follow. The plan will cover all hazardous materials used in collections preservation and conservation (e.g., fumigants, preservatives, storage fluids, cryogenic systems and materials).
- 13.4 In addition, it is the responsibility of those staff members who are directly involved with specimens and artifacts that have been exposed to toxic materials through preparation or fumigation practices, to clearly identify these conditions if known and to report them to the division chair, curator-in-charge, and collection manager assigned management of conservation for warnings to staff handling these specimens.
- 13.5 AMNH has developed guidelines and procedures for handling toxic materials, chemicals, and substances, as well as for other aspects of research relating to occupational and environmental safety. These policies are in the **Laboratory Safety Manual and** are generally administered by the Director of Safety and Environmental Health. Any investigator planning to use such materials must consult with the Safety Office for guidance on required training, proper handling, state and federal safety regulations, proper procedures in the event of spillage, etc., prior to initiating a study or bringing such materials into a laboratory. In most instances, a laboratory must be inspected and approved by the Director of Safety and Environmental Health before hazardous substances are brought to that location at AMNH.
- 13.6 AMNH has established an Institutional Biosafety Committee (IBC) that is charged with the responsibility for review, approval and surveillance of all research protocols and standards at AMNH molecular biology labs involving the use of biohazards including recombinant DNA. The IBC is charged with adopting such standards and procedures as required to carry out the purposes of this policy. All AMNH lab activity and research at the labs involving biohazards, regardless of the source of financial support, must conform to AMNH policies and IBC procedures and administration. For further information, see **Institutional Biosafety Policy**.

14.0 Collections Risk Management and Disaster Preparedness

- 14.1 *Risk Assessments*

14.1.1 Each science division will produce in collaboration with the Conservator of Natural Science Collections a collections risk assessment and supplemental risk registers that will be reviewed and updated every five years. The annual collections report will note the risk factors addressed by various ongoing and planned collection upgrades. The divisions' risk assessments and risk registers will identify key risks to the collection and will be used to advise on priorities and targeting resources to provide better maintenance of the collections. Within each division's collections risk assessments, the risks associated with type, figured, research, high value, exhibition and other items that bring value to the AMNH will be prioritized. The risk assessments will be reviewed annually by the Conservator of Natural Science Collections with the science division chairs and will be included in the annual collections reports of each division to the Associate Dean of Science for Collections and the Provost. The Provost will summarize these risk assessments in a report to the Collections Committee.

14.1.2 The following are examples of risks to museum collections:

- security risks from arson, terrorism, theft, and vandalism;
- natural disaster risks from earthquake, fire, flood, storm damage; and
- infrastructure risks from failure of heating, ventilating, air conditioning systems, loss of power, water leaks, and structural deficiencies;
- inappropriate handling and loan procedures; and
- loss of data due to inappropriate documentation procedures.

14.1.3 Common operations risks to the collections include:

- pests and pollutants;
- excessive exposure to light, incorrect temperature and humidity, rising damp;
- toxic chemicals and materials;
- construction of new facilities or renovations;
- removal of Museum exhibits, and installation of new exhibits; and
- special events in the Museum.

14.1.4 The Conservator for Natural Science Collections will work with the staff of each science division to identify all risks to the collections and ensure that mitigating procedures are put in place to reduce the risks to the collections that will lead to any loss of scientific value. Data gathered during this process will be provided to science division chairs and used to inform strategy for managing and conserving the collections, so that they can continue to support the scientific infrastructure of AMNH.

14.1.5 The annual collections report of each science division chair will include a report on support infrastructure that identifies key risks to the collection environment. Curators-in-charge will provide data contributed to the annual collections report of the science division chair that allows the division to assure continuity of business and to effectively maintain its collections.

14.1.6 Risk to collections will be included in AMNH museum-wide Business Continuity and Disaster Planning Policies. A collection management risk review will be undertaken every three years to inform the AMNH Risk Management Group composed of senior officers.

14.2 *Disaster Planning*

- 14.2.1 Disaster plans for all venues housing museum collections will be regularly reviewed and updated where necessary. Divisions will maintain an Emergency Preparedness, Response and Salvage plan for their collections, which defines roles and outlines procedures to ensure business continuity and recovery of collections and associated data. Development of this plan will be accomplished collaboratively between the Conservator of Natural Sciences Collections, collection staff, and other relevant staff.
- 14.2.2 As part of disaster preparedness each division will develop in consultation with the Disaster Recovery Committee and the Associate Dean of Science of Collections a reasonable insurance value of the collection. The insurance value will not be construed to be a commercial value, replacement value, nor scientific value, but instead a reasonable estimate of the costs of extensive damage to the collection resulting in significant salvage costs. The science division chair will provide this value in the annual collection report to the Associate Dean of Science for Collections and the Provost.

15.0 Review of Collections Management

- 15.1 In addition to the annual collections report, as part of the regular self-review and external peer review process for AMNH science divisions, a review of collections management processes will be conducted by each division every 5 years, on a rotating basis of one division each year. This review will address the following:
- Whether AMNH maintains, manages and documents a regular, review of the items in its collections and the information relating to them;
 - Whether all relevant item-related documentation is updated as required in a timely manner; and
 - Whether remedial action is taken as required, following discovery of missing items, wrongly or inadequately documented items, or undocumented items.

Under certain circumstances, the Associate Dean of Science for Collections and Provost may mandate periodic reviews of collection procedures and inventories to be undertaken by staff from outside of that particular collection unit.

- 15.2 The results of the reviews will be signed by the division chairs and submitted to the Associate Dean of Science for Collections and the Provost, and the Provost will provide summaries of the audits to the Trustees Collections Committee.

16.0 Amendments and Periodic Review

This policy has been approved by the Board of Trustees after the review of division chairs, curators, and other collection management staff, the Provost and President, and the Collections Committee of the Board of Trustees. Any amendments must also be approved by the Board of Trustees. This policy is scheduled for review every 10 years. This policy was approved in 2008 and is next due for review in 2018.

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Appendix A: Examples of laws and treaties affecting acquisitions

- Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) establishes regulations to control the international traffic in species threatened by commercial trade. CITES was ratified by the United States in 1974, and by approximately 150 other nations. It allows for certificates of exemption for the import or export of items acquired before CITES, and for non-commercial exchange between institutions. CITES is enforced in the United States by the Fish and Wildlife Service. Permits are now required to collect almost any animal or plant (or animal part of plant part) as well as to import, export, or transport them. A 3-177 declaration form must be filed with the U.S. Fish and Wildlife Service for any animal or animal part that is imported to or exported from the United States, even if the specimen (or object that contains an animal part) has resided in a museum collection. Specimens (or parts) of protected species must be brought in through a designated port unless special arrangements are made beforehand with the U.S. Fish and Wildlife Service. Moving a specimen or part of a specimen on the CITES list across an international border requires use of the AMNH permit. CITES includes three appendices that protect materials of varying degrees of scarcity:

Appendix I. Species are in danger of extinction and there is no commercial trade in them. Any international transport of these materials requires permits from both the exporting and importing nations.

Appendix II. Species require strict regulation to prevent the danger of extinction and/or look like Appendix I species. Permits for international transport are issued by the exporting nation, and are allowed for any purpose not detrimental to the species.

Appendix III. Species are protected only within their native countries. They require permits for export even if they are plentiful elsewhere.

- Wild Exotic Bird Conservation Act of 1992 (16 USC 4901-4916) was enacted by the USA as a party to the CITES Convention. It places a moratorium on a list of exotic birds in cooperation with other signatory countries of CITES. It allows the Secretary of Interior to issue permits for imports of exotic birds that are exclusively for research. Violation of this law is subject to the Lacey Act.
- The African Elephant Conservation Act of 1988, amended 1992, bans the import of raw and worked ivory illegally harvested in violation of the CITES Ivory Control System that seeks to preserve elephant populations from illegal poaching. Other laws prohibit the import of an many other kinds of ivory—Asian elephant, whale, seal, and many others, unless it is an antique object at least 100 years old made from ivory.
- The Lacey Act of 1900 (18 USC 43-44) that prohibits the import, export, transportation, sale, receipt, acquisition or purchase of any animal or plant that was obtained or transported in violation of any other law or regulation. In effect, the Lacey Act enforces the laws and regulations of other countries, preventing importation of an illegally obtained specimen or object. Under the Lacey Act, any recipient of an animal or plant specimen (or an artifact with animal or plant parts on it) obtained illegally in the past might be held responsible and charged with a violation. The Lacey Act makes the violation of any state, federal, or foreign wildlife law a federal offense. It places

stipulations on the importing and labeling of wildlife and their parts. It requires proof of intentional violation for enforcement, but ignorance of the relevant state, federal, or foreign statutes is not excusable. The Black Bass Act of 1930 (16 USC 851) added fish to the list of wildlife under the Lacey Act.

- The Endangered Species Act of 1973, as amended (16 USC 1531-1543) prohibits harassing, harming, or killing listed species prohibits the purchase, sale, or use of listed species or parts thereof in the course of an interstate commercial activity. Intra-state transactions are allowed if pre-Act ownership can be proven. The law does not apply to fossils and objects greater than 100 years old, but age must be verified. The law requires museums to have a permit to purchase more recent objects that contain parts of endangered or threatened species, but allows gifts of endangered or threatened specimens to museums if there is proof of pre-Act ownership and if the objects have not been offered for sale since the date of this law. The law allows loans or gifts between educational institutions. In such instances permits are not required, even if the objects cross state lines. The names of all the species of wildlife and plants determined to be endangered or threatened are annually revised and published at 50 CFR, Sections 17.11 and 17.12, "Endangered and Threatened Wildlife and Plants."
- The Migratory Bird Treaty Act of 1918 (16 USC 703-711) protects birds flying between the United States and Canada, Mexico, and Japan. It covers all wild, native birds not legally hunted by state law. It clarifies that some non-native species may be covered by state law and, therefore, by the Lacey Act. The law makes it illegal to kill, capture, collect, possess, buy, sell, ship, import, or export listed species including their parts, nests, and eggs. The law however allows museums and non-commercial institutions to obtain permits for legal possession, collection, and transportation of objects, but permits impose extensive record-keeping requirements. It states that only museums and other specified institutions can purchase any protected bird or part thereof, and the seller must possess a federal permit for a legal sale.
- The Bald Eagle Protection Act of 1940 (16 USC 668a), amended in 1962 to include golden eagles, prohibits taking, buying, selling, trading, possession, importation or exportation of eagles or their parts, nests, eggs, or products made of them. It authorizes permits for taking, possessing, and transporting eagles and their parts for scientific, exhibition, and Native American religious purposes. It exempts possession and transportation of eagles held prior to the law but requires permits for any materials acquired by museums after the law was established.
- The Marine Mammal Protection Act of 1972 (16 USC 1361-1407) places a moratorium on the killing of marine mammals by United States citizens. It restricts the possession, sale, purchase, importation, or transportation of the animals and their products and parts and requires permits for exhibiting marine mammals and their parts and for holding them in storage. It allows Native peoples to use such parts for the manufacture and sale of handcrafts as long as the sale is handled by a licensed dealer. The law exempts museums from permit requirements for pre-Act materials or to purchase legitimate handcrafts, although they should consider getting permits for all other marine mammal materials.
- The Antarctic Conservation Act of 1978 conserves the native mammals, birds, and plants of Antarctica and their ecosystems. The law applies to all US citizens and all

expeditions that originate from the USA. The National Science Foundation administers a permit system that allows entry into restricted areas and collecting for scientific purposes. Collecting expeditions to Antarctica may need additional permits (e.g. Marine Mammal protection Act, Endangered Species Act, Migratory Bird Treaty Act, etc.)

- The US Department of Agriculture requires permits to import biological specimens including bacterial cultures, culture medium, excretions, fungi, arthropods, mollusks, tissues of livestock, birds, plants, viruses, vectors for research, biological or pharmaceutical use. See permits under www.aphis.usda.gov and Centers for Disease Control at www.cdc.gov. See, for example, the Federal Plant Pest Act (7 USC 150aa-150jj) that regulates the importation and interstate movement of plant pests (insects, mites, protozoa, bacteria, fungi, viruses, etc.) and requires permits from the Department of Agriculture. This law and some 400 others from 40 agencies are enforced by US Customs and Border Protection.
- Archaeological Resources Protection Act of 1979 (16 USC 470aa-mm) defines archeological resources as any material remains of human life or activities that are at least 100 years of age, and which are capable of providing scientific or humanistic understandings of past human behavior, cultural adaptation, and related topics through the application of scientific or scholarly techniques. The law requires that a permit be obtained before conducting archeological studies on public and Indian lands. It requires that information on the nature and location of resources on public and Indian lands remain confidential if its release may harm the resources. It establishes civil and criminal penalties for the excavation, removal, or damage of resources on public and Indian lands without a permit (materials lawfully acquired prior to the passage of the law are not subject to the penalties). The law requires that materials excavated from public lands and Indian lands and associated records be preserved in a suitable repository. It gives the Secretary of the Interior authority to issue regulations for the proper curation of federally-owned and administered archeological collections.