



## Cincinnati Museum Center at Union Terminal Collections Policy

### Table of Contents

I.	Preamble .....	1
II.	Purpose and scope .....	2
III.	Acquisition .....	5
IV.	Deaccession .....	9
V.	Loans .....	14
VI.	Access and security .....	19
VII.	Insurance .....	21
VIII.	Inventories .....	22
IX.	Ethics .....	23
X.	Maintenance of the collections policy .....	24
XI.	Definitions .....	25

APPENDIX A. List of Collection Management Transaction Forms .....27

APPENDIX B. Ethics Statement from *CMC Employee Handbook* .....28

## I. PREAMBLE

Cincinnati Museum Center at Union Terminal, a non-profit corporation organized for educational purposes, has as one of its primary functions the acquisition, preservation and use of cultural, historical and scientific material that documents and enhances knowledge, enjoyment and appreciation of the natural and cultural world.

The Board of Trustees of Cincinnati Museum Center affirms its responsibility to collect and preserve collections as a public trust, for the benefit of the community. A Collections Committee of the Board of Trustees (Board Collections Committee) assists the board in fulfilling its fiduciary responsibility. The Board Collections Committee is the standing committee of the board whose purpose is to review policies and issues related to the collections, and to report and advise the full board.

The Board of Trustees of Cincinnati Museum Center has, on this date, January 26, 2004 established this policy to govern future acquisition, use and deaccession of collection material. This policy is designed to ensure that collections of an appropriate nature are acquired, maintained and used according to accepted professional standards.

## II. PURPOSE AND SCOPE

### A) Purpose

#### 1) Mission Statement

The Cincinnati Museum Center Collections and Research Division collects and preserves select objects and records that document natural history, science and regional history. The Division conducts, promotes, and facilitates research and education, serving the public, scholars, and Cincinnati Museum Center staff.

#### 2) Cincinnati Museum Center (CMC) expects the Collections Division staff to:

- Care for the collections so as to preserve them for posterity, and apply the highest responsible standards of curation and collections management.
- Make the collections accessible to our community of users: the general public, researchers, educators, government agencies, commercial concerns, other nonprofit institutions, and our own staff.
- Facilitate the use of collections within CMC to enhance the visitor experience.
- Conduct research that meets the highest professional standards, and is presented in the forum of local, regional, national and international scholarship.
- Disseminate the results of their research through scholarly and popular publications, lectures and programs, and work with other CMC Divisions to incorporate research results and general scientific and historic knowledge into programs, exhibits, and museum publications.
- Serve as mentors for developing professionals, and those wishing to enter careers in museums, historical or scientific research, archives, conservation, or collections management.
- Act as advocates for conservation of historic records, structures, sites, and districts as well as natural resources on a selective basis.
- Minimize any negative impact CMC activities may have on human culture, historic sites, plants, animals or other organisms, both past and present.

### B) Scope of the Collections

It is the acquisition and long-term curation of meaningful and information-rich collections that distinguish museums from other kinds of research and educational institutions. CMC maintains two types of collections, Permanent and Teaching. These collections support and document the scientific and historical research conducted by museum staff and volunteers.

The scope of collections is broadly described in the following section. CMC recognizes that collecting plans need to be developed that will articulate collecting priorities and integrate collecting activities with the overall vision for the museum. Such collecting plans are part of the Collections Division's long-range vision for the organization.

1) Types of collections:

- a) Permanent Collections represent material of the highest scientific and cultural significance and receive the highest standard of care. The Registrar will accession and maintain the permanent records on ownership and transactions (*e.g.*, loans) for Permanent Collections. Curators will maintain catalog records and data for the Permanent Collections.
- b) Teaching Collections include material that may lack data, be of lesser quality or are already adequately represented in the Permanent Collections but which are useful for educational or interpretive purposes. Teaching Collections are at greater inherent risk from handling and will receive the appropriate level of care. The Registrar will not accession Teaching Collections but will maintain permanent records on ownership and transactions. Curators will determine the level of documentation that will be maintained.

2) CMC collects in the areas of:

- a) Regional History, focusing on material pertaining to the cultural, economic, political and social history of metropolitan Cincinnati, the Miami Purchase, and the Old Northwest Territory. CMC collects material relating to: settlement, agriculture, business and industry, transportation, communication, science and technology, the arts, domestic life, education, religion, politics, wars, ethnic groups, neighborhoods, and other aspects of the history of Cincinnati and the surrounding region. CMC may also collect materials pertaining to the history of Ohio or the United States of America when such material helps to illustrate the broader historical context of our collections.
- b) Anthropology with an emphasis on archaeology, both prehistoric (with a focus on the greater Ohio Valley) and historic (primarily of the Cincinnati region of southwest Ohio, northern Kentucky and southeast Indiana.) Ethnology

collections are maintained but not actively collected. The collection consists primarily of ethnographic artifacts from around the world collected by area residents and other interested donors.

- c) Natural History, with an emphasis on invertebrate paleontology (with primary emphasis on fossils occurring in the Cincinnati region, *i.e.*, late Ordovician), vertebrate paleontology (with special emphasis on Paleozoic and Pleistocene material from the area, and exhibit quality material from all geologic horizons and geographic areas), and zoology. Mineralogy collections are also maintained. Botany collections are maintained to document the flora of the Edge of Appalachia preserve.

### III. ACQUISITION

#### A) Criteria

CMC will add to its collections material consistent with the description of what CMC collects as given in Section II of the Collections Policy, and as refined by the collecting plans of the curatorial departments. Donors will be encouraged to provide monetary support for new acquisitions especially for large collections or objects that require extensive conservation. CMC will not acquire for its collections:

- 1) Material that does not fit existing collecting areas, unless it represents an exceptional opportunity to advance the purposes of CMC as described in its Mission Statement.
- 2) Material for which it is unable to provide storage, preservation and access consistent with professionally accepted standards.
- 3) Material without adequate provenance data, as determined by the appropriate curator, unless the material is of exceptional value in other respects.
- 4) Material of inferior quality (*e.g.*, souvenirs, fakes, poorly made objects) unless their very defects are of intrinsic interest.
- 5) Material already adequately represented in the collections.
- 6) Material that has been acquired in an unethical or illegal manner or is of doubtful origin. CMC will not acquire material whose method of acquisition violates the UNESCO Conventions, CITES, state and federal wildlife laws, or any other pertinent state, national or international laws, treaties or conventions.
- 7) Material for which the source of accession (*e.g.*, donor, vendor, exchange partner etc.) cannot pass good title.
- 8) Material for which there is not a good-faith intention on the part of CMC to retain the material in the collections for the foreseeable future.

#### B) Teaching Collections

Material not normally eligible for accessioning under criteria 1, 3, 4 and 5 may still be accepted into the Teaching Collections if it suits the educational needs of CMC.

#### C) Associated Rights

Wherever possible, all acquisitions will include acquisition of full literary rights, property rights, copyrights, patents and trademarks.

#### **D) Authority**

- 1) Curators recommend new acquisitions to the New Acquisitions Committee for either the Permanent or Teaching Collections but cannot unilaterally accept gifts for CMC. In recommending a new acquisition, the Curator must provide information about processing, space requirements and preservation needs in the Accession Review form.
- 2) The Registrar convenes a monthly meeting of the New Acquisitions Committee that reviews all proposed acquisitions. The Committee consists of the staff of the Collections Division including the Vice President for Museums. The agenda is submitted to the CMC President/CEO and Vice Presidents for review and comment. The Committee considers CMC's ability to care for and maintain the acquisitions as well as the impact on overall museum resources. Minutes of the meeting are kept by the Registrar and circulated to the Board Collections Committee.
- 3) The Registrar initiates the Deed of Gift for all new acquisitions that are donated. The Registrar and/or Vice President for Museums sign the Deed of Gift on behalf of CMC and the Board of Trustees.

#### **E) Methods of Acquisition and Documentation**

##### 1) Donations

All donations for the Permanent Collections will be documented with a Deed of Gift signed by the donor and the Registrar and/or Vice President for Museums. A Gift of Materials signed by the Registrar will document donations for the Teaching Collections.

##### a) Restrictions

- i. All donations are considered outright and unconditional gifts to be used at the discretion of CMC, the only exceptions are:
  - CMC may accept donor-imposed restrictions on access to collections for a period not to exceed 70 years, if the Curator of the collection in question determines this is appropriate.
  - In extraordinary situations, the Board Collections Committee may approve other types of restrictions on an individual basis.

ii. CMC will not accept gifts with stipulations of permanent or long-term exhibition.

b) Donations of Whole Collections

If a potential donor wants to donate an intact collection, CMC may accept it only if it is made clear to the donor that any parts of the donation that are not suitable for inclusion in the collections will fall outside the accession, and will be disposed of in an appropriate manner at CMC's discretion.

c) Appraisals

CMC will not make, arrange for, or pay for appraisals of donated items for the donor. This must be made clear at the time of the donation. Staff may suggest without preference possible appraisers for the donor to contact, but must list more than one. Appraisals commissioned for CMC will not be made available to the donor.

2) Bequests

CMC is not obligated to accept bequests and will do so only when the material fits the needs of the collections or represents an exceptional opportunity to advance the purposes of CMC as described in its Mission Statement. Bequests may be accepted for the Permanent or Teaching Collections. A copy of the portion of the will that names CMC or its predecessor organizations as a beneficiary and/or letter from the executor of the estate will document the gift.

Gifts received from heirs to an estate are not bequests and will be considered as donations.

3) Exchanges

Collection material may be obtained by trade with other educational or research non-profit organizations in return for material of similar monetary or intrinsic value. When collections items are used in exchange for such material, they must be deaccessioned in accordance with CMC policy and procedures. A Deed of Gift or a letter of exchange will document the exchange transaction between the two organizations.

4) Purchases

With approval from the appropriate supervisor, curators may purchase material for the Permanent Collection out of funds budgeted for that purpose. An original bill of sale or receipt will document all purchases.

#### 5) Field Collections

The appropriate supervisor must approve all field expeditions before the material is brought into CMC. All specimens obtained by CMC staff, volunteers or other authorized representatives through field work will be accompanied by all appropriate permits, letters of consent from property owners, or whatever documentation is necessary to establish that the material was collected in accordance with local, state, federal and international law. It is the responsibility of the Curator overseeing the collecting activity to ascertain what permits are necessary, and to request that the Registrar obtain such permits. Material obtained improperly will be turned over to the appropriate regulatory agency if the appropriate permits cannot be legitimately obtained after the fact. An Accession Record form with appropriate permits and letters of consent will document material from a field expedition.

#### 6) Deposits

For archaeological and paleontological collections made on government lands, *e.g.* federal, state or county for which ownership cannot legally be transferred to a private entity, CMC may maintain these as deposits to the Permanent Collections. The Curator of the collection is responsible for securing relevant permits before acquiring any material for deposit. A Deed of Gift for Deposit signed by the appropriate government official and the Registrar will document the transaction.

- a) Archaeology Fees. Federally-recognized repositories typically charge fees to process, catalog and store archaeological material that federal laws mandate be deposited, collectively referred to as cultural resource management (CRM). CMC charges a fee based on volume of material and an hourly rate for cataloging and data entry. Fees are reviewed periodically.
- b) Paleontology Fees. Federal law minimally protects fossils and prevailing practice does not allow for processing and curation fees to be charged. The Curator and Registrar monitor standards and will recommend fees when appropriate.

## IV. DEACCESSIONING

### A) Introduction

- 1) Deaccession is the formal process used to legally and permanently remove material from the Permanent Collections.
- 2) Disposition is the manner in which CMC transfers material from the Permanent Collections to a new owner or destroys the material. When proposing a method of disposition for a deaccessioned item, the curator will weigh the best interests of CMC, the material, and the community.
- 3) Deposits of government-owned material will be returned to the appropriate government agency or the institution recommended by the agency with written notification from the agency. Deposits of government-owned material may not be sold.
- 4) CMC will apply the procedures for disposition of collections outlined in the deaccessioning policy to all material of Uncertain Status that falls within the scope of the collections. (Uncertain Status refers to undocumented material for which we are unable to determine whether it was or was not intended for formal inclusion in the collections). The Registrar and/or Curator will make a reasonable effort (*e.g.*, review CMC Archives, board minutes etc.) to resolve ownership and intended purpose (*i.e.* Permanent Collections) of material of Uncertain Status. For material that cannot be resolved, CMC shall apply Ohio Revised Code Sections 3385.01-.10, commonly referred to as the Ohio Museum Property Law. Any undocumented material donated after March 14, 2003 is presumed to be a gift to the museum, with all rights of ownership.

### B) Criteria

CMC may deaccession material from the collection that meets any of the following conditions:

- 1) The material is not relevant to the purpose and scope of the collection as defined in Section II of the Collections Policy.
- 2) CMC is not able to provide adequate care for the material.
- 3) The material has deteriorated past the point of usefulness.
- 4) The type of material is sufficiently represented in the collections, or has been replaced with superior examples.
- 5) The material is inferior or has substandard documentation.

- 6) The material is to be traded for material of equal or greater value for the purpose of improving the collection.
- 7) The item is an important duplicate (*e.g.*, one of a Type Series) that is being deposited with another institution for the purpose of increasing its accessibility and for managing risk.
- 8) The material has doubtful utilization in the foreseeable future.
- 9) The material is of a type for which numerous examples exist within a collection and for which a smaller sample would suffice for future research, interpretive or educational purposes.
- 10) Deaccession of the material is mandated by local, state or federal law (*e.g.*, NAGPRA.).

### **C) Authority and Responsibility**

- 1) The Curator initiates the deaccessioning process by completing the first section of the Deaccession Record Part I. For objects of potentially significant value, the Curator or Registrar will obtain a least one evaluation/appraisal.
- 2) The Registrar completes the Deaccession Record Part I with documentation about title. Objects of “Uncertain Status” will be evaluated individually.
- 3) The Registrar convenes a Deaccessioning Committee periodically as needed. The members of the committee shall not be permanently appointed. The committee consists of the Collections Administration Team (*i.e.*, Vice President for Museums, Registrar, and the Directors of History Collections, Cincinnati Historical Society Library and Science Research), plus a representative from Exhibits, Education and, if appropriate, External Affairs and Development. The committee shall review the documentation for deaccessioning and complete Deaccession Record Part II. For deaccessions of objects with values less than \$5,000 or not related to NAGPRA, the Vice President for Museums authorizes the deaccession. Deaccession of objects valued greater than \$5,000 or are related to NAGPRA, the Board of Trustees must authorize the deaccession. The Vice President for Museums may recommend any proposed deaccession to the Board Collections Committee and Board of Trustees for their approval.

- 4) The Registrar and/or Vice President for Museums will present the results of the Deaccessioning Committee to the Board Collections Committee for review. The Board Collections Committee will present to the Board of Trustees all deaccession of objects valued greater than \$5,000 and all objects related to NAGPRA (*i.e.*, Native American Graves Repatriation Act, the 1991 federal law that regulates Native American human remains and funerary objects).

#### **D) Methods of Disposition**

- 1) Acceptable methods of disposition for material are:
  - a) Transfer to another division within CMC for use as a prop in exhibits or education.
  - b) Donation to, or exchange with, another educational or research nonprofit institution.
  - c) Sale at public auction or in the public marketplace.
  - d) Destruction.
- 2) Material with significant research value should be disposed of in such a way as to ensure its continued preservation and availability to its users.
- 3) All methods of disposition must be in compliance with all relevant local, state, federal, and international laws.
- 4) All specimens must be accompanied with a full disclosure of any known hazard that they may present to any future owner.
- 5) Staff and immediate family are prohibited from acquiring material disposed of from CMC collections.
- 6) Staff will evaluate the extent of volunteer involvement with a given collection from which material is being deaccessioned. In instances where the extent of volunteer involvement is such as to give rise to questions of conflict of interest, staff will inform volunteers that they are not to acquire material disposed of from that collection.
- 7) If material is to be deaccessioned in a subject area for which there is no expertise on staff, an appropriate outside consultant must be contacted for advice on methods of disposition, the advisability of obtaining an appraisal, and similar issues.

#### **E) Donations**

Material may be donated to other nonprofit museums or educational institutions with missions and goals consistent with those of CMC.

**F) Exchanges**

- 1) Material may be exchanged with another nonprofit museum or educational institution for material of comparable value.
- 2) A third party with no connection to CMC or the exchange partner will be used to help establish an equitable exchange value.

**G) Sale**

- 1) The Curator of the material in question and the Registrar in consultation with the Vice President for Museums will determine when the sale of deaccessioned material may be politically sensitive, and to propose a method of sale that will minimize any negative consequences to CMC.
- 2) The Curator of the material in consultation with the Vice President for Museums will determine when sale of the deaccessioned material is ethically appropriate by relevant professional standards.
- 3) Funds resulting from the sale of deaccessioned material will be deposited in a restricted fund, and must be used for the acquisition of new material (through purchase, preparation, or collecting expeditions), and the direct care of existing collections.

**H) Destruction**

- 1) Material slated for destruction should be destroyed by CMC staff or rendered useless before being taken to a disposal facility.
- 2) Potentially hazardous material must be disposed of in compliance with all relevant laws and regulations, and in such a way as to pose no threat to the public.

**I) Records Keeping**

- 1) The Registrar will keep a complete and permanent record of each deaccession, including documentation of the deaccession and disposition process.
- 2) If the material is being transferred to another museum or scholarly institution, CMC identifying marks may be left in place in order to document the provenance of the material.
- 3) Material leaving the public, scholarly domain should have all CMC identifying marks removed or defaced.

## V. LOANS

### A) **Outgoing Loans**

#### 1) Eligible Borrowers

- a) CMC may lend material to nonprofit and for-profit institutions for the purposes of exhibit, education or research.
- b) CMC may lend material to individual artists or to for-profit organizations for use as artist's models.
- c) CMC may lend material to unaffiliated individuals for the purpose of presenting educational programs.
- d) CMC does not lend to individuals or institutions that cannot provide an adequate level of care for the objects in that loan, or that have a record of mistreating loans from CMC or comparable institutions in the past.
- e) Curators must judge which material can appropriately be loaned to the classes of borrowers outlined above.

#### 2) Fees

- a) **Research.** CMC does not charge for expenses associated with research loans, unless these expenses are unusually large and constitute a burden to CMC. The Curator and Registrar shall consult with the Vice President for Museums as necessary.
- b) **Other Nonprofit Ventures.** When CMC lends material for projects that do not yield a profit for the borrower, or for profit-generating operations (such as exhibits) by nonprofit borrowers, the borrower shall pay for conservation, preparation, packing, crating, shipping and related costs. CMC does not normally charge an additional fee. The Vice President for Museums may approve exceptions to this policy.
- c) **For-profit Ventures.** When CMC lends material for projects that are expected to yield a profit to an individual, or to a for-profit enterprise, it may establish a fee schedule or charge on a case-by-case basis. The Curator and Registrar will evaluate loans to artists on an individual basis.

#### 3) Duration of Loans

In order to promote responsible oversight of collections while they are off CMC premises, outgoing loans will be made for a period of one year or less. Loans may be renewed prior to expiration. When renewing a loan the borrower will be asked to provide CMC with assurance that the lent material is still accounted for and in good condition. CMC never makes “permanent” loans or loans of indefinite duration.

#### 4) Loan Conditions

a) All loans will be formalized with an appropriate loan agreement listing general conditions and, when necessary, specific conditions of insurance, photographic rights, destructive sampling, restrictions on use, etc.

#### b) Insurance

Insurance will typically be covered by the borrower. By special arrangement insurance may be covered by CMC, with the cost borne by the borrower.

i. Coverage will be wall-to-wall, all risk.

ii. The existence of an active insurance policy with CMC as a named insured will be documented in advance by a certificate of insurance.

iii. Insurance may be routinely waived for research loans of material of negligible monetary value. In other instances, insurance may be waived with the approval of the Vice President for Museums.

c) CMC will inform the borrower of any known or potential hazards associated with the loan material that are not readily apparent, including chemical and biological hazards.

#### 5) Authority

a) The authority to lend collections material rests with the Curator responsible for the care of the material and when appropriate in consultation with the Registrar and the Director of History Collections and Preservation. All loans are subject to the restrictions set forth in the collections policy.

b) Curators will exercise care in authorizing loans to ensure that loan requests are handled fairly and without preference or prejudice, and that loans are only made for purposes consistent with CMC’s philosophy, mission statement, and public image.

- c) The Registrar will prepare all loan documentation, monitor loans to ensure that the conditions on the loan agreement are met, and see that loans are returned or renewed in a timely manner.

## **B) Incoming Loans**

### 1) Purpose

- a) Incoming loans are accepted for the purposes of exhibit, research, examination, identification, reproduction or education.
- b) Promised donations. CMC does not accept loans of material not needed for current research, exhibits, or education, merely for the sake of storing the material on the promise of it being donated at some point in the future.

### 2) Standards of Care

All borrowed material will receive the same care in handling, environment, insurance (where appropriate) and security as given comparable material from CMC's Permanent Collection. Special handling or treatment is available at the request of the lender, if approved in the loan agreement.

### 3) Abandoned Loans and Unclaimed Property

CMC shall apply Ohio Revised Code Sections 3385.01-.10, commonly referred to as the Ohio Museum Property Law for any loan that is unclaimed. Any undocumented or unsolicited material received after March 14, 2003 is presumed to be a gift to the museum with all rights of ownership.

### 4) Provenance

- a) CMC will not borrow material that it has reason to believe has been acquired in an unethical manner or is of doubtful origin.
- b) CMC will not borrow material whose method of acquisition violates the UNESCO Conventions, CITES, state and federal wildlife laws, or any other pertinent local, state, national or international laws.
- c) CMC will not knowingly borrow material for which the lender does not hold good title.
- d) It is the responsibility of the Curators and of the Registrar to exercise their knowledge and judgment in ascertaining that loan material does not fall under one of the prohibitions listed above.

## 5) Loan Conditions

- a) All loans will be formalized with an appropriate loan agreement detailing the conditions of the loan and covering when necessary the issues of insurance, photography rights, duration of loan, etc.
- b) When borrowing from individuals, CMC will use its own incoming loan agreement.

## 6) Authority

- a) The Curator, in consultation with the Registrar, initiates loans for research.
- b) The Curator or CMC Staff coordinating an exhibit, in consultation with the Registrar, initiates loans for exhibit.
- c) The Curator or CMC Staff coordinating an educational program, in consultation with the Registrar, initiates loans for programs.
- d) The Registrar is responsible for processing all borrowed material left in CMC custody as incoming loans, and arranging for loan agreements, appropriate insurance, shipment and the timely return of loan material.

## **C) Pertaining to Both Incoming and Outgoing Loans**

### 1) Records

The Registrar will keep complete records associated with every loan, including signed loan agreements, certificates of insurance, shipping documents, condition reports and other related material. These files are permanent records.

### 2) Condition Reports

If incoming or outgoing loan material is insured, then the Registrar, or the department initiating the loan, will fill out condition reports and/or take condition photographs of the insured material. These records will be of sufficient quality to establish the validity of an insurance claim.

## VI. ACCESS AND SECURITY

### A) Physical Security

CMC will maintain intrusion, fire and environmental detection systems in its collections storage and display facilities. These systems will be adequate to provide responsible protection against theft, fire, dirt and uncontrolled changes in environmental conditions.

### B) Emergency Preparedness

CMC will establish and maintain a comprehensive emergency preparedness plan that provides for the protection and recovery of collections material in the event of natural or man-made disasters.

### C) Access for Non-Staff

- 1) Library Access. CMC makes certain material from the collections available to researchers and the general public through the Cincinnati Historical Society Library. This material is kept in closed stacks, and is available by request through the library staff, to be used in the reading room under direct supervision.
- 2) Researchers CMC puts an emphasis on making all collections available to qualified investigators for legitimate research and study at the discretion of the curator of the department in question. Requests for access to material not available through the library are coordinated through the curator of the collection in question. A record will be kept of all use of CMC collections by outside researchers.
- 3) Public and Press. Access to the collections not available through the CHS Library by the public is at the discretion of the curator, subject to restrictions imposed by available resources and by the need to ensure the safety of the material and of the visitors.
- 4) CMC may at the discretion of the curatorial staff restrict access to archival material it deems to be of a sensitive nature, the period of restriction not to exceed 70 years.

### D) Staff Access

- 1) Exhibits. CMC encourages the use of collections material in suitable exhibits. The curator, registrar and preservation staff will ensure that factors of security, conservation, and suitability for the exhibit in question will be considered in approving collections material for such use. Material on exhibit remains the responsibility of the curatorial department from which it was borrowed, and is to be treated in a manner consistent with the collections policy.

- 2) Education. CMC encourages the use of some collections material in suitable educational programs. The curator, registrar and preservation staff will ensure that factors of security, conservation, and suitability for the program in question will be considered in approving collections material for such use, as well as hazards that may be posed by the material itself. Material being used for education remains the responsibility of the curatorial department from which it originated, and is to be treated in a manner consistent with the collections policy.

#### **E) Access to Collections Records**

Access to collections records by staff and public is controlled by the Curator (for catalog records and associated data) and the Registrar (for registration records). Curators may direct the Registrar to restrict access to specific information of a sensitive nature in the accession records. Sensitive information, such as valuation, locality and scientific and culturally sensitive information on rare species, should be restricted. Donor names and addresses will be confidential unless otherwise requested in writing by the donor.

## VII. INSURANCE

### A) Insurance on Cincinnati Museum Center Collections

- 1) A Fine Arts Policy will be maintained on the permanent collections of CMC.
- 2) Limits of Coverage. CMC does not maintain insurance on the full replacement value of its collections. Indeed it recognizes that the phrase “full replacement value” is unclear when applied to unique cultural artifacts and scientific specimens. CMC balances funding security, storage and fire protection as well as actual insurance coverage in providing protection for its collections. CMC will determine adequate blanket coverage to provide for maximum probable loss in the event of a limited disaster. The Registrar, Vice President for Museums and the Vice President for Finance and Administration shall review these limits every three years.

### B) Loans

- 1) Incoming loans. Material borrowed by CMC will be insured by CMC, or insured on the lender’s policy (with CMC named as an additional insured or subrogation waived), or insurance will be waived.
- 2) Outgoing loans. Typically material lent by CMC will be covered by the borrower’s insurance with CMC named as an additional insured, or insurance will be waived in writing. By special arrangement, loaned material may be covered by CMC’s insurance, with all associated costs covered by the borrower.

## VIII. INVENTORIES

In order to fulfill its responsibility as a keeper of its collections in trust for the public, CMC will conduct periodic inventories of its collections to account for its holdings. These inventories will be of a scope and frequency for CMC to determine in a timely way whether material is missing from the collections. These inventories will be part of the permanent records of CMC.

## IX. ETHICS

The *Cincinnati Museum Center Employee Handbook* (page 22, March 2003 or as updated) includes an Ethics Statement for all museum employees. The museum-wide policy includes personal collections and responsible conduct. All CMC employees receive a copy of the *Handbook* at the time of their employment. See Appendix B for the Ethics Statement from the *Handbook*.

## X. MAINTENANCE OF THE COLLECTIONS POLICY

This policy will be reviewed and revised as needed by the staff of the Collections and Research Division, the Collections Committee of the Board of Trustees and the Board of Trustees, at intervals of no longer than five years.

## XI. DEFINITIONS

Accession	The permanent record of ownership that is created and maintained by the Registrar. The record of accessions is maintained in a paper ledger and the Argus database.
Acquisition	Generally used as new acquisition to designate an object that has been offered to the museum but not yet accepted or accessioned by the museum.
Anthropology	The scientific study of the origin and the physical, social, and cultural development and behavior of humans.
Archaeology	Systematic recovery and examination of material evidence, and information, such as artifacts, photographs and documents pertaining to past human life and culture.
Botany	The scientific study of plants.
Catalog	The informational record about individual objects that is created and maintained by the curator or collections manager. Catalog records are maintained in paper and electronic forms At Museum Center, natural history collections are in the Argus database and CHS library records are in Cuadra Star database.
CITES	Convention on the International Trade in Endangered Species of Wild Fauna and Flora, an international treaty that regulates trade. Requires permits to ship specimens across international borders.
CMC	Cincinnati Museum Center at Union Terminal.
CRM	Cultural Resource Management refers to the collective activities mandated by several federal laws to protect archaeological resources.
Curator	The staff member who has primary responsibility for the intellectual development of a collection and in conjunction with the Registrar to care for or oversee the care of a collection.
Deaccession	The process by which a museum legally and permanently removes an object from its collections. Responsible deaccessioning consists of two parts – the institutional decision to deaccession and the method of disposal.
Disposition	The manner in which CMC transfers material to a new owner or destroys it. See Deaccession.

Ethnology	The anthropological study of cultural heritage and socioeconomic systems in technologically primitive societies.
Mineralogy	The scientific study of rocks, gems and minerals.
NAGPRA	Native American Graves Protection and Repatriation Act, the US federal law that governs Native American remains and funerary objects.
Ordovician	Period of the Paleozoic Era between the Cambrian and the Silurian.
Paleontology	The science of past organic life, based on fossils and fossil impressions.
Paleozoic	Era of geologic time that includes the Cambrian, Ordovician, Silurian, Devonian, Mississippian, Pennsylvanian, and Permian periods and is marked by the appearance of marine invertebrates, primitive fishes, land plants, and primitive tetrapods (reptile-like animals).
Pleistocene	In geologic time, the earlier of the two epochs of the Quaternary period, marked by the alternate appearance and recession of northern glaciation.
Registrar	The staff member who has primary responsibility for the permanent records related to the collections and in conjunction with the Curator responsibility for coordinating and managing the overall care of the collections.
Type Series	A scientific term that describes the biological or paleontological specimens which serve as the basis for the name and description of a taxon (a group of animals or plants). This policy uses “Type Series” to refer to all the Types ( <i>i.e.</i> , holotype, paratypes, syntypes etc.) pertaining to a given taxon.
UNESCO	United Nations Educational, Scientific, and Cultural Organization Convention Conventions on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property, and Convention concerning the Protection of World Cultural and Natural Heritage.
Uncertain Status	Refers to undocumented material for which CMC has no donation record or loan agreement and is unable to determine whether it was or was not intended for formal inclusion in the collections.
Zoology	The scientific study of animals.

## APPENDIX A

### List of Collection Management Transaction Forms

- 1) Accession Record
- 2) Deaccession Part I, II and III
- 3) Deed of Gift
- 4) Deed of Gift for Deposit (for government collections only)
- 5) Deed of Gift without Rights of Reproduction (typically for material with known copyrights or trademarks)
- 6) Delivery Receipt
- 7) Deposit Form
- 8) Gift of Materials
- 9) Incoming Loan Agreement
- 10) Outgoing Loan Agreement
- 11) Request for Collections Use (in-house use)

## APPENDIX B

### ***Ethics Statement*** [from the *Employee Handbook*, 2003]

CMC supports statements on ethics developed by the American Association of Museums. This statement is available for viewing on CMC's Intranet.

#### **Professional Conduct**

Employees in professions represented by a professional organization that has established a code of ethics or conduct are expected to be informed about and act in compliance with such codes. Where conflicts between the professional code of ethics or conduct and CMC policy arise, CMC policy takes precedence.

#### ***Conflict of Interest***

Employees will not place themselves in positions that are, or would appear to be, in conflict with the interests of CMC. This includes situations of outside employment, consulting, lecturing or other business interests that might interfere with the performance of an employee's duties, compromise the professional integrity or the reputation of CMC, enable the employee to secure an unfair advantage by reason of employment by CMC, or are contrary to the purposes of CMC.

In order to prevent any such conflict or appearance of conflict, it is the responsibility of any employee to disclose all such activities to their supervisor. The supervisor may consult the Vice President of Human Resources. Disclosure provides an opportunity to examine a proposed activity to determine whether an actual or potential conflict of interest exists and, if so, to resolve it.

#### ***Personal Use of Collections***

Employees will not use in their homes, or for any other personal business, material that is part of CMC's collections.

#### ***Dealing and Personal Collecting***

No employee may deal in material represented in CMC collections. Dealing is defined as systematic and active buying, selling and trading of material for personal gain.

Employees will not store personal collections at CMC.

Employees who collect material of a type represented in CMC collections must inform CMC of such activities at the time of hiring. CMC may request the employee to provide an inventory of the personal collection that will be filed with the registrar and in the employee's personnel file.

If employees who collect material of a type represented in CMC collections acquire new material that may be of value or significance or represents a limited resource, the employee must disclose the acquisition. Additionally, the employee shall offer the acquisition to CMC for the purchase

amount, as well as any other relevant expenses incurred in the acquisition. These conditions do not apply to personal family heirlooms.

### ***Responsible Professional Conduct***

Employees will not divulge to a private individual or commercial concern the locations of:

- a) Archaeological sites (except on a need to know basis)
- b) Populations of endangered or threatened species and/or endangered, threatened or sensitive habitats that could be adversely affected by such publicity
- c) Sensitive paleontological localities

Employees will seek to discourage illegal, unethical, and destructive practices by non-staff. Additionally, employees will keep information about donors to CMC confidential.

### ***Appraisals, Identification and Authentication***

CMC encourages employees to provide helpful information to the public about the identity and significance of natural and historic material. However, in order to protect CMC from liability and avoid having the opinions of its employees used for commercial purposes, CMC forbids its employees to appraise material that falls within the scope of the collections in writing for private individuals or commercial concerns. CMC also forbids employees to recommend potential buyers or sellers of material that falls within the scope of the collection to a private individual or a commercial concern.

### ***CMC Collections***

CMC collects, preserves and interprets objects that support its mission. CMC holds these collections in trust for present and future generations. As stewards for our cultural and natural heritage, CMC is committed to providing the highest standard of professional care for these collections.

CMC has a Collections Policy that guides museum trustees and employees in collecting, preserving and interpreting its collections. The Collections Policy is available for viewing on CMC's Intranet. The Collections Policy defines:

- Types of material acquired and held by CMC
- Who is authorized to accept collections on behalf of CMC
- Acceptable reasons and methods for permanently removing objects from the collections (called deaccessioning)
- Conditions for incoming and outgoing loans from the collections
- Access to collections, security of collections and insurance for collections and loans

**Cincinnati Museum Center at Union Terminal**  
**Live Animal Program Collection Policy**  
**Approved by the Board of Trustees (November 9, 2006)**

This document supercedes all documents regarding the acquisition of live animals by Cincinnati Museum Center at Union Terminal.

I. Collection Philosophy

All animals to be acquired will fill a specific museum need or programming purpose. Animals should not be acquired simply because they can be, as this is a drain on time and resources. Only animals that can be cared for in a humane manner will be accepted. This includes housing, feeding, appropriate enrichment, and all aspects of animal care.

To the best of our ability, the animals should try to showcase local diversity. Thus, if a snake is needed, efforts should be made to obtain a local specimen rather than an exotic.

II. Notification, certification, and permitting

- A. Prior to the acquisition of a living species not held by CMC, the animal program will inform the Registrar of the intent to acquire this species. Together the Registrar and the Animal Program will determine if additional permits or equipment to comply with permits or regulations are needed. No animals will be acquired without the proper permits, facilities, staff, or equipment to fully comply with all legal requirements.
- B. Prior to the acquisition of any live animal by CMC, which may also be covered under section II.A., its legal status must be verified. The animal must have been bred, imported, bought, rehabilitated, and acquired by the selling or donating party in manner consistent with all pertinent federal, state, and local regulations. Copies of documents verifying the status of the animal and the donating/selling institution must accompany the animal upon acceptance. No animal will be accepted without verification that it was obtained legally by the seller/donor. A copy of the verification will be kept by the Animal Program and by the Registrar. Pets, injured, or 'rescued' animals will not be accepted. Staff should direct any such inquires to an appropriate rehabilitation facility.
- C. All live animals used in the Live Animal Program will be owned by CMC. In rare circumstances, we may loan, or receive as a loan, animals from accredited institutions. Personal pets will not be housed by CMC.
- D. Every six months, the registrar should be provided with a listing of all animals currently housed at CMC.