



# MUSEUM of NORTHERN ARIZONA

## Collections Management Policy

Adopted by the MNA Board of Trustees, August 5, 2006. Revised and approved by the MNA Board of Trustees, August 2, 2012.

### STATEMENT OF PURPOSE

The Museum of Northern Arizona was founded in 1928 as the Northern Arizona Society of Science and Art. As a private, non-profit institution the Museum is dedicated to the preservation, research, and interpretation of items of natural and cultural significance with an emphasis on the Anthropology, Art, Biology and Geology of the Colorado Plateau. Therefore, it is the responsibility of the Museum to acquire items that are consistent with the goals and purposes of the Museum and to maintain these items in perpetuity.

The Museum also serves as a repository for collections from public agencies or Native American Tribes. Ownership and/or control of specimens, artifacts, and documents will reside with these agencies and the Museum will strive, as funds are made available by the Museum or owning agency, to curate archaeological materials in line with 36 CFR Part 79 and guidelines of the repository agencies.

### STATEMENT OF AUTHORITY

Items in the Museum's collections fall under two broad categories of ownership: those for which the Museum holds title; and those that the Museum holds in trust for public agencies or Native American tribes.

The Museum's Board of Trustees has legal, fiscal, and an ethical responsibility for the collections for which the Museum holds title and has final authority on decisions regarding acquisitions, loans, deaccessions, and collection policies and amendments. The Board of Trustees is responsible for approving and monitoring compliance with and periodic revisions as needed to the collections management policy, approving accessions to and deaccessions from the museum's collection, and ensuring that the daily management and implementation of the collections management policy is carried out through delegation to MNA staff under the authority of the Director.

Fiduciary responsibility for collections that are held in trust by the Museum will reside with the owning or controlling agency. Routine duties associated with care of these collections and use will be completed by the Museum as funds are made available. These

responsibilities should be carried out through an established agreement or Memorandum of Understanding with the respective entity. MNA should actively seek the establishment of Museum responsibilities and care through a Memorandum of Understanding or Agreement if one does not currently exist.

## I. Scope of Collections

- A. The purpose of MNA's collections is to document the natural and cultural history of the Colorado Plateau and its adjacent areas. MNA houses a diverse array of collections, including archaeological, ethnographic, geological, paleontological, and biological specimens, as well as many fine arts and archival ~~and library~~ materials. These collections are used to further knowledge and provide a basis for research on the Colorado Plateau, for aesthetic appreciation, for public display and education, and for other educational purposes. As core assets of the institution, the Museum is dedicated to ensuring the best possible care, protection, curation, conservation, availability for suitable scientific and artistic research, interpretation, and where appropriate, display to the public.
- B. The museum maintains two basic types of collections:
  1. Permanent Collections: Items of inherent scientific, scholarly, and/or aesthetic value, and all items which the Museum holds in trust for Federal, State, or Tribal governments. These items are accessioned for use in research and scholarship, formal public exhibitions, and other areas involved in the documentation of the Colorado Plateau.
  2. Education Collections: Non-accessioned items used in educational contexts with the assumption that these items will be damaged or destroyed through continuous use. No material determined by MNA to be of scientific or aesthetic significance will be placed in Education Collections. The periodic review of items in the Education Collections will be performed by the appropriate Curator to determine if they have acquired scientific or aesthetic significance in consideration of changing knowledge and time.
    - a. The Museum may accept items for the Education Collection. These items will not be accessioned and catalogued but assigned to the Education Department's teaching collection. These items will be accepted with the understanding that they may be altered or destroyed through use in educational programs.
    - b. The Education Department is responsible for maintaining records on items in the Education Collection and conducting periodic inventories. All items in the education collection will be kept in a secured storage area.

## II. Acquisitions

- A. The purpose of collecting is to further the scientific and educational mission of the museum by providing well documented specimens

pertaining to the natural and cultural history, and art, of the Colorado Plateau and its adjacent areas.

- B. Items should not be accepted or otherwise acquired for Museum collections unless the following conditions are met:
1. The items are relevant to and consistent with the mission, purposes and activities of the Museum. Items should meet criteria established in the collections development plan (needed). Criteria will be developed collaboratively by the appropriate Curator and the Collections Department. If the curatorial position is vacant, the Museum will seek outside consultation to facilitate the acquisition process.
  2. The Museum will store, protect, and preserve items under conditions that ensure their availability for Museum purposes and adhere to professional standards.
  3. Manuscript Collection material should be of an original nature. Any material that is not of an original nature will be considered for addition to the library holdings as reference-only.
  4. It is intended that the items shall have permanency in the collections as long as they retain their physical integrity, their identity, and their authenticity, and as long as they remain useful for the purposes of the Museum.
  5. The legality of the item is established and documented.
    - a. The acceptance of an item by the Museum as acquired legally means that the museum has acted in a reasonable and prudent manner in determining that the item has not been acquired illegally.
    - b. Anyone wishing to deposit specimens in the Museum's collections, including Museum staff members, is expected to have proper collecting permits in hand prior to collecting specimens in the name of the Museum and for deposit in Museum collections.
    - c. No item which has been acquired illegally, i.e. in violation of any state, federal, or international laws, (see Appendix A) or whose ownership or legality is in doubt will be accepted. The above statement does not include items which have been repossessed from illegal sources by any government or tribal agency and which have been entrusted to the Museum for safekeeping by such Agency.
    - d. The Museum will accept transfers of materials if the scientific, cultural, or aesthetic values of these materials are aligned with the mission of the Museum and the transfer is in consultation and approved by a public or Tribal agency.
- C. All Museum accessions must be approved by the Board of Trustees upon the recommendation of the Director and the Program Committee.
1. Items, once designated for a particular collections category, permanent or educational, will be available for that use unless the

- category is changed through the recommendation of the appropriate Curator in collaboration with the Collections Department and approved by the Board of Trustees.
2. For the portion of the Museum's collections acquired prior to the delineation of these categories, the appropriate Curator in collaboration with the Collections Manager will determine if the item should be in the Permanent or Education collection.
- D. Items will be acquired through gift, bequest, purchase, exchange, transfer, and field collecting.
  - E. Oral history projects undertaken through the Museum and transferred to the archives must be accompanied by the signed Oral History Interview Documentation Worksheet and (the) Oral History Release Form(s), both of which are available through the Collections Department. As per the forms, all original recordings and transcripts are to be deposited in the MNA archives upon completion of the interview project.
  - F. The Museum will not purchase any item obtained illegally. No documented or undocumented prehistoric or fossil materials, or NAGPRA eligible materials, will be purchased.
  - G. Items offered to the Museum which are not considered appropriate to the collections may be accepted but not accessioned if there is a clear understanding and a signed agreement between the donor and the Museum that the items will be disposed of for the benefit of the Museum in a manner consistent with the Museum's collections management policy (See Section IV). Complete and accurate records of such transactions will be maintained by the Collections Department.
  - H. Title to all items acquired by gift, purchase, or trade for the collections should be obtained free and clear, without restriction as to use or future disposition whenever possible. As a general rule, the Museum does not accept gifts accompanied by donor restrictions unless the restriction states that the item may not be sold by the Museum. Only the Director can approve a restriction when recommending an item for acquisition. If items are accepted with restrictions or limitations, however, the conditions should be stated clearly in an instrument of conveyance, or a contract should be made part of the accession record and should be strictly observed by the Museum.
  - I. The Museum will not store or display items for private individuals except when those items are required and used in the context of museum exhibits.
  - J. Purchase or exchange of any item over \$20,000 must have an independent appraisal by a qualified appraiser in that particular field. The appraiser must be certified or accredited by the Appraisers Association of America, American Society of Appraisers, or the International Society of Appraisers. The Museum will cover costs associated with the appraisal.
  - K. Items found in MNA collections for which there is no documentation, and/or abandoned items will be treated as a loan. The Museum will make every reasonable effort to identify the item and any relevant information about it. If the Museum is unable to establish ownership, the Museum is

obligated to hold the item in a designated location until it can be legally determined to be abandoned property. At this time, if the item is within the MNA Scope of Collections, it may be considered for accession into the collection. If it is outside the Scope of Collections, it may be deaccessioned.

### III. Incoming and Outgoing Loans and Temporary Custody

A. Outgoing loans will be granted for exhibit, interpretive, research or other purposes to institutions or corporations for items that are in keeping with the scope and mission of the Museum.

1. The Museum requires that requests for loans must be made in writing and submitted to the Collections Department. Requests for loans are initially reviewed and evaluated by the Collections Department and approved in consultation with the appropriate Curator or governmental agency. If no appropriate Curator exists, the recommendation is made by the Collections Manager. If a consensus upon a recommendation cannot be made, the Director will review the request and make a final recommendation. Significant loan activities are to be reported to the Director, who has authority to accept or reject any loans.
2. In general, the Museum will not loan original archival material when a facsimile will suffice. Exceptions will be made for conservation treatment, media migration, and transcription purposes. The Museum will not loan archival material to private individuals.
3. Loans are made only for educational purposes to other museums, corporations, or similar cultural and scientific institutions whose mission sufficiently justifies the appropriateness and relevancy of the loan. Loans must be requested by an official representative of the borrowing agency. As a general rule, loans are not made to individuals and students. Loans of geological and natural science collections may be made to qualified private researchers, upon the recommendation of the R&C Committee and the approval of the Director or owning or controlling government or tribal agency. Under no circumstance will the Fine Art or Anthropology Collections be loaned to private individuals.
4. Loan requests will be evaluated with respect to the following conditions:
  - a. the purpose for which the item is to be used,
  - b. the context in which the item will be held and presented,
  - c. the physical and/or intellectual integrity, or the value of the item,
  - d. restrictions regarding the loan of the item indicated in the accession records,
  - e. the environmental conditions of transport, storage, and display to which the item will be exposed, including temperature, humidity, light level, and air quality

- f. the security and insurance policies and provisions of the borrowing institution,
  - g. the plan and cost for moving the item, (unless otherwise specified, the borrower will pay the cost of moving the item)
  - h. an AAM Standard Facility Report or a standard MNA security and condition report.
- 5. The integrity of loaned items will be scrupulously protected by the borrowing institution. The method of packaging and transport shall be in keeping with the safeguarding of the items or specimens under the supervision of the Collections Department in consultation with the appropriate Curator. The Collections Department will ensure that necessary permits are obtained in order to maintain compliance with national and international laws. The Collections Department will also insure that appropriate insurance coverage is obtained for any item being loaned.
- 6. No item on loan may be restored, cleaned, preserved, or otherwise altered for display or research purposes without written permission from the Collections Department in consultation with the appropriate Curator or controlling or owning government or tribal agency. No parts of specimens may be removed for study, nor shall any parts of specimens or duplicate specimens be retained or disposed of by the borrower without specific prior written agreement. Any molds or casts made to geologic specimens must be approved in advance by the Museum. One cast may be retained by the borrowing institution, while all molds must be returned to the Museum. All items will be protected from vandalism and/or theft by appropriate security measures.
- 7. Loans will be granted for a period up to one year with an option for renewal. Renewal of loans will be considered on a year-by-year basis, The Collections Department is responsible for monitoring the status of all loans. Long term loans are subject to review unless the loan agreement specifies otherwise.
- B. As a general rule, subloans should not be granted. No subloans to other institutions will be made by the loanee without prior written permission from the Collections Department, under the recommendation of the appropriate Curator and the approval of the Director or government agency. Subloans of MNA items will not be granted unless such loan rights are conferred to the borrowing institution by the loan agreement. No items may be used for commercial purposes without the written approval of the Collections Department, who will make a recommendation in consultation with the appropriate Curator. Rights of reproduction are not included in the loan agreement and must be obtained in writing from the Collections Department.
- C. The same conditions and care that pertain to outgoing Museum loans will be accorded to incoming loans.

- D. The Museum will make every effort to ensure that there is a good faith effort to examine the provenance of borrowed items and obtain any special permits, if required. The Collections Manager, in consultation with the owning agency, will be responsible for ensuring that the provenances of items are addressed.
  - E. Appropriate loan forms shall prescribe procedures for incoming and outgoing loans. A complete record of such transactions will be maintained by the Collections Department.
  - F. Items left in the temporary custody of the museum will be considered an incoming loan and treated as such.
- IV. Deaccession and Disposal
- A. The Museum recognizes that it is important to reassess the contents of its collections to ensure that the collections meet the mission of the Museum. In recognition of its fiduciary responsibility the Museum will ensure that any deaccessioning of collection items will proceed in a legal and ethical manner in keeping with professional museum standards. The Museum acknowledges its civic responsibility associated with the care of significant cultural, historical, and scientific items. In order to meet our mandate to professionally manage these items, the practice of deaccessioning will be utilized in line with the AAM Code of Ethics, the MNA Code of Ethics, and in line with the museum and professional community.
  - B. Deaccessioning is defined as the formal process of removing an accessioned item or group of items from the museum's permanent collection (Simmons, 2006). This process also applies to the transfer of items from the Museum's permanent collection to the education collection. Appropriate deaccessioning is part of the Museum's ongoing responsibility to serve the public trust by ensuring preservation funds are not depleted and critical space consumed by caring for items not relevant to the Museum's mission.
  - C. Items in the collections to which the Museum holds title should be retained permanently if they continue to be relevant and useful to the mission of the Museum and if they can be properly stored, preserved, and used.
    - 1. Deaccessioning of any item may be considered when one or a combination of these conditions are met:
      - a. the item is no longer relevant to the Museum's mission
      - b. the item is outside the Museum's scope of collections
      - c. the item has deteriorated beyond any perceived usefulness
      - d. the Museum can no longer adequately care for or preserve the item
      - e. the item is deemed to be of inferior quality
      - f. the item is hazardous
      - g. duplicate items exist in the collection
      - h. the item is subject to NAGPRA repatriation
      - i. the item was acquired in violation of law

- j. the item was erroneously accessioned into the permanent collection or was originally thought to be authentic (For example: exhibit props, fakes or forgery etc.)
      - k. an item for which the Museum does not hold title is requested for return by the owning agency (See IV.F of this policy)
    - 2. Any item of significant worth or apparent value (ranging over \$20,000 or more) proposed for deaccession must have independent appraisals by not less than three appraisers certified or accredited by the Appraisers Association of America, the American Society of Appraisers, or the International Society of Appraisers. Appraisals must be full appraisals that include comparables, not simply estimates of value.
- D. Before disposing of any items from the collections, the Museum must determine that it has clear title and is legally free to do so. Certification of legal status and restrictions is the responsibility of the Head of the Collections Department.
  - 1. When donor or depositor restrictions relating to use or disposition are located for items proposed for deaccession, the Museum will proceed in the following manner:
    - a. Legal restrictions will be observed strictly, unless relief from their terms is authorized by the original donor, or authorized representative of the donor, or through a court approved cy pres action, or court action based upon the doctrine of equitable deviation.
    - b. Items to which precatory restrictions apply need not be disposed of until reasonable efforts are made to comply with the restricting conditions. See “Definitions” in Sec. XV.
    - c. If the Museum finds evidence of legal dispute regarding an item subject to deaccession, it will table its decision to deaccession until a final judgment regarding the item has been made in a court of law, by court order, or through resolution by arbitration.
  - 2. If the title of the item is in question, refer to Section II, part J of this policy concerning items found in collections.
  - 3. Duplicate records in archival collections may be disposed without going through the deaccessioning process, provided it is in accordance with the donor agreement.
- E. MNA will comply with the Native American Graves Protection and Repatriation Act and may deaccession items in order to repatriate them in accordance with the Act. See Section X of this policy for further discussion of NAGPRA.
- F. Requests for the return of items owned by government or tribal agencies that the Museum has acquired under permit or serves as a repository for, should be submitted in writing by the authorized agency official and



should list the reasons for the return. As a federally recognized repository, the Museum of Northern Arizona is duty bound to carefully review all such return requests, in order to fulfill our legal obligations to the owning agency. All such requests will proceed through the steps outlined in IV.G of this policy. (See below)

- G. All proposed deaccessions must be approved by the Board of Trustees upon the recommendation of the Research and Collections Committee, the Director, and the Program Committee. Proposed deaccessions will proceed through the following approval steps, accompanied by the recommended disposal method (See IV.H.) and the public statement (See IV.H.10).
  - 1. The steps for approval are as follows:
    - a. Items may be proposed for deaccession by the appropriate Curator or by the Head of the Collections Department to the Research and Collections Committee.
    - b. Review and recommendation made by the Research & Collections Committee to the Director.
    - c. If the Research and Collections Committee recommends deaccession and the Director agrees, the Director will forward the recommendation to the Program Committee.
    - d. The Program Committee will review the recommendation and either reject it, recommend it to the Board for approval, or recommend it to the Board for approval with suggested modifications.
  - 2. The staff member or department who initiates a deaccession review will be responsible for providing all relevant and required information to the Head of the Collections Department, who will create complete and accurate records and maintain them in perpetuity.
  - 3. The Museum's intent to deaccession any item with a market value over \$20,000 must be published, along with a summary of relevant documentation, in a regular communication to MNA Members, like MNA Notes or MNA e-notes.
  - 4. If possible, reasonable efforts should be made to contact the item's original donors with a notification of the Museum's intent to deaccession.
- H. The Head of the Collections Department in consultation with the appropriate Curator and the Director is responsible for the ethical and legal disposal of items which have been approved for deaccession. The method of disposal should be in the best interest of the Museum, the public it serves, and the scholarly or cultural communities it represents.
  - 1. Preferred methods of disposal of non-NAGPRA related items approved for deaccession include the following:
    - a. Donation/Transfer of item to a public museum or archives
    - b. Donation/Transfer of item to an appropriate non-profit organization or tribal group (example: grass skirt to a local

- theater company as a prop or maps given to a local school for educational use)
- c. Exchange of item with a public museum or archives
  - d. Disposal or destruction of item, if warranted by circumstances.
  - e. Sale of item at public auction.
2. Preference will be given to placing items through gift, exchange, or sale, in another tax-exempt public institution wherein they may serve the purpose for which they were acquired initially by the Museum.
  3. If items have regional value and significance, additional efforts will be made by the Museum to keep them in the appropriate region.
  4. The Museum will not sell prehistoric or natural science items, (with the possible exception of mineral specimens) or other items of significant scientific or aesthetic value.
  5. Any item that meets the criteria for sale (see statement above, IV.H.4), must be sold at public auction.
  6. Deaccessioned items will not be sold in the Museum's gift shop.
  7. Recipients of deaccessioned material will be notified of any known hazards associated with the deaccessioned item (e.g. chemical treatments, radiation, etc.)
  8. Any return, monetary or otherwise, that is realized from the deaccessioning of an item will only be used for purchasing new permanent collection items for the collections or for the improvement of storage conditions or conservation of items in the Museum's permanent collections.
  9. No staff member, trustee, research associate, volunteer or member of their immediate family may acquire an item deaccessioned from the Museum of Northern Arizona.
  10. A public statement explaining the reasons for deaccession of any items will be available for public review upon request.

V. Conservation and Care of Collections

- A. The Museum of Northern Arizona is committed to caring for its most significant resource, the collections. The Museum will strive to hold and administer all collections in its care so as to meet or exceed the standards of the museum profession. Preventative conservation is the management tool designed to prolong the life of museum collections by minimizing or slowing the rate of deterioration to prevent damage to collection items. By identifying inherent instability and common agents of deterioration and understanding the interactions that occur between the agents and collection items, the Museum attempts to limit damage to the collections.
- B. The Museum will strive to hold and administer all collections to the highest possible professional standard and prolong the life of the collections. Care of archeological collections will be in line with the standards required by Federal regulation 36 CFR Part 79.

- C. The day to day responsibilities for the care and conservation of collections rests with the Collections Department.
1. Collections staff will stay abreast of current museum practices and standards, and changing practices and technologies regarding collections care.
  2. The Collections Department will ensure that approved disaster plans and emergency procedures are in place and updated no less than every five years.
  3. Conservation needs with respect to collections will be monitored and recorded. The Collections Department is responsible for making recommendations for conservation treatment in consultation with the appropriate Curator and external professional conservators, if applicable.
  4. The Collections Department will facilitate and supervise all conservation treatments and maintain appropriate records of these treatments.
  5. The Collections Department is responsible for arranging, supervising, and handling shipped items and completing and maintaining complete and accurate condition reports.
  6. The Collections Department is responsible for the movement of items within the Museum's facilities, as well as all items that enter or exit the Museum.
  7. Archival quality, acid-free supplies will be utilized for all new acquisitions to the collections. Inappropriate storage materials will be replaced with museum quality supplies.
  8. The Collections Department will monitor and record environmental conditions in storage, exhibit galleries, and in other areas where items are stored and displayed.
- D. Collections areas will be cleaned on a regular basis. The Collections Department is responsible for ensuring that collections areas are clean, orderly, and free of dust, debris, and pests. Cleaning schedules are established in Collections Department Procedures.
- E. The Museum is committed to having a set of Integrated Pest Management (IPM) practices at which it will implement to the degree that funds and personnel are made available. IPM philosophy seeks to eliminate or reduce deterioration caused by insects and other museum pests through the least toxic methods, thus not compromising collection integrity or human safety. IPM involves proper collections care, facility maintenance and upgrades, and modification of human behavior. IPM will be accomplished through the following activities and stipulations:
1. Periodic programs to:
    - a. Inspect collections and building for biological activity.
    - b. Monitor and identify insects and other pests through sticky, baited or pheromone trapping.
    - c. Improve and monitor building envelope seals through caulking, weather stripping, and patching.

- d. Clean collections through vacuuming and dusting schedules.
  - e. Dispose of and store wastes.
- 2. Infestations or other pest problems will be treated by isolation and with non-toxic treatments such as vacuuming, freezing, or modified environments. If these treatments fail and item integrity is imperiled, other methods might be employed, in consultation with a trained conservator.
- 3. Under no circumstances will any chemicals or insecticides that have been determined by the EPA to have harmful effects on any item (in the form of residues), collection, or staff member, be used.
- 4. Records of pest monitoring and treatments, as well as housekeeping schedules and activities will be maintained by the Collections Department.
- 5. Restricted and permitted areas will be designated for activities that could introduce pests into collections. Potential concerns are:
  - a. Eating, drinking and food storage.
  - b. Live plants and cut or dried flowers.
  - c. Location of wet and dry trash.
  - d. Holding areas for new acquisitions.
  - e. Items brought into the Museum by visitors for identification which may contain or be infested with insects.

VI. Security and Risk Management

- A. The Museum will strive to maintain a secure environment for every item in its collection. The Collections Department will work with other departments to ensure that items are protected from natural disasters, vandalism, theft, human error, mechanical or operational failure, and deterioration. Collections will be secured through the following measures and monitored by the Collections Department:
  - 1. All entrances and exits to spaces that contain collections will be securely locked with deadbolts and alarmed.
  - 2. Access to keys will be restricted to only those who need them for day to day access.
  - 3. Key control will be implemented through a key policy, monitored by the Collections Department.
  - 4. Visitors to collection areas, or those persons who do not access collections as part of their day-to-day responsibilities, must wear visible collections badges at all times and must sign in and out of an access log. The staff member who allows visitor access is responsible for ensuring that access logs are completed and badges are distributed and properly displayed.
  - 5. The Museum will use and maintain high quality fire detection, and where appropriate, fire suppression systems.

6. Environmental monitoring equipment, including temperature and humidity monitors, will be used to detect any unusual fluctuations in temperature or water leakages.
  7. A security plan for collections will be implemented, continually evaluated, and revised no less than every five years.
  8. The Collections Department is responsible for drafting, implementing, and reviewing a disaster preparedness plan.
- B. The Museum will provide security for some items in its collection through the purchase of insurance. The Museum carries the Huntington T. Block Fine Arts Insurance Policy. Collections on loan to other institutions must be insured by the borrowing institution. The Collections Department is responsible for documenting a written certificate of insurance for any loaned items. In the rare case that natural science specimens are loaned to private researchers, or in the case that a value has not or cannot be assigned for an item (for insurance purposes) the Museum will require a certificate of insurance, bond, or other appropriate means of ensuring that the Museum will be compensated for harm to or loss of those items.

## VII. Records and Inventory

- A. Institutional archives are subject to a retention and disposition schedule as outlined in the Museum's Document Destruction and Retention Policy.
- B. Records and their management, both on an institutional scale, down to very detailed recording elements, are a significant component of collection care. Computerization of collection records with appropriate backup archiving, accession files, timely and accurate cataloguing of items, treatment records, history of use, results of research, movement and location changes, and many other levels of documentation, all play a role in the significance of the item and must be documented and centrally filed. It is the policy of the Museum to maintain accurate, timely, secure, and complete records.
  1. The Collections Department is responsible for the management and maintenance of all collections records.
  2. While in the care of the Museum, all activities and decisions regarding the item, whether the item is part of the permanent or education collections, or on loan, will be fully tracked and documented.
  3. Every effort will be made to collect as much documentation on each item including: full identification, the status of any intellectual property rights or copyright, the person(s) responsible for its collection or donation, the circumstances under which it was acquired, and any ambiguities or questions that exist about the item or its collection.
  4. For those items that come about as part of curatorial and research activities, Curators and researchers will be responsible for providing all documentary information to the Collections Department, which is responsible for maintaining it in perpetuity.

5. Duplicate records should be maintained and digital records should be backed up on a daily (standard work day) basis. These records should be stored in secure storage facilities both on and off site.
  6. A legal instrument of conveyance or contract, setting forth an adequate description of the items involved and the precise conditions of transfer, should accompany all accessions and should be kept on file at the Museum. This document should be signed by the seller, lender, or donor, or their legal representative, and by an authorized Museum representative.
  7. Items left, either temporarily or permanently, at the Museum will be recorded as an incoming loan, which will be used to identify the item(s) and associated documentation. Non-accessioned items will receive an educational collections catalog number or an incoming loan number for tracking purposes. A complete record of such transactions will be maintained.
  8. Records systems will identify items by a unique Museum number.
- C. A current, reconciled inventory of collections is the primary tool for maintaining accountability and providing access to collections. Regular, periodic comparison between inventory records and the physical collections is necessary for prudent collections management.
1. Upon completion of a comprehensive inventory during 2006-2007, a regular program of inventory will be implemented by the Collections Department. The recommended inventory timeline is as follows:
    1. Spot-check inventories will be performed annually.
    2. Major sectional inventories will be performed every five years.
    3. Wall-to-wall inventory cycles will be completed every 20 years.
  2. Inventory results will be reconciled with previous records by the Collections Department. The Collections Manager will investigate any inconsistencies in these records and report any items deemed to be significantly altered or missing to the Director.
  3. All items accessioned into the Museum's permanent collection, items on loan, and items in repositied collections are subject to inventory by the Collections Department. The Collections Department will consult with the appropriate agency to establish a schedule, method, and time to conduct inventories of repositied collections.
  4. Changes and deletions to inventory records must be documented with the name of the person making the change and give indication of the appropriate authorization to make the change.
  5. Movement, removal, or modification of the physical location of items in collections storage must be fully documented and coordinated with the Collections Department.

## VIII. Access and Use

- A. The Museum has a responsibility to pass on to future generations collections that are intact and in near pristine or original condition. Unrestricted public access would result in rapid and irreparable damage to items and documentation. To maintain the public trust, collection access must be limited to educational and research itemives and activities.
- B. Access will depend upon available space, facilities, staff, donor restrictions and item stability. The Collections Manager, in consultation with the Curators, ~~NAGPRA Specialist~~, and owning and controlling government and tribal agencies, as appropriate, is responsible for allowing and monitoring access to the physical collections as well as collection-related information and documentation. The MNA collections shall be accessible by appointment for legitimate research and study by responsible investigators and the general public as delineated in this policy, subject to established or special procedures necessary to safeguard the items, physical restrictions related to space and facilities, and the availability of appropriate staff.
  - 1. Collections access by the general public is welcomed by appointment, and can be accomplished in the form of group or private collection tours as well as during MNA sponsored events. Access fees may be charged. (See Collections Procedure Manual)
  - 2. Access to anthropological collections by Native American Tribal members will be made upon request and will be subject to the same restrictions as research access. Sensitive collections, including sacred and ceremonial materials, are only accessible with Tribal or owning agency permission.
- C. Access at a requested time is subject to availability of Collections Department personnel or the appropriate Curator. In no case shall administrative or other staff allow access to collections in the absence of Collections Department personnel or Curators.
  - 1. All persons entering and exiting collections storage facilities must sign in and out of an access log. The Collections Department is responsible for maintaining access logs.
- D. Access to site files is restricted to qualified individuals with legitimate research interests because improper use of such information may result in irretrievable damage to valuable resources. Policies and procedures for accessing files containing locational information for paleontological, geological, biological, and archaeological sites are outlined here.
  - 1. Access to Archaeological Site Records is governed by Federal and State legislation regarding archaeological site locations. (See Appendix B) Access to Natural Science Site Records is governed by the regulations of various state, federal, and tribal agencies.
  - 2. To comply with the referenced legislation, MNA is required to screen all users regarding their reasons for accessing records information and to deny access under the referenced legislation if it is to be determined that release of information may cause damage

to the archaeological, paleontological, geological or biological record.

3. The Collections Manager and the appropriate Curators will only grant access to approved individuals requesting site files. The policy and guidelines for establishing approval is as follows:
  - . Individuals seeking approval for site file access will have one or a combination of the following qualifications. For archaeological site files: a professional archaeologist with at least a Master's degree in anthropology or related field, or equivalent experience; an archaeologist who holds ASM or ARPA permit or is qualified to hold one; or federal agency archaeologists meeting Office of Personnel Management requirements for GS 193 Series archaeologist. Qualified archaeologists may request that an employee or student advisee be given access to site records in their stead. Students or others who do not meet qualifications will not have site files access without approval from a qualified archaeologist supervisor. For natural science site files: a professional in a natural sciences field with at least a Master's degree in a relevant field, or equivalent experience. Students and others who do not meet this qualification will not have site file access without approval from a qualified supervisor.
  - a. All applications for site files access must include a statement of qualifications and demonstration of need. Applications will be submitted to the Collections Department and initially screened by the Collections Manager or designee, in order to ensure that the applicant meets the base qualifications as outlined above, and the request conforms to all legal requirements. In addition, the Collections Manager or designee, will approve or deny the applicant based on potential effects on the collections or on collections management. The Collections Department will forward the application to the appropriate Curator who will review the application for the scientific qualifications of the applicant, the legitimacy of the proposed research, and any other issues relating to the scientific values of the resources involved. The Curator will review the application and make a final decision to approve or deny the applicant. For an applicant to gain access to site files, both the Collections Manager and Curator must concur in approval. If the application is denied and the applicant appeals the decision, the Collections Manager and/or Curator will provide written policy justification to the Director and the applicant. The Collections Manager and Curator(s) will approve or deny the application within a reasonable amount



of time, preferably in one or two days. In the absence of a Curator, the Director or an approved designee may review access applications and grant access.

- b. The Collections Department will maintain a list of individuals who have been approved for access previously. These individuals will be granted automatic access unless the Curator(s) or Collections Department has flagged their record as problematic. The Collections Department will archive all request forms when returned by the Curator(s).
4. All visitors to site files must:
    - a. Make an appointment
    - b. Meet qualifications outlined above
    - c. Fill out a site files access request form
    - d. Sign an archaeological records use agreement (for archaeological site files)
    - e. Sign in and sign out each time they use the site files
    - f. Wear a visitor badge
  5. Individuals approved by the appropriate resource manager or equivalent for a government agency or tribe for which the Museum holds items and records will be granted automatic approval to access records owned by the agency with which they are affiliated.
  6. Requests for access to site files not owned by the Museum will be processed in line with any existing agreement (MOU, MOA) the Museum holds with a state, federal, or tribal agency. The request must conform to the protocols of the owning or controlling agency. It is the responsibility of the Collections Department to ensure that the established guidelines and protocols of each agency are followed.
  7. Site files owned by the Museum are not subject to the Freedom of Information Act. Files owned by government agencies are subject to this act, except if they contain site location information and in specific circumstances. FOIA claims must be made to the appropriate agency who may grant access to the files they own.
  8. Rules for accessing archaeological electronic site records are governed by the AZSITE Consortium, which also restricts access to qualified professionals with demonstrated need. See the AZSITE Policy for specific information.
- E. MNA collections are to be used for research and study by qualified researchers, Native American Tribal members, and others with legitimate

historical or cultural interests in the collections, and for education through museum exhibition. Requests for use of collections should be submitted to the Collections Department, where they will be reviewed by the Collections Manager in consultation with the appropriate Curator or controlling government agency or tribe if that agency or tribe so requires.

- F. Access to items may be declined if a particular item is of a very fragile nature, the handling of which may further add to its deterioration.
  - G. Requests for access and use of items covered by NAGPRA may be subject to consultation with the owning or controlling government agency or appropriate tribe.
  - H. The restriction of unpublished archival material for cultural purposes will be done in consultation with specific tribal offices and agencies. If applicable, any signed MOU between the Museum and a tribe will be respected. Consultations will occur as previous accessions of material - as well as new accessions - are deemed to be of a culturally sensitive nature. Records of these consultations will be maintained in the relevant accession file for the archival material. The Archivist will provide contact information to researchers for the tribal office and/or agency when a research request is made to view or use material determined to be of a culturally sensitive nature. Access will be granted upon receipt of formal written permission from the necessary tribal office/agency. The written archival finding aid for a collection containing restricted items will contain a statement detailing the nature of the restriction.
  - I. Destructive Analysis often yields information that benefits the research collection as well as the scientific discipline. Requests for destructive analysis must be submitted to the Collections Department in advance, in writing, and must be supported with documentation regarding research plan, collection material under consideration, a description of the analysis to be performed, and the significance of the research. Any undestroyed samples will be returned to the Museum as will copies of the data resulting from the analysis. The latter will be incorporated into the permanent item/specimen record. The Collections Department will distribute requests to the appropriate Curator and if applicable, owning or controlling government agency or tribal agency, who will review all requests and submit a recommendation to the R&C Committee. Destructive analysis requests will be brought before the R&C Committee and must be approved by the Committee for all Museum-owned collections. An effort will be made to respond to these requests within one month. Destructive analysis decisions for collections owned by a governmental or tribal agency will be made by those agencies.
  - J. In all circumstances, any person granted access to collections will be provided guidelines and procedures for safe handling and security of items.
- IX. Reproduction and Copyright
- A. The MNA reserves the right to copyright, trademark, or patent materials produced by staff or contracted employees while carrying out regular and

- project specific employment-related duties, unless a prior agreement has been made.
- B. MNA staff and research associates should acknowledge that research and related work performed while employed by the Museum or on a grant funded through the museum is the property of MNA, unless other arrangements are made in advance with an individual or institution. “Employment” means accepting payment from the Museum for services performed as a regular, project specific, or MNA grant-funded employee.
  - C. It is the policy of the Museum to comply with the 1976 Federal Copyright Act and subsequent legislation.
  - D. The Museum will determine the copyright status of items in its collection when requests are made for use in published material. Documentation of legitimate copyright holders will be maintained in the relevant accession file. If the copyright or license is held by another party, it is the responsibility of those requesting use of the materials to seek permission for such use. If the material is subject to use under the Fair Use Doctrine the requestor will credit the copyright holder and the Museum in the publication.
  - E. Prior to undertaking online digitization projects (photographs, items), the Museum of Northern Arizona will ensure that issues of ownership and copyright have been pursued.
  - F. In support of its mission as an educational institution, the Museum will abide by 17 U.S.C., Section 107, which states that copyrighted material may be used or reproduced under special circumstances that constitute fair use. The Museum recognizes that determining fair use involves the weighing of interests. The interests relevant to fair use are:
    - 1. The purpose and character of these, including whether such use is of a commercial nature or is for nonprofit educational purposes;
    - 2. The nature of the copyrighted work;
    - 3. The amount and substantiality of the portion used in relation to the copyrighted work as a whole; and
    - 4. The effect of the use upon the potential market for or value of the copyrighted work.
  - G. Requests for use of copyrighted material will be considered on a case-by-case basis and evaluated and approved or denied by the Collections Department.
  - H. Photography or any other form of reproduction of an item in the Museum’s collection must be performed under the guidelines and/or approval of the appropriate Curator, Collections Department, and if applicable, the owning or controlling government or tribal agency. The Museum will hold the copyright on reproductions of an item in its collection unless that copyright is otherwise held, or other arrangements have been made and approved by the Director.
  - I. The Museum of Northern Arizona must be credited for the use of any photographs, illustrations, and art work in the Museum’s collections, as well as depictions of items in MNA collections. All illustrations and items,

including those in MNA publications, will be identified with MNA catalog numbers. MNA catalog numbers will be cited in all documents, reports, and publications. For publication purposes, the Museum of Northern Arizona acronym is “MNA”. This acronym shall be cited preceding the catalog number for all documents from MNA collection items.

- J. At least three copies of any published document that contains copyrighted materials from MNA should be sent to the Museum, one each for the Museum Library, the collections department, and the research department. In the case of a paper presentation, the date and place of presentation should be submitted with three copies of an abstract or copy of the paper.
- K. Royalties for Museum photographs or compensatory fees for staff time will be charged in line with the existing photo fee policy.
- X. Native American Graves Protection and Repatriation Act, Endangered Species Act, and other laws
  - A. It is the policy of the Museum of Northern Arizona to comply with all state, federal and international laws. The legal requirements of the Native American Graves Protection and Repatriation Act (NAGPRA), Arizona Revised Statute 41-865, and the Endangered Species Act (ESA) are of particular relevance to some of the items in the Museum’s collections. In carrying out the legal requirements stipulated by these laws, the Museum will work collaboratively with Native communities and government organizations to provide the highest standard of care and ensure the most appropriate use of these collections. The Museum will strive to balance its mission of public education and research with proper treatment and respect for sensitive materials.
  - B. MNA will comply with NAGPRA, a federal law. NAGPRA requires that museums, under certain circumstances, repatriate to lineal descendents, federally recognized Indian tribes and Native Hawaiian organizations, cultural items defined as Native American human remains, associated funerary items, unassociated funerary items, items of cultural patrimony, and sacred items. See Appendix C for Tribal Consultation and Repatriation of Culturally Sensitive and Sacred Materials policies and procedures.
    - 1. The Museum will work with tribes and the National NAGPRA office to better assess which items in the Museum’s collection may be contaminated with pesticide residues. The Museum will not knowingly repatriate contaminated items without disclosing to the tribe information about their contamination.
  - C. MNA will comply with the Arizona Revised Statute 41-865 Disturbing human remains or funerary items; rules; violation; classification; definitions. This state law provides protection for human remains on private lands in Arizona. This law states that any human remains found on private land will not be intentionally disturbed, will be treated in a respectful manner, and be reported to the Director of the Arizona State Museum (ASM).

1. It is the policy of the Museum to decline any offer of human remains from private individuals and refer those individuals to contact the Director of ASM.
  2. If the Museum becomes an involuntary recipient of human remains, the Collections Department will contact ASM and process the materials as a loan.
  3. Any discoveries of undocumented human remains found in collections will be handled on a case-by-case basis.
- D. Access, handling, and photography of sensitive specimens (endangered species, threatened species, tribal, endemic, and special status specimens) will be done in accordance with applicable state, tribal and federal laws.
- XI. XI. Public Disclosure
- A. The Collections Management Policy will be available to the public on the Museum's website. In an effort to provide access and educational resources to the public, the Museum will work towards making information about collections, including photographs and written documentation, available on the website.
  - B. The Museum may disclose through the Director such information about the collections that is deemed beneficial for both MNA and the public, including: the number and type of items in collections, and other general and educational information about collections. Donor names, if the donor has requested anonymity, the value of the piece, provenience information on archaeological and natural science collections (as state, federal, and tribal laws apply), and detailed information on culturally restricted collections will not be disclosed to the public.
- XII. XII. Ethical Situations/ Staff Ethics and Responsibilities
- A. All MNA trustees, staff, researchers, and volunteers will abide by the MNA Code of Ethics (see Appendix D) and the AAM Code of Ethics.
  - B. The Museum will only collect items in compliance with all federal, state, and international laws.
  - C. The Museum will act in an ethical and appropriate manner when acquiring items through field collecting, purchase, exchange, or trade.
  - D. Museum staff members may not be involved in appraising or in the dealing of items outlined in the Scope of Collections. This policy is extended to items accessioned in the Museum's collection as well as items outside of the Museum's collection.
  - E. Staff members may not take action to build a personal collection of some significance in competition with the Museum's collections. Staff members should disclose any significant collecting activities or personal collections to the Director. The Director should disclose any of these activities to the Executive Committee of the Board of Trustees. Staff collections are allowed if they are deemed to be *de minimus*, or of little scientific or artistic significance.
- XIII. XIII. Allocation of Staff Responsibilities
- A. Successful collections management involves the cooperation of Collections Department personnel, Curators, Researchers, and outside

consultants. The Museum recognizes that no one individual possesses all the knowledge to best protect and maintain collections in perpetuity, and therefore sees the management of the Museum's collections as a collaborative effort where all opinions and concerns are considered when implementing policies.

1. Collections Department: The day to day physical care of the MNA collections is the primary responsibility of the MNA Collections Department. The Collections Department is responsible for ensuring that the collections are properly accessioned and catalogued, maintained and conserved according to current museum standards, and is responsible for maintaining physical control of the collections and information about their location. The Collections Department takes the lead implementing the Museum's collections preservation plans and for securing grants for improvements in collections care.
2. Curators: Curators are responsible for the "intellectual care" of the collections, that is, they are responsible for understanding and building the significance of the collection through research and public programs. In addition, they add to the collections through research projects.
3. Shared Responsibilities: While the division of responsibilities outlined above is based on respective areas of expertise and training, it is recognized by MNA that this division of labor is not absolute and that there are overlapping areas of expertise and experience with respect to collections care. For example, some Curators may have specific, specialized experience and knowledge about the best methods for preparing and storing specimens in their area of specialization. Therefore, there is an expectation that the relationship between the Curators and the Collections Department will be based on collaboration and consultation. It is expected that the Curators and the Collections Department will meet on a regular basis to discuss collections management issues and concerns. If, in the event that a collections management issue between the Collections Department and a Curator cannot be resolved, it will be the responsibility of the Museum Director to make a resolution based on examination of the relevant facts, consultation with the parties involved and, if necessary, on outside peer consultation.
4. Research and Collections Committee: The Research and Collections Committee (R&C Committee) is a staff committee consisting of the Collections Manager, key Collections Department staff members, Curators, and other appropriate staff members as selected by the Museum Director. The Committee will be chaired by the Museum Director or the Director's designee. The R&C Committee will meet regularly, at least quarterly, to discuss collections and research issues, collections management procedures, proposed acquisitions and deaccessions, and other

matters of interest and concern. The purpose of the committee is to facilitate communication among the Research and Collections Department staffs and to advise the Museum Director on research and collections issues and on proposed acquisitions and deaccessions. The R&C Committee is also responsible for implementing the Museum's Research Policy, as approved by the Board, and reviewing on-going and proposed research, as per MNA Research Guidelines, to ensure research follows institutional goals and plans.

- XIV. Monitoring and Revising Collections Management Policy
- A. The Program Committee of the Board of Trustees is responsible for the periodic review and revision of the Collections Management Policy, which should take place every five years, or as circumstances dictate.
- XV. Definitions (Source: Simmons, John. 2006. *Things Great and Small: Collections Management Policies*. American Association of Museums, Washington, D.C.), (Source: [http://www.slais.ubc.ca/RESOURCES/students/Archival\\_Terminology.pdf](http://www.slais.ubc.ca/RESOURCES/students/Archival_Terminology.pdf)) (Source: Shepherd, Elizabeth and Geoffrey Yeo. 2003. *Managing Records: a Handbook of Principles and Practice*. Facet Publishing, London), (Source: Wythe, Deborah, ed. 2004. *Museum Archives: An Introduction*. Society of American Archivists, Museum Archives Section, Chicago, IL), (Source: Pearce-Moses, Richard. 2005. *A Glossary of Archival and Records Terminology*. Society of American Archivists, Chicago, IL).

Abandoned Property – Property left by a former owner who relinquishes ownership by not claiming the property within a reasonable length of time.

Access – The right, opportunity, or means of finding, using, or approaching collections or information.

Accession (n) – A set of one or more artifacts, item, specimens, etc., received from the same source at the same time; an acquisition that a museum has taken ownership of and holds in the public trust. (v) The process of taking legal ownership of an item or set of items to hold in the public trust; the process of assigning a unique place in the list of contents of a collection to the components of an accession.

Accessioning - The formal process used to accept legally and to record a specimen or item as part of a collection; the act of accepting items into the category of materials that a museum holds in the public trust; the creation of an immediate, brief, and permanent record utilizing a control number for an item or groups of items added to the collection from the same source at the same time, and for which the museum has custody, right or title. +

Accrual – Materials added to an existing (archival) collection; an accretion

Acquisition (n) – Something acquired by a museum (but not necessarily involving the transfer of ownership); (v) – The process of obtaining custody (physical transfer) of an item or collection.

Appraisal – A judgment of what something is worth; an expert or official valuation, as for taxation; the process of determining the monetary value of something. In archives, it is 1. The process of identifying materials offered to an archives that have sufficient value to be accessioned; 2. The process of determining the length of time records should be retained, based on legal requirements and on their current and potential usefulness.

Archival quality – Materials manufactured from inert materials specifically designed to extend the life of artifacts and records by protecting them from agents of deterioration.

Archives – 1. Materials created or received by a person, family, or organization, public or private, in the conduct of their affairs and preserved because of the enduring value contained in the information they contain or as evidence of the functions and responsibilities of their creator, especially those materials maintained using the principles of provenance, original order, and collective control; permanent records. – 2. The division within an organization responsible for maintaining the organization's records of enduring value. – 3. An organization that collects the records of individuals, families, or other organizations; a collecting archives.

Artifact – Something made by or modified by a human being.

Bequest – Transfer of property to an institution under the terms of a deceased person's will; the gift of personal property under the terms of a will. Bequests may be conditional upon the happening or non-happening of an event (such as marriage), or the executory in which the gift is contingent upon a future event. Bequests can be of specific assets or of the residue (what is left after specific gifts have been made).

Catalog – (n) the list of the content of a collection; (v) to organize the information about accessioned collection elements into categories; creation of a record of information specific to an item, assembly, or lot, cross-referencing other records and files.

Catalog number – a number assigned to an individual collection element during the cataloguing process.

Catalog record – a paper or electronic record created during the cataloguing process.

Cataloguing – The process of organizing the information about an accession by creating records of specific information; the creation of a full record, in complete descriptive detail, of all information about an item, assembly, or lot, cross-referenced to other records and files, and often containing a photograph, sketch, film, sound, or other electronic data.

Certificate of Insurance – A document, signed by the insurance company or its agent, that is written evidence of insurance in force at the time of issuance.

Collection – An organized accumulation of items or specimens that have intrinsic value; a group of specimens or items with like characteristics or a common base of association (e.g., geographic, donor, cultural); items or specimens that the museum holds in trust for the public.

Collection Development Plan – A plan defining the content of the collections that guides the staff in a coordinated and uniform direction to refine and expand the collections in a way that gives the museum intellectual control over collections.

Collections Management – The activities that relate to the administration of collections, including planning, development, care, conservation, and documentation; caring for collections and make them available for use.

Collections Management Policy – A written document, approved by the institution's governing authority, that specifies how collections will be acquired, accessioned, documented, stored, used, cared for, and disposed of.

Collections stewardship – The careful, sound, and responsible management of collections that are entrusted to the museum's care, including legal, social, and ethical obligations to provide proper physical storage, management, conservation, and care for the collections and associated documentation.



Commercial use – Use of a component of a collection or its associated documentation for sale, resale, purchase, trade, barter, or actual or intended transfer for gain or profit.

Condition report – An accurate, informative descriptive report of an item's or a document's state of preservation at a moment in time.

Conservation – Maximizing the endurance and minimizing the deterioration of an item or specimen through time, with as little change to it as possible.

Contract – An agreement between two or more parties that can be enforced in court. Sometimes this term is used to refer to the written document on which the agreement of the parties is recorded.

Copyright – (1) Legal recognition of special intellectual property rights, distinct from the right of possession, that a creator may have for a work. Copyright exists for original works in a tangible media and covers the rights to reproduce, adapt, distribute, perform, or display the work. (2) The exclusive right of the author or creator of a literary or artistic property to print, copy, sell, license, distribute, transform to another medium, translate, record or perform or otherwise use (or not use) and to give it to another by will.

Copyright law – The body of law that governs the exploitation of literary, musical, artistic, and related works. In the United States, this is contained in Title 17 of the U.S. Code, in combination with the regulations of the Copyright Office and the cases that have interpreted Title 17 and those regulations.

Cultural affiliation – A relationship of shared group identity which can be reasonably traced historically or prehistorically between a present day Indian tribe or Native Hawaiian organization and an identifiable earlier group (NAGPRA, 25 U.S.C. 3001.2(3)); association of an item with the culture that produced or used it.

Culturally sensitive item – a collection element that requires special handling or use restrictions due to its importance to a particular culture.

Curation - The process of managing and preserving a collection according to professional museum standards and archival practices (36 CFR 79.4(b)).

Curation agreement – A contract between two parties detailing the curation of a collection, including details on the state of the collection when given to the repository, work to be done at the repository, responsibilities to the collection for both parties, costs, ownership, and access and use of the collection.

*Cy pres* – The doctrine in the law of charities whereby when it becomes impossible, impracticable, or illegal to carry out the particular purpose of the donor, a scheme will be framed by a court to carry out the general intention of applying the gift to charitable purposes that are closely related or similar to the original purposes.

*de minimis*- So small or minimal in difference that it does not matter or the law does not take it into consideration.

Deaccessioning – The formal process of removing an accessioned item or group of items from a donor to an institution and describes the conditions of the gift.

Deed of gift – A contract that transfers ownership of an item from a donor to an institution and describes the conditions of the gift.

Destructive sampling – Any type of analysis that destroys or alters a sample during the process.

Disposal – The process of physically removing a deaccessioned item, or item(s) subject to disposition as outlined in the Document Destruction and Retention Policy, from the museum’s custody.

Exchange – To trade or barter property, goods and/or services for other property, goods, and/or services, unlike a sale or employment in which money is paid for the property, goods or services.

Ethics – A set of principles or values to govern the conduct of individuals.

Facility Report – A report prepared by an institution that outlines its facilities, environmental controls and monitoring, and collections management procedures.

Fair Use – Use by reproduction of a copyrighted work for criticism, comment, news reporting, teaching (including multiple copies for classroom use), scholarship, or research.

Fiduciary – Relating to or involving a trust; of or relating to holding something in trust for the public.

Finding aid – 1. A tool that facilitates discovery of information within a collection of (archival) records. – 2. A description of records that gives the repository physical and intellectual control over the materials and that assists users to gain access to and understand the materials.

Funerary items – Items that, as a part of the death rite or ceremony of a culture, are reasonably believed to have been placed intentionally with or near individual human remains at the time of death or later.

Gift – The voluntary transfer of ownership of property completely free of restrictions.

Governing Authority – The executive body to which the director reports and is responsible, charged with the legal and fiduciary responsibility for the museum (e.g., board, trustees, regents, commission).

In perpetuity – Continuing forever; used in reference to the curation of material remains and documents by a repository for the entire length of an item’s life.

Incoming loan – Items, lots, specimens, or archival materials to which the museum does not have legal title but for which it is legally responsible while they are in its possession and used in a museum-sponsored activities.

IPM – Integrated Pest Management – The coordinated use of biological and environmental information with selected control measures to reduce or eliminate pest damage; a holistic approach to pest management decision making, taking advantage of all appropriate pest management options, including chemicals.

Institutional archives – Archival documents relating to the substantive functions of an agency or organization.

Intellectual property – Unique products of human intelligence that have real or potential commercial value (e.g., designs, inventions, literary works, unique names, and industrial processes).

Intellectual property rights – Non-physical (intangible) rights to an item or record that exists independently from ownership of the physical item; intellectual property rights include copyright, images, and right to use.

International law – Treaties between countries; multilateral agreements; some commissions covering particular subjects, such as whaling or copyrights; procedures and precedents of the International Court of

Justice (“World Court”), which only has jurisdiction when countries agree to appear; the United Nations Charter; and custom. However, there is no specific body of law that governs the interaction of all nations.

Inventory – (n) An itemized listing of items, often including current location, for which the museum has responsibility; (v) The process of physically locating items through an inventory.

Item- A statement or maxim; a saying with a particular bearing; a unit included in an enumeration or sum total; A thing that can be distinguished from a group and that is complete in itself., especially when included in a list or collection

Loan – A bailment; a temporary transfer of a collection item from a lender to a borrower; a loan does not involve change in ownership.

Loan agreement – A contract between a lender and a borrower of an item, specifying the item and outlining the conditions of the loan and the respective responsibilities of each party.

Loan fee – A fee charged to a borrowing institution by a lending institution for a loan. It is usually a charge in addition to the actual costs (conservation, packing, shipping, etc.) of handling a loan.

Location file – An instrument used to find a component of a collection in the collection storage array.

Manuscript collection – A collection of personal or family papers. Note: Although manuscript literally means handwritten, 'manuscript collection' is often used to include collections of mixed media in which unpublished materials predominate. They may also include typescripts, photographs, diaries, scrapbooks, news clippings, and printed works.

Material – Relating to, consisting of, or derived from matter.

Mission – Statement approved by the museum’s governing authority that defines the purpose of the museum.

MOA – Memorandum of Agreement; a written document that details the responsibilities of all parties in a plan or procedure.

MOU – Memorandum of Understanding; a written document that details the responsibilities of all parties in a plan or procedure.

Museum – An organized, permanent, nonprofit organization, essentially educational and often aesthetic in purpose, with a professional staff, that owns or uses tangible items, interprets them, care for them, and exhibits them to the public.

NAGPRA – Native American Graves Protection and Repatriation Act; An act instigated in 1990 to protect human remains, funerary articles, and sacred items that can be affiliated with a Native American tribe. (25 U.S.C. 3001.2(3)).

Item – Something placed before the eyes; something capable of being seen, touched, or otherwise sensed; a material thing.

Item found in the collections – An item in the collections that lacks any useful documentation as to how it was acquired.

Item in custody – Any item that the museum is responsible for or is liable for, including both items that the museum owns and those left in temporarily in its care.

Item in temporary custody – An item left temporarily in the museum for other than loan purposes (e.g., for attribution, identification, examination for possible gift, or purchase).

Off-site storage – Collections storage at a site that is separated from the museum.

Old loan or unclaimed loan – An expired loan or loan of unlimited duration left unclaimed by the lender.

Orphaned collection – a collection that has lost curatorial support or whose owner has abandoned it.

Original – In law, the first copy or archetype; that from which another instrument is transcribed, copied, or initiated.

Outgoing loan – An item loaned by a museum to another institution. It is an outgoing loan from the perspective of the lending institution; such a loan would be an incoming loan to the borrowing institution.

Permanent loan – An oxymoron used in reference to a loan with no specific ending date.

Policy – A guideline that regulates organizational action. Policies control the conduct of people and thus the activities of the systems.

Preventative conservation – Actions taken to detect, avoid, block, and mitigate agents of deterioration that affect museum collections.

Precatory restriction – Restriction on a gift that is the expressed wish of the donor.

Procedure – Specific instructions for enacting and carrying out a policy.

Provenance – For works of art and historical items, the background and history of ownership. The more common term for anthropological collections is “provenience,” which defines an item in terms of the specific geographic location of origin. In scientific collections, the term “locality,” meaning specific geographic point of origin, is more acceptable. In archives, 1. The origin or source of something. – 2. Information regarding the origins, custody, and ownership of an item or collection.

Public domain – In copyright law, the right of anyone to use literature, music, or other previously copyrighted materials after the copyright period has expired.

Public trust – A relationship in which the museum holds property that is administered for the benefit of the public.

Publication – In U.S. Copyright Law, the distribution of copies of a work to the public by sale or other transfer of ownership (including gifts and donations), or by rental, lease, or lending. The offering to distribute copies can constitute publication, but a public performance or display of a work normally does not.

Record Group – The whole of the documents that every organization or physical or juridical person accumulates by reason of its independent function or activity.

Records – All information fixed in a tangible (textual, electronic, audiovisual, or visual) form that was created by an organization as part of its daily business.

Records Management – The systematic and administrative control of records throughout their life cycle to ensure efficiency and economy in their creation, use, handling, control, maintenance, and disposition.

Registration – The process of assigning the components of an accession to a unique place in a serial order list of the content of a collection.

Registration Number or Museum number – A number assigned to the items or specimens in an accession.

Repatriation – To return or restore the control of an item to the country of origin or rightful owner.

Repository – A facility that can provide long-term professional, systematic, and accountable curatorial services for a collection that it does not own.

Repository Agreement – Agreement in which an institution provides long-term professional, systematic, and accountable curatorial services for a collection that belongs to another entity (e.g., a state government, federal government, or foreign government).

Restricted gift – The voluntary transfer of ownership of property with conditions and/or limitations placed upon that ownership.

Risk – The chance of an undesirable change occurring.

Risk management – A program of risk control that includes analyzing the probability of risks to museum collections, facilities, visitors, and staff as well as planning and implementing appropriate preventative measures and response methods.

Sacred item – Specific ceremonial item for which is needed by traditional religious leaders for the practice of traditional religions by their present-day adherents.

Sale – Transfer of title in return for money or other thing of value on terms agreed upon between the buyer and seller.

Scope of collections – A statement that defines the purpose of a collection a sets agreed upon limits that specify the subject, geographical location, and time period for the collection. The statement also considers the uses to which a collection that will be acquired to fulfill the purposes of the collection.

Security – Safeguarding the collections and museum grounds from theft and vandalism.

Specimen – A representative part of a whole, or a means of discovering or finding out; an experiment, a pattern, or model.

Stewardship – The careful, sound, and responsible management of that which is entrusted to a museum's care.

Title – The possession of rights of ownership of personal property. Separate rights of possession include copyright interests, trademark rights, and any specific interests that the previous owner may have reserved.

Trademark – A distinctive design, picture, emblem, logo or wording (or combination) affixed to goods for sale to identify the manufacturer as the source of the product. Words that merely name the maker (but without particular lettering) or a generic name for the product are not trademarks. Trademarks are registered with the U.S. Patent Office to prove use and ownership.

Wall-to-wall coverage – Insurance that covers an item on loan from the moment it is removed from its normal resting place, incidental to shipping; through all phases of packing, transfer, consolidation, exhibition, and repacking; until it is returned to its original resting place, or a place designated by the owner.

Work – (n) Something produced by creative effort; an artistic production (e.g., a work of art).

## **Appendix A**

Laws and statutes affecting collection acquisition:

- Native American Graves Protection & Repatriation Act
- Antiquities Act of 1906
- United States Copyright Law (1976)
- Archaeological Resources Protection Act of 1979
- Lacey Act (16 U.S.C. 3371, *et. seq.*)
- National Historic Preservation Act of 1966
- US Statute Regulating the Importation of Pre-Columbian Monumental or Architectural Sculpture or Murals (Pub. L. 92-587) (19 U.S.C. 2091 *et. seq.*)
- Treaty of Cooperation between the United States of America and the United Mexican States Providing for the Recovery and Return of Stolen Archaeological, Historical, and Cultural Properties (Pub. L. 92-587)
- Endangered Species Act (16 U.S.C. 1531, *et. seq.*)
- Migratory Bird Treaty Act (16 U.S.C. 703, *et. seq.*)
- Bald and Golden Eagle Protection Act (16 U.S.C. 668, *et. seq.*)
- Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) (16 U.S.C. 1538[c])
- Marine Mammal Protection Act (16 U.S.C. 1361, *et. seq.*)
- The Wild Exotic Bird Conservation Act (16 U.S.C. 4901)
- and other laws as applicable

## **Appendix B**

Access to Archaeological Records is governed by the following Federal and State legislation regarding archaeological site locations:

1. National Historic Preservation Act, 36CFR800, Section 304(a) Authority to withhold from disclosure,(b) Access determination,(c) Consultation with Council (16 U.S.C.470w-3).
2. Archaeological Resource Protection Act, 16 U.S.C. 470hh.
3. Federal regulation for the Protection of Archaeological Resources, 43 CFR Part 7, 7.18.
4. ARS 39-125.

## **Appendix C**

Tribal Consultation and Repatriation of Culturally Sensitive and Sacred Materials

- A. The relationship of MNA to Native American lands and peoples was established by the Museum's founders to be ones characterized by respect and appreciation for natural and cultural diversity, and of scientific interest into the historical processes that continue to shape the lives of the region's indigenous peoples. The Museum recognizes the importance of Native American perspectives in all aspects of collections management and values active and collaborative relationships with regional tribes. Taking into account the sensitive nature of many Native American materials, the Museum will comply with all applicable laws, act in an ethical and responsible manner, and through all its actions, demonstrate respect for Native American values, practices, and material culture.
- B. Consideration of the disposition and treatment of culturally sensitive and sacred materials permeates all aspects of collections management.
  - 1. Accessioning and Documentation: To the fullest extent possible, MNA will consult with the appropriate Native American tribes regarding ownership, consent, and treatment issues before deciding whether to acquire culturally sensitive and sacred materials related to those groups. If the Museum accections any culturally sensitive and sacred materials, they must be in the form of a transfer and must have Board approval. The Museum will document culturally sensitive and sacred materials in consultation with the appropriate tribe, as thoroughly as is reasonable and appropriate, except to the extent that such documentation is inconsistent with religious or cultural practices.
  - 2. Loans: MNA will make decisions regarding loans of culturally sensitive and sacred materials in consultation with the appropriate tribes and/or responsible or owning government agencies. Loans will not be made if written permission from the appropriate entity is not obtained.
  - 3. Conservation and Care of Collections: Consultations with appropriate tribal representatives on the care and conservation of culturally sensitive and sacred materials will be respected and taken into consideration. Recommendations for care will be made on a case-by-case basis and recorded by the Collections Department.
  - 4. Access: Access to culturally sensitive and sacred materials will be strictly monitored by the Collections Department. ~~The NAGPRA Specialist~~ The Collections Department will work with individual tribal members, tribal entities, and federal agencies to oversee and facilitate access to these materials.
- C. Native American Graves Protection and Repatriation Act (NAGPRA) is a federal law that provides a process for certain museums and Federal agencies to return Native American cultural items to lineal descendents, culturally affiliated Indian tribes, and Native Hawaiian organizations. The MNA will comply with the legal regulations stipulated by NAGPRA, follow NAGPRA guidelines, and actively consult with Native Americans to repatriate items that are subject to NAGPRA, or care for items that are not repatriated.
- D. The Collections Department is the museum department responsible for facilitating and ensuring compliance with NAGPRA. The Museum recognizes the importance of a NAGPRA Specialist, a staff member whose time is dedicated to coordinating

these efforts. If funds cannot be secured through grants or operating funds, the Collections Manager will be responsible for re-assigning those duties to appropriate staff and ensuring NAGPRA compliance.

1. In compliance with NAGPRA, summaries were provided to tribes or government entities in 1993 and inventories were provided in 1995.
2. All NAGPRA claims made on items to which the Museum does not hold title should be directed to the owning or responsible government agency. The Museum is legally obligated to comply with any requests or decisions made by government agencies that hold title to items in which the Museum serves as a repository for.
3. As defined by law, the five categories of items which are subject to NAGPRA are as follows:
  - a. Human remains, in the context of NAGPRA, is defined as the physical remains of the body of a person of Native American ancestry. The term does not include remains or portions of remains that may reasonably be determined to have been freely given or naturally shed by the individual from whose body they were obtained, such as hair made into ropes or nets. For the purposes of determining cultural affiliation, human remains incorporated into a funerary item, sacred item, or item of cultural patrimony must be considered as part of that item.
  - b. Associated funerary item, as a part of the death rite or ceremony of a culture, are reasonably believed to have been placed with individual human remains either at the time of death or later, and both the human remains and associated funerary items are presently in the possession or control of a Federal agency or museum, except that other items exclusively made for burial purposes or to contain human remains shall be considered as associated funerary items.
  - c. Unassociated funerary items, as a part of the death rite or ceremony of a culture, are reasonably believed to have been placed with individual human remains either at the time of death or later, where the remains are not in the possession or control of the Federal agency or museum and the items can be identified by a preponderance of the evidence as related to specific individuals or families or to known human remains or, by a preponderance of the evidence, as having been removed from a specific burial site of an individual culturally affiliated with a particular Indian tribe.
  - d. Sacred items, are defined as specific ceremonial items which are needed by traditional Native American religious leaders for the practice of traditional Native American religions by their present day adherents.
  - e. Items of Cultural Patrimony, an item having ongoing historical, traditional, or cultural importance central to the Native American group or culture itself, rather than property owned by an individual Native.



4. Visitation and consultation requests by tribal members or individuals acting on behalf of the tribe should be made in a reasonable time frame and directed to the ~~NAGPRA Specialist~~ Collections Manager. Following federal guidelines, the Museum will respond to these requests within thirty days. If Collections Department personnel are unable to meet at that time originally requested, the meeting will be rescheduled at the earliest convenience of both parties.
  - a. Only the ~~NAGPRA Specialist~~, Collections Manager and Director are authorized to allow visitations and consultations to NAGPRA-eligible items, which will be made on a case-by-case basis.
  - b. Authorized tribal members or individuals acting on behalf of the tribe are required to sign a Collections Access Agreement.
  - c. At no time during a visitation or consultation will a museum staff member promise or otherwise suggest that any item will be repatriated to a tribe or lineal descendent.
5. Repatriation requests should be made by the tribal repatriation office and addressed to the Director in writing, following established NAGPRA guidelines. Once a repatriation request is received, the Collections Department will proceed in the following manner:
  - a. The ~~NAGPRA Specialist~~ Collections Manager will create a file that contains complete records on the requested item, including current condition reports. Records of all documentation of the item and any repatriation activities will be maintained by the Collections Department.
  - b. Additional or missing documentation of the item will be in consultation with the appropriate tribal entity or individual. If the item has not been photo-documented, the ~~NAGPRA Specialist~~ Collections Manager will present the following considerations to the tribal entity or individual who will decide if the item can be photographed:
    - i. Photo-documentation may assist in subsequent identification and return of repatriated items that appear in the market.
    - ii. Photo-documentation will aid the Museum in keeping accurate and complete records.
  - c. The ~~NAGPRA Specialist~~ Collections Manager will present the all documentation on the item with a repatriation claim to the Research and Collections Committee within a reasonable time frame since the receipt of the request. This includes all MNA documentation as well as other documentation from visitations and consultations. The Research and Collections Committee will evaluate each claim in consideration of the following criteria, and in accordance with Federal Law:
    - i. The item requested can be classified under one or more of the five categories under which NAGPRA has jurisdiction.

- ii. Cultural affiliation between the claimant and the requested item has been established; or, the requesting tribe can show cultural affiliation based upon geographical, kinship, biological, archaeological, anthropological, linguistic, folkloric, oral tradition, and/or historical evidence, or other relevant information or expert opinion.
  - iii. A known lineal descendent or affiliated tribe requesting the return of the item presents unchallenged evidence which would support a finding that the Museum did not have the right of possession of the item in question.
- d. The Research and Collections Committee will forward their recommendation to the Director who will forward his or her recommendation to the Board for a final decision. If at any point the decision not to repatriate an item is made, that person or entity will provide written justification of that decision and present it to the tribal entity requesting repatriation. The tribe making the claim will be encouraged to continue consultation with the Museum to achieve a lawful and fair outcome. The Museum will seriously consider any decision to repatriate an item, taking into consideration that repatriation decisions may establish legal precedent.
- e. The Museum recognizes four outcomes regarding a repatriation claim, including: full repatriation, no repatriation with no restrictions on use, care, and exhibition, no repatriation with restrictions on use, care, and exhibition, and loan of item(s) to appropriate tribe.
- f. If a repatriation claim is approved by the Board of Trustees, the claim must be submitted to the Federal Register and listed for thirty days. From that date, the Museum has up to ninety days to return the item, barring counter claims.
- g. If multiple claims on an item are made, the Museum will retain the item until all claims are resolved. Parties making claims to an item will be invited to the Museum to resolve the claim through a process of arbitration and mediation.
- h. Items that have been approved for repatriation will be subject to deaccessioning procedures. The Museum will be responsible for packaging the item to ensure safe handling and transport. The Museum will share the cost of transporting the repatriated item with the tribe to which it is repatriated.

## **Appendix D**

### Museum of Northern Arizona Code of Ethics

The Museum of Northern Arizona's Code of Ethics applies to the trustees, staff, research associates, scientists, volunteers, and others affiliated with the Museum for official purposes. These individuals will be known collectively as "Museum Associates."

All of the principles articulated in the Code of Ethics, regardless of the section in which they are established, apply to all Museum Associates.

A copy of the Museum of Northern Arizona Code of Ethics will be given to each new Associate. Each Associate will be asked to indicate, by signature, that they have received and agreed to read and abide by the document.

#### BOARD OF TRUSTEES

The Museum of Northern Arizona's Board of Trustees is responsible for maintaining the institution's public trust and its service to society: locally, regionally, nationally, and internationally. The governing authority protects and enhances the Museum's collections and programs and its physical, human, and financial resources. The board ensures that support for the Museum's mission, respect for the diversity of society, and for the natural and cultural common wealth, will be reflected in the use of all Museum resources.

It is the policy of the Museum of Northern Arizona, Inc., that all members of the Board of Trustees and officers of the corporation shall exercise good faith in all transactions related to their trustee/officer role with the Museum.

The Museum trustee shall conduct all activities, including those relating to persons closely associated with the trustee such as business associates or relatives related by blood or marriage, in such a way that no conflict will arise with the policies, operations or interest of the Museum and that an appearance of conflict is avoided.

Any trustee or officer who has, or whose business associate, relative or a person close to the trustee has, a self-interest in any contract, sale, purchase, lease, exchange or service to or from the Museum, or a self-interest in any decision of the Museum, including monies, shall make known that interest and shall refrain from voting upon same, and in some instances, depending on the extent of self-interest, participating in the decision-making process.

No trustee or person close to the trustee or acting on behalf of the trustee may acquire items deaccessioned from the Museum of Northern Arizona. Since the exhibition of an item can enhance its value, the display of items owned or created by the trustee or a person close to the trustee shall be by Museum authorization only.

Trustees should only use the Museum of Northern Arizona's property for official purposes and make no personal use of the Museum's collection, property or services in a manner not available to a comparable member of the general public.

The Board of Trustees ensures the following:

1. that all those who work for and on behalf of the Museum understand and support its mission and public trust responsibilities;
2. that its Board members understand and fulfill their trusteeship and act corporately, not as individuals;
3. that the Museum's collections and programs and its physical, human and financial resources are protected, maintained, and developed in support of the organization's mission;
4. that it is responsible to and represents the interests of society;
5. that it maintains a relationship with staff in which shared roles are recognized and separate responsibilities are respected;
6. that working relationships among trustees, employees, and volunteers are based on equity and mutual respect;
7. that professional standards and practices inform and guide Museum operations;
8. that policies are articulated and prudent oversight is practiced;
9. that governance promotes the public good rather than individual financial or personal gain.

#### BOARD OF TRUSTEE RESPONSIBILITIES

1. Fiduciary obligation. The Board of Trustees of the Museum of Northern Arizona holds fiduciary responsibility for the institution's assets, collections, and programs, and for its good standing as a not-for-profit charitable and educational institution.

Through collective decision-making, the Board is accountable for assuring that high standards of integrity, prudence, and professionalism are observed;

- a. in the preservation and strengthening of financial assets;
- b. in the maintenance and safekeeping of land, buildings and collections;
- c. in the development of exhibits, publications, educational programs, research endeavors, and marketing and promotional activities of the Museum's mission, and;
- d. in soliciting charitable contributions, keeping financial records, investing its financial resources, and filing timely financial reports and tax returns to safeguard the Museum's tax-exempt status.

2. Decision-making Authority. The fiduciary responsibilities of trusteeship are carried out corporately, through participation in decision-making by the full Board and its established committees.

The Chair of the Board shall be the only trustee authorized to take action on behalf of those bodies, including policy guidance to the director, unless such responsibility is explicitly delegated.

3. Conflict of Interest Disclosure. Trustees should be careful to avoid all conflicts of interest, either actual or perceived, between their role as a fiduciary of the institution and the business or personal relationships they maintain with the institution, its staff, and its volunteers. Trustees should never profit from their relationship to the Museum. No personal items may be offered on consignment to the Museum's retail operations or may

be sold under the auspices of the Museum at any one of its sales or exhibitions, as this constitutes a conflict of interest.

In addition, Trustees must make public disclosure of their financial interest in any proposed transactions involving themselves or their businesses and the Museum, whether directly or indirectly. Trustees must abstain from voting on any Board action in which they have a financial interest, and may not seek to influence other trustees or staff on any Museum matters in which their financial interest is involved.

4. Guidance to Staff, Research Associates, and Volunteers. Trustee direction to staff, research associates, and volunteers on matters of Museum policy and procedures shall be communicated through either the Director or Chair of the Board.

## STAFF

Staff Responsibility to the Museum. As a nonprofit corporation, the Museum of Northern Arizona assumes a position of public trust that must be upheld at all times. Financial transactions by staff involving the Museum must at all times be conducted according to the highest legal and ethical standards. At no time may any staff member attempt to take advantage of the Museum's status as a nonprofit corporation or place the Museum in the position of aiding a third party in any illegal activity, including the evading of the lawful payment of taxes.

The Museum's Code of Ethics applies to all staff regardless of whether those people consider themselves bound by professional standards established by the International Council of Museums and the relevant standing professional committees of the American Association of Museums and regardless of other professional obligations.

One of the primary activities of a museum is collecting. It is in the area of personal collecting that many ethical issues arise affecting staff actions in relation to the Museum.

The fundamental principle guiding personal collection by Museum staff is that the staff is prohibited from competing with the Museum for an item. The collection categories are stated in the Museum's Collections Policy. It is not the intent of the Museum to deprive an individual of an inheritance. Moreover, the guidelines are not intended to interfere with the gifting of cultural material to employees participating in the traditional activities of their own culture.

1. Consignments. No employee collection may be offered on consignment to the Museum's retail operations or may be sold under the auspices of the Museum at any one of its sales exhibitions.

2. Employee Dealing. No employee of the Museum may participate in any professional dealing (defined here as the buying or selling for profit) in items similar or related to the items collected by the Museum.

3. Consulting. Consulting activities or special requests for employee's services outside the Museum must neither unduly interfere with the regular operational needs of the Museum nor represent any potential or actual conflict of interest with the Museum. Regardless of whether or not professional services are performed on the employee's time off, all such activities must be approved by the employee's supervisor in consultation with the Director.

4. Loans. Loans of collections or Museum assets are made only to institutions when it is clearly established that the loan will support the mission and will be in accordance with the current Collections Management Policy (appendix 2, see excerpt from the MNA Collections Management Policy) of the Museum. Cash or other assets cannot be loaned to a private individual or Museum Associate.

5. Role of staff in public programs. Furthermore, staff members are encouraged to participate in public programs, lectures, workshops, and seminars in a professional capacity and as a representative of the staff of the Museum of Northern Arizona. These engagements may be a part of the employee's regular duties and the employee's supervisor is responsible for determining the appropriateness of such activity on a case-by-case basis.

6. Director. The Museum's Director may not accept personal fees and honoraria for consulting and speaking engagements without the written approval of the Board president.

7. Personnel. Employees should acknowledge, by signature, their ethical responsibility to adhere to the policies outlined in the MNA Personnel Manual.

## VOLUNTEERS

Volunteers are subject to a code of ethics similar to that which binds the professionals in the field in which they work. Like them, volunteers assume certain responsibilities and should be expected to account for their work on behalf of the Museum in a similar manner to other individuals associated with the institution.

Volunteers are expected to:

1. Have a good attitude about the work they do on behalf of the Museum;
2. Be open in their communications with staff and other individuals associated with the Museum;
3. Serve the best interests of the Museum at all times;
4. Keep confidential matters confidential;
5. Be willing to learn how to best serve the activity for which they have volunteered; and

6. Be dependable in the conduct of their work.

## MUSEUM ASSOCIATES

Confidentiality. Trustees, staff members, research associates, and volunteers must be attentive to the potential sensitivity of many issues involving museum finances, confidential board discussions, personnel, research activities, specialized services and partnership initiatives, and collections. Such matters should be treated as confidential until or unless they become public knowledge through Board action or official Museum communications such as news releases, newsletters, feature stories, and the Annual Report.

Conflicts of Interest. Museum Associates should at all times consider their relationships and actions in the public and private sectors with respect to their association to the Museum and its mission.

1. Museum Associates should strive to maintain ethical, good faith relationships in their affiliation and involvement with and between MNA other institutions and individuals.

2. Any Museum-related gift or favor valued at \$100 or more, to a Museum Associate from a member of a public must be reported to the director. The director should report any offer of gifts or favors to the executive committee of the board. As a general rule, associates should courteously refuse these gifts or favors from the public, especially from vendors or persons who have business dealings with the Museum. Associates should exercise caution to avoid situations that would be perceived as a conflict of interest or in which their independent judgment would appear to be compromised.

3. Museum Associates should acknowledge the conflict of interest that the acceptance of a loan of money, assets, or items from individuals doing business or having a business relationship with the Museum would create, and decline those loans.

4. Museum Associates should be aware of circumstances where outside volunteer activity could pose or be perceived as a conflict of interest. Therefore, Associates should be scrupulous about their involvement in any activity that would pose a conflict of interest with the mission of the Museum.

5. Museum Associates should be forthright about their engagement in any significant political activity and maintain a clear degree of separation between their performance of a civic duty and their Museum-related decisions, actions, and productions. Associates should not state or imply that MNA endorses or supports their political activities and should not use their affiliation with the Museum to further or affect their political cause, interest, or involvement. Email accounts hosted and managed by MNA should not be used for political activities.

6. The use of MNA's name or brand should only be used by Museum Associates in the conduct of appropriate private activities when specific written approval is given by the

director. Similarly, Associates should refrain from suggesting that the Museum sponsors or endorses their private activities without specific approval.

7. Museum Associates should adhere to policies outlined in the Donor's Bill of Rights. (See appendix 1) In the area of fundraising, the Museum and Museum Associates should be scrupulous to use gifts for their intended purposes. Associates should demonstrate honesty and integrity when communicating information to donors in order to secure a gift, as well as the Museum's intentions regarding how that gift will be used.

Collections. Trustees, staff, and research associates must comply with the following standards set forth in the Museum of Northern Arizona's Collections Policy.

The distinctive character of Museum ethics derives from the ownership, care, and use of items/archives, specimens, and living collections representing primarily the Colorado Plateau's natural and cultural common wealth. This stewardship of collections entails the highest public trust and carries with it the presumption of rightful ownership, permanence, care, documentation, accessibility, and responsible disposal.

Museum Associates that deal with collections ensure that:

1. collections in the Museum's custody support its mission and public trust responsibilities;
2. collections in the Museum's custody are protected, secured, unencumbered, cared for, and preserved;
3. collections in the Museum's custody are accounted for and documented, whether owned by the Museum, or curated under tribal and governmental agencies, or other cooperative agreements;
4. access to the collections and related information is permitted as regulated by Museum policies and procedures;
5. acquisition, disposal, and loan activities are conducted in a manner that respects the protection and preservation of natural and cultural resources and discourages illicit trade in such materials;
6. if requested, the Museum may provide an approved list of certified or accredited appraisers or other related professionals so long as their qualifications are well established and no individual or institutional commission or compensation is received
7. disposal of collections through sale, trade, or research activities shall be governed by the Museum's deaccessioning policy and by the Museum's policies and procedures as noted in its Collections Policy;



8. the unique and special nature of human remains and funerary and sacred items are treated with respect and recognized as the basis of all decisions and actions concerning such collections; and

9. collections-related activities promote the public good rather than individual financial or personal gain.

Programs. Museums serve society by advancing an understanding and appreciation of the natural and cultural common wealth through exhibitions, research, scholarship, publications, and educational activities. These programs further the Museum's mission and are responsive to the concerns, interests, and needs of society.

Museum Associates involved with programs ensure that:

1. programs support its mission and public trust responsibilities;
2. programs are founded on scholarship and marked by intellectual integrity;
3. programs are accessible and encourage participation by appropriate audiences consistent with its mission and resources;
4. programs respect pluralistic values, traditions, and concerns;
5. revenue-producing activities and partnerships are compatible with the Museum's mission and support its public trust responsibilities;
6. programs promote the public good rather than individual financial or personal gain.

#### RESEARCH ASSOCIATES, ARTISTIC ASSOCIATES AND SCIENTIFIC STAFF

Research associates, artistic associates and scientists that are affiliated with the Museum of Northern Arizona will conduct themselves and adhere to the professional standards and codes of conduct of their specific disciplines. MNA also expects that they will:

1. act in the interest of the advancement of science and contribute the best, highest quality scientific information;
2. conduct, manage, judge, report, and communicate scientific activities and information honestly, thoroughly and without conflict of interest;
3. be responsible for MNA resources entrusted to them;
4. be accountable for the prompt and accurate collection, use, and reporting of all financial resources and transactions under their control;

5. neither hinder the scientific and information gathering activities of others nor engage in dishonesty, fraud, deceit, misrepresentation, or other scientific, research, or professional misconduct;
6. be diligent in the creation, use, preservation, and maintenance of collections and data records;
7. follow the records retention policies of the appropriate MNA department or program;
8. comply with Federal law and established agreements related to the use, security, and release of confidential and proprietary data;
9. know, understand, and adhere to standards of public information dissemination and the formal publication of scientific information and respect the property rights of others;
10. acknowledge that the intellectual property resulting from research and related work performed while employed by the Museum or on a grant funded through the museum is the property of MNA, unless other arrangements are made in advance with an individual or institution;
11. be responsible in all scientific activities for both the collection and interpretation of data that is collected and the integrity of conclusions presented from such data;
12. conduct research fairly, openly, honestly, and accurately.
13. treat confidential or privileged research data or information responsibly, respectfully, and as promised in the research design.
14. formally acknowledge the work or input of other researchers, and of host or sponsoring organizations.
15. fully disclose all research methods and procedures to any research subjects and to MNA.
16. welcome and participate in peer review of research design, methods, and results.
17. accept full responsibility for all research activities, including data collection and interpretation, and for the integrity of conclusions presented from such data use and;
18. be characterized by the clear placement of the public good above personal or individual gain or success.

The Museum's mission statement, vision, goals, and other institutionally articulated guiding principles express the organization's ethical responsibilities toward public programs and services. All programs are marked by respect and sensitivity for cultural differences, as well as rigorous scholarship and intellectual integrity.

