

**FIELD MUSEUM OF NATURAL HISTORY**  
**COLLECTIONS MANAGEMENT POLICY**

**PREFACE**

In the early 1970s the Field Museum of Natural History's Board of Trustees ("Trustees") and staff recognized that it was time for standing procedures related to the collections, specifically accessions, deaccessions, and loans, to be systematized into formal policy. In 1972 the Trustees adopted a policy statement on the acquisition of antiquities. Several years later, a more inclusive policy statement on accessions and deaccessions was prepared by a committee of Trustees and staff, and adopted by the Trustees on November 17, 1975. A loans policy statement was prepared in similar fashion and adopted by the Trustees on December 20, 1976. In 1996 both documents were revised and brought into line with the Field Museum's Code of Ethics (first adopted by the Trustees on April 15, 1996). The revised Policy Statement on Accessions and Deaccessions and the revised Policy Statement on Loans from the Reference Collections were adopted by the Trustees on August 19, 1996. In 1999 the Trustees' Collections and Research Committee launched a review of the section of the deaccessions policy dealing with proceeds from sales of collections materials. The Trustees approved an amendment to that section on September 9, 2002. Also during the 2000s each scientific department developed specific guidelines for their collections that were consonant with the Trustees' policy statements on accessions, deaccessions, and loans.

On October 16, 1989, the Trustees adopted a Policy Statement Concerning Requests for Reinterment of Human Remains and Burial Objects. This policy statement was designed to create a limited exception to the institution's general policy on deaccessions. Following Congress's 1990 enactment of the Native American Graves Protection and Repatriation Act, the Trustees adopted an addendum to this policy statement that further articulated the Museum's procedures relating to repatriation requests submitted by Native Americans. On December 19, 2011 the Trustees approved updated Repatriation Policies and Procedures that reflected the evolution of museum standards and practices.

On April 1, 2013, the Museum's four historical departments of Anthropology, Botany, Geology, and Zoology, the Museum's Library, and the Environment, Culture and Conservation program (ECCo) were reorganized into an integrated structure called "Science and Education." Science and Education is comprised of four interdisciplinary Centers: Collections, Integrative Research, Action, and Learning. The Museum's existing Trustee-approved policies on antiquities, accessions, deaccessions, repatriations, and loans were merged into one comprehensive collections management policy and revised to reflect the Museum's new administrative structure. The unified Collections Management Policy was approved by the Trustees on September 16, 2013 (the "Policy") and is to be interpreted in accordance with the Museum's purpose, mission, and Code of Ethics.

Richard W. Lariviere  
President and CEO  
September 16, 2013

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## **I. INTRODUCTION**

### **A. IMPORTANCE OF THE MUSEUM'S COLLECTIONS**

The Field Museum of Natural History (“Museum”) is established under the laws of the State of Illinois as a not-for-profit organization dedicated to serving the public. The Museum’s primary purpose as articulated in its 1893 Articles of Incorporation is to accumulate and disseminate knowledge of natural and cultural history and to preserve, exhibit, and use collections. The Museum’s unique responsibility, which distinguishes it from schools, universities, and research institutions, is to strategically acquire, study and maintain its scientific and heritage collections and to promote their accessibility and use. The Museum’s collections are held in perpetual trust for the public, especially the people of the State of Illinois.

### **B. PURPOSES OF DOCUMENT**

This Policy establishes the Museum’s standards for the acquisition, management, use, and disposition of the Museum’s collections in the disciplines of anthropology, botany, geology, zoology, and the library, together referred to herein as the “collections,” and includes the associated accession, catalog and conservation records. This Policy does not apply to teaching collections used by the Museum in its public education programs.

Standards addressed by this Policy include:

- Compliance with applicable laws and regulations, both domestic and foreign;
- Compliance with the Museum’s and other applicable codes of ethics;
- Meeting or exceeding current standards for acquisition, management, transfers and removal of collections.

### **C. BACKGROUND ON COLLECTIONS**

The Museum acquires and preserves collections concerning the composition and evolution of the Earth and our Universe, and all forms of life, past and present, non-human and human. Each collection reflects a different historical pattern of development and emphasis which traces back to the founding of the Museum upon the close of the 1893 World’s Columbian Exposition in Chicago. Many of the collection materials are internationally significant and cannot be duplicated or replaced.

The collections form a basis for the continuing reappraisal of our knowledge of the past, present, and future. Original research based upon the collections is carried out by members of the Museum staff and by scholars throughout the world. That research is shared with the public through publications, exhibits, lectures, and other education and outreach programs.

## **II. AUTHORITY AND RESPONSIBILITIES**

### **A. TRUSTEES**

Under Illinois law, the Trustees have a fiduciary obligation to protect and preserve the Museum's collections. The Trustees are responsible for establishing policies and overseeing the management of the Museum's collections. Where appropriate, the Trustees may delegate these responsibilities to Trustee committees. As specified within this Policy and the respective committee charters, the Trustees have delegated responsibility for the Museum's collections to the Trustees' Collections Committee and the Deaccession Committee.

### **B. SENIOR ADMINISTRATION**

The term "President" as used herein shall refer to the Museum's Chief Executive Officer, and the term "Vice President" as used herein shall refer to the Museum's Vice President of Science and Education. The President and Vice President are responsible for the implementation of policies, the oversight, and for the delegation of day-to-day management of the collections.

### **C. SCIENCE AND EDUCATION CENTERS**

Science and Education at the Museum is comprised of four centers: the Gantz Family Collections Center ("GFCC"), the Integrative Research Center ("IRC"), the Keller Science Action Center and the Learning Center. For the purposes of this Policy, it is the staff members of the GFCC and IRC who oversee, pursue scientific inquiry, safeguard and facilitate access to the collections for researchers, educators, citizen-scientists, and cultural heritage groups worldwide. The President and Vice President delegate authority and the day-to-day management of the collections to the Collection Administrative Teams ("CATs") as defined below.

### **D. MUSEUM COLLECTIONS COMMITTEE**

The Museum Collections Committee ("MCC") serves as a Museum advisory and decision-making body on collections as provided in this Policy. The MCC is comprised of equal representation from the GFCC and the IRC. Each "collection area" (anthropology, botany, geology, library, zoology) shall have two representatives on the MCC, one representative from the GFCC and one representative from the IRC. Representatives must be regular full-time employees of the Museum, shall be recommended according to procedures adopted by each respective Center, and shall be approved by the Vice President; any exceptions shall be approved by the Vice President. The MCC shall meet on a regular basis and as necessary to fulfill its responsibilities under this Policy. The MCC shall recommend written procedures to effect compliance with the provisions of this Policy to be approved by the Vice President. The MCC shall be advised by the Office of General Counsel, Finance, and outside experts, as appropriate. Such advisors shall not vote on MCC actions.

## **E. COLLECTION ADMINISTRATIVE TEAMS**

Collection Administrative Teams (“CATs”) shall be responsible for setting and implementing priorities and for the day-to-day management of the collections. Collection areas (e.g., anthropology, geology, zoology, etc.) are comprised of collection units (e.g., mammals, lichens, paleobotany, North American ethnology), with each area or unit managed by a CAT. Each CAT shall be comprised of equal representation of the Collections and Integrative Research Centers. Equal representation is achieved either by membership from each Center (i.e., equal number of IRC and GFCC staff) or by weighted voting (i.e., the combined voting power of all GFCC members of the CAT equals the combined voting power of all IRC members of the CAT). The CAT shall be approved by the Vice President. Decision-making authorities can be further outlined in Collections Management Procedures and the Vice President shall approve these and any exceptions.

## **F. COLLECTION AREA PROCEDURES**

Each Collection Area shall maintain and update Collection Area Procedures through the responsible CATs. The MCC will initiate the review of the Collection Area Procedures at least every five years during review and revision of the Collections Management Policy to ensure continued compliance with this Policy, and any revisions shall be approved by the Vice President.

## **III. ETHICS**

### **A. GENERAL PROVISIONS**

The Museum is bound by its own *Code of Ethics* and it adheres to the American Alliance of Museums’ *Code of Ethics for Museums* and relevant international conventions (e.g., Nagoya, UNESCO). Where specific laws, regulations, or policies do not govern an individual’s activities, such individual shall be guided by the generally accepted professional and ethical practices of his or her discipline.

### **B. ETHICS OF ACQUISITIONS**

In all actions, the Museum and its staff must act as responsible conservationists and scientists aiming to preserve and guard the biological, geological, and cultural heritage of the earth. Specimens, cultural objects, or other materials shall not be acquired that have been collected recently in such a careless manner as to impair their scientific value, e.g., materials with inadequate documentation. Collections that involve unnecessary destruction of habitats or sites, or specimens of taxa having limited numbers or a tenuous existence shall be subject to thoughtful scrutiny by the CAT prior to acquisition. Museum staff shall exercise due diligence in the acquisition of collections, including making reasonable inquiries into the provenance of collection items under consideration for acquisition. Inquiries shall be made in order to determine that the Museum can acquire valid title to the collection item and that the acquisition will conform to all legal and ethical standards.

### **C. APPRAISALS AND IDENTIFICATIONS**

Museum staff shall not provide appraisals; except for the Museum's own internal purposes (e.g., insurance, determining fair purchase prices when acquiring objects for the Museum, deaccessioning, etc.). Museum staff shall not provide appraisals for the purpose of establishing the tax-deductible value of gifts offered to the Museum. Staff also shall not identify or otherwise authenticate for other persons or agencies natural history or cultural objects under circumstances that could encourage or benefit illegal, unethical, or irresponsible traffic in such materials. Identification and authentication may be given for professional or educational purposes and in compliance with the legitimate requests of professional or governmental bodies or their agents.

### **D. USE OF MUSEUM PROPERTY AND SERVICES**

Museum collections, facilities, equipment, supplies, or personnel may not be used for the maintenance, conservation, or storage of personal or other non-Museum collections, except with the explicit permission of the Vice President, and approval shall be given only when it will be in the best interests of the Museum. Personal book collections used for work purposes, and personal collections reasonably outside the scope of the owner's professional subject matter area and used primarily as office decoration are exempt from these restrictions. Non-Museum work is to be conducted elsewhere, and outside work that is similar to that for which one is employed is to be carried out in such a way that there is no possibility of conflict of interest.

### **E. PRIVATE COLLECTING**

Staff may not compete with the Museum in their personal collecting activities. CAT members and any other staff with decision-making authority over collections shall make an itemized disclosure of personal collecting in their own professional subject matter area. All such personal collections shall be itemized at the outset of the staff member's employment with the Museum and updated at the time of each subsequent personal acquisition.

## **IV. ACQUISITIONS AND ACCESSIONS**

### **A. DEFINITION OF TERMS**

"Acquisition" includes any transaction by which good title to collection material is transferred to the Museum. Such transactions may include gifts, bequests, exchanges, purchases, salvage, or field collections.

"Accession" describes the formal, permanent acceptance of specimens, cultural objects, or other materials into the Museum's reference collections.

"Exchanges" refers to the roughly equivalent, reciprocal transfer of materials between two or more parties.



“Incoming Gifts” involve transfers to the Museum where no materials or payment are received in return for the item, and where the transfer of ownership and legal title to the Museum occurs during the donor’s lifetime.

“Bequests” refer to Incoming Gifts whereby ownership and legal title are transferred via the donor’s will after the donor’s death.

“Purchases” occur when the Museum in good faith buys an object through auction, dealers, or from a private individual or organization. Proof of payment is required to document legal title.

## **B. LAWS CONCERNING ACQUISITION**

Specimens, cultural objects, and other materials shall be acquired only when they have been collected, exported, and imported in full compliance with the laws and regulations of the country or countries of origin, of the federal government of the United States, and of individual states within the United States. Every reasonable effort must be made to insure that these conditions are met, to document whether title to these materials may properly be transferred to the Museum, and that the Museum keeps up-to-date on the changing laws and regulations concerning collecting, ownership, and movement across political boundaries for specimens, cultural objects, and other materials.

The CAT shall be responsible for exercising due diligence in the decision to acquire any item, including making a reasonable effort to acquire information into the item’s provenance and obtaining all necessary collecting, import, export, and transportation authorizations in writing prior to acquisition.

## **C. CONDITIONS OF ACCEPTANCE**

The Museum cannot accept specimens or other materials on which restrictions are placed that would prevent effective research examination, normal exhibition use, loan, or disposal in accordance with this Policy. The Museum also cannot accept materials on conditions that would require that they be placed on permanent or long term exhibit, or that the collection of which they form a part shall be kept together permanently and/or displayed only as a discrete collection. Materials can be accepted with the requirement that the Museum retain ownership for a negotiated period of time. Certain materials may be acquired by the Museum, but not accessioned, just as other materials may be accessioned but not acquired (e.g., see Government Owned Collections, below). Donors shall be informed prior to title transfer of the intended purpose for which their donation will be used. A legal instrument of conveyance, setting forth an accurate description of the objects or materials involved and the precise condition of transfer must accompany all acquisitions for accession and must be kept on file at the Museum. All such documents must be signed by the legal owner and by appropriate Museum staff.

When accepting items that may be subject to copyright protection (e.g., photographs, personal papers, fine art), the CAT shall, as part of its due diligence responsibilities, make a good faith effort to document the copyright status and owner of the item. When reasonable,

the CAT should obtain an assignment of the copyright to the Museum or a license to use the item for routine Museum purpose; such assignments and licenses must be recorded in a form approved by the Office of General Counsel.

#### **D. PROCESS OF ACCESSIONING**

Criteria for the acquisition and accession of collections shall be as specified in Appendix A to this Policy (“Accessions Criteria”), and shall be reviewed by the MCC at least every five (5) years.

All accessioning of materials into the collections shall be initiated by the responsible CAT and approved in accordance with the Accessions Criteria. All accessions shall be documented and reported to the MCC.

The “accession record” documents the Museum’s legal title and acceptance of specimens, cultural objects, or other materials into the reference collection and the assignment of a unique Museum accession number. It includes paper and electronic records and shall be signed by the responsible CAT and archived. In addition to the accession record, the accession file shall contain the original copy of the document of title (deed of gift, will, etc., or where impractical, a reference to the file containing the document of title), correspondence, etc. In addition, the accession file shall contain a copy of any governmental permit, declaration, etc., which is necessary for the collection, possession, importation, exportation, or transport of the specimens, cultural objects, or other materials.

The “catalog record” documents the physical characteristics and intellectual significance of an individual object or objects that have been accessioned into the Museum's collections. In general, catalog records include some or all of the following: unique catalog number, a written description of the object; measurements; field notes and illustrations; a written summary of its scientific significance; condition records; conservation reports; and loan records. Catalog records may also include additional scientific testing data (e.g. DNA sequence information, materials analysis reports, x-ray fluorescence analyses, etc.); and may include a variety of additional media including non-digital formats, digital formats, and such other formats as may develop over time.

#### **E. FIELD COLLECTING**

Direct acquisition during field research shall be conducted with the permission or agreement of and in accordance with the laws of the host state or country. A written memorandum of understanding regarding the allocation, disposition, and use of field collections signed by the Vice President shall be sought and obtained, where possible, prior to the field collecting. All agreements that impose obligations on the Museum for financial contributions, training, educational materials, or research facilities, shall be in writing and executed by the Vice President in consultation with the Office of General Counsel prior to commencement of field work. Legal and financial provisions, appropriate to the discipline, shall be made for the transport of field collections to the museum, and for the stewardship and care of these materials.

## **F. INCOMING GIFTS AND BEQUESTS**

All proposed gifts to the Museum are governed by the Museum's Gift Acceptance Policy (or its equivalent). Under that policy, gifts of artifacts, specimens, or works of art intended to become part of the Museum's permanent scientific collections are governed by the Museum's Collections Management Policy (or its equivalent). Incoming gifts shall be documented by either a deed of gift or a specimen transfer form transferring title and possession. These documents shall identify the person who owns the donation (has legal title), warrant that the item or lot has been lawfully acquired and imported into the United States, and state that the donation is an unrestricted gift for the general purposes of the Museum. Any restrictions shall be approved in consultation with the Office of General Counsel and noted in the deed of gift or specimen transfer form. Other communications (letter, e-mail) may be used to document the transfer of title and possession when necessary in the opinion of the Office of General Counsel and the appropriate CAT.

Upon notice of a proposed bequest of an item or lot to the Museum, Institutional Advancement shall be notified and shall arrange for review by the relevant CAT. A decision whether to accept or reject the item(s) shall be made in accordance with this Policy and the relevant Collection Area Procedures.

## **G. ACQUISITION OF ANTIQUITIES**

The term "antiquities" includes archaeological materials, ethnographic objects, or any other item designated by its country of origin as cultural property.

The term "country of origin" may mean "country of ultimate origin" and/or "country of intermediate origin" when the objects in question have been recently transported across several international boundaries, and also when applied to objects anciently transported and then deposited in an archaeological or historical context.

### **1. General Requirements**

**1.1.** The Museum will not acquire any antiquities that cannot be shown to the satisfaction of the Museum official(s) or committee responsible for its acquisition to have been exported legally from its country of origin or illegally or unscientifically excavated or recovered.

**1.2.** The Museum will refuse to acquire antiquities in any case where the responsible Museum official(s) or committee has reasonable cause to believe that the circumstances of their recovery involved the recent unscientific or intentional destruction of sites or monuments.

### **2. Antiquities of Appreciable Fair Market Value**

The provisions of Section G shall apply especially to antiquities of appreciable fair market value. The pedigrees of such items will be subjected to particular scrutiny. Regardless of value, however, no antiquity of any kind will be acquired unless the responsible Museum

official(s) or committee is satisfied as to the legality of its exportation and the circumstances of its recovery.

### **3. Documentation Required**

The Museum will acquire no antiquities except those that can be demonstrated to have left their country of origin before November 17, 1970. The same date shall apply to the acquisition of antiquities reasonably believed to have been illegally or unscientifically excavated within the United States. The responsible Museum official(s) or committee shall be entitled, however, to utilize the principles contained herein in determining whether to acquire any antiquity reasonably believed to have been improperly exported or recovered before that date.

### **4. Return of Objects**

If the Museum acquires an antiquity that is later determined by the responsible Museum official(s) or committee to have been exported or recovered in violation of this Policy, or lacking the documentation required in paragraph 3 above, the Museum shall promptly return the object to the transferor or, whenever appropriate, to the government of the country of origin or other proper owner thereof, as the case may be, if such an entity can be determined.

## **H. PERIODIC REVIEW OF ACQUISITIONS AND ACCESSIONS**

The MCC shall at least annually review all acquisitions and accessions to ensure that the Museum is acting in accordance with the provisions of this Policy, and it shall report annually on its review to the Trustees' Collections Committee.

## **V. DEACCESSIONS AND DISPOSALS**

Deaccessioning and disposal are a legitimate part of responsible collections management. Prudent collections management, including judicious evaluation, deaccessioning, and disposal of existing collections, is intended to refine and improve the quality and relevance of the collections with respect to the Museum's mission and purpose. Deaccessioning and disposal occur for a variety of reasons, such as deterioration of collection items beyond usefulness; lack of adequate information such as locality data; duplication or redundancy of collection material; insufficient relationship of collection items to the mission and goals of the Museum; repatriation; and selection for consumptive research or educational use. Such disposals may be through the transfer or discarding of specimens, cultural objects, or other materials. In all cases, deaccession and disposal of objects and specimens from the reference collections shall be solely for the advancement of the Museum's mission and in keeping with its public trust responsibilities.

### **A. DEFINITION OF TERMS**

"Deaccession" means the process to approve and record the permanent removal of an object from the reference collections.

“Disposal” includes any transaction by which collections material is physically transferred from the Museum to another institution, individual, or group, as well as discard. Disposal is the resulting action after a deaccession decision.

“Transfer” is the disposal of materials that have continuing scientific, exhibition, or significant financial value, and whose preservation and continued use over a long term is of significant benefit to society. Transfers may include gifts, exchanges, sales, or repatriations.

“Discard” is the destructive disposal of materials whose scientific, exhibition, or fair market value is minimal or absent, and thus continued future preservation is of little or no benefit to society.

“Scientific value” refers to the significance of material as a record of past research and/or an object for future research.

“Educational value” refers the significance of the item in teaching or training any audience on natural history subjects.

“Exhibition value” may be based on aesthetic appeal, representing a typical or unusually fine example of its kind, artistic superiority for cultural objects, or such other factors as may be pertinent in selecting material for display.

“Fair market value” shall be the price obtainable for a specimen, cultural object, or collection in public or negotiated private sale.

“Sales” involve payments to the Museum for transferred materials.

“Repatriations” refers to transfers that return materials to lineal descendants or cultural groups as may be required by law or as authorized under this Policy.

"Direct Care" shall include expenditures for collections personnel, equipment, and supplies to manage collections. The Museum follows the American Alliance of Museum's definition of direct care, which is to "invest in the existing collections by enhancing their life, usefulness or quality and thereby ensuring they will continue to benefit the public."

## **B. AUTHORITY**

Criteria for the deaccession and disposal of specimens, cultural objects, or other materials shall be as specified in Appendix A to this Policy (“Deaccessions Criteria”), and shall be reviewed by the MCC at least every five (5) years.

The Trustees have formally empowered the Trustees’ Deaccession Committee, with assistance from the Repatriation Director, responsible CAT, General Counsel, Vice President, and President with the authority to make all decisions on behalf of the Museum regarding requests for repatriation as required by law and as authorized by this Policy.

Only the responsible CAT may initiate the deaccession process, except in the case of a formal repatriation request, which shall be initiated within the Museum by the Repatriation Director. The deaccession and disposal of specimens, cultural objects, or other materials shall be initiated by the responsible CAT and approved in accordance with the Deaccessions Criteria, except for repatriations for which the Deaccession Committee has approved separate written procedures. Before any approval is given, the Museum shall ensure that deaccessioning will comply with ethical standards and will not violate the terms of any applicable laws or regulations, gift, bequest, permit, or agreement.

## **C. TRANSFERS**

In certain cases the stated reason for deaccessioning will control the transfer (e.g., repatriation), in all others, the following transfers are recommended in the following order: (1) exchange with another museum or educational institution that qualifies as a public charity under the United States Internal Revenue Code, (2) a gift to a public charity, or (3) a public sale with sufficient prior notice to potentially interested public charities. Preference shall be given to placing material where such objects could continue to be accessible and be held in the public trust.

### **1. Exchanges**

The formal reciprocal transfer of collection material between two or more institutions, or institution and an individual, often serves to advance the research, education, or exhibition programs of both parties. Such exchanges increase the probability of preserving materials for future societal benefit. All exchanges must be made per written exchange agreements.

### **2. Gifts**

Study, naming, or reporting on reference collection materials by a scientist adds to the scientific value of that material. In consideration, it is customary in some disciplines for scientists who borrow biological or geological specimens to retain some duplicate examples for the collections of their institution. Such mutual 'gifts' of specimens usually involve modest fair market values. All such transactions shall be in keeping with the traditions of the scientific discipline involved.

### **3. Sales**

If, in accordance with the Deaccessions Criteria, it is determined that certain collections materials no longer serve the Museum's mission and are no longer needed for the research, education, and exhibition programs of the Museum, then these materials may be sold, subject to this Policy and the following guidelines.

**3.1. Goal of Sales.** The preferred type of sale, whenever an appropriate price can be obtained, is to another museum or other educational institution that qualifies as a public charity where the materials will continue to be accessible and held to benefit the public. If this is not possible, then the sale shall, whenever practicable, be via public auction or the public market place.

**3.2. Ethics of Sales.** There shall be no private sales of reference materials to staff members, the Trustees, or their representatives or immediate family members. In the event of public sale, such individuals shall be eligible, as any other private individuals, to bid on offered items, provided they have no special knowledge or advantage concerning the sale.

**3.3. Method of Sales.** Negotiated private sales, public auction, sealed bidding, or open bidding over a period of time are acceptable options, provided that the availability of such material for sale has been given publicity aimed at the appropriate audience of potential purchasers. In all cases of items offered for sale, a reserve price may be established in advance, or all offers rejected if appropriate staff of the Museum, as determined by the Deaccessions Criteria, determine that such action is advisable.

**3.4. Application of Proceeds.** All funds received from the sale of reference collection materials, net of selling costs, shall be placed in the Museum Collections Fund functioning as endowment (“Museum Collections Fund”), a Board-designated fund.

**3.4.1. Investment and Allocation of Proceeds.** The Museum Collections Fund shall be held and invested as a part of the Museum’s long-term investment portfolio, generally known as the “endowment”. Each year, in accordance with the Trustee-approved spending policy, an amount equal to the Museum Collections Fund’s pro rata share of the endowment’s earnings and appreciation shall be credited to the Museum Collections Fund’s associated spending fund (“Museum Collections Spending Fund”).

#### **3.4.2. Authorized Use of Proceeds**

**3.4.2.1. Museum Collections Spending Fund.** The Museum Collections Spending Fund shall be used only for the acquisition or direct care of collections. Such use includes support for the operations of the Collections Center as approved by the Vice President and allocated in the Museum’s annual operating budget; other uses of such funds may be recommended by the CATs and the MCC, subject to the approval of the Vice President.

**3.4.2.2. Museum Collections Fund.** The Museum Collections Fund shall be used only for the acquisition or direct care of collections. Any use of the Museum Collections Fund other than as described in Section 3.4.1 shall be approved by the Vice President, President, and the Trustees.

## **4. Repatriations**

**4.1. Introduction.** This section describes the Museum’s principles and policies concerning the repatriation of human remains, funerary objects, and certain other cultural items. With regard to human remains and funerary objects, the Trustees have sought to strike an appropriate balance between the Museum’s obligation to maintain the integrity of and the fiduciary responsibility for its collections and its willingness to work with indigenous peoples and cultural groups in returning their ancestors to a state of repose that is consonant with their belief systems. Accordingly, the Trustees hereby have made an exception to the Museum’s general deaccession policies in authorizing the permanent transfer of human

remains and associated funerary objects from the Museum's collections to appropriate cultural repose consistent with these repatriation policies.

Further, the Trustees hereby reaffirm their recognition of the importance of the values held by indigenous peoples and cultural groups, and the Trustees also seek to foster respectful and productive communications with indigenous peoples and cultural groups for all aspects of the matters covered by these repatriation policies.

The Trustees believe that the positive resolution of repatriation concerns is achieved through mutually respectful dialogue among representatives of indigenous peoples, cultural groups, and Museum personnel. The Trustees believe that such dialogue should be focused on achieving an understanding of the following:

- The cultural connection between the requesting group and the requested items;
- facts related to how the requested items entered the Museum's collections;
- facts related to the group requesting repatriation and whether the requesting group is the appropriate representative of the people or cultural group most closely affiliated with the requested items; and
- other facts, cultural considerations, or other factors considered relevant by the Trustees, the Deaccession Committee, or Museum administration.

The Museum will continue to make the requested objects and its archives and collections records related to such requested objects available for review by representatives of cultural groups or direct lineal descendants making claims to such items. The Museum will work cooperatively with such representatives to facilitate and expedite the evaluation of each repatriation request received by the Museum.

#### **4.2. Definition of Terms**

“Ancestors” will include any past members of the requesting group so long as there is a clear shared group identity between the requesting group and the requested objects based on historical, archaeological, or ethnographic information. It will not be necessary to establish direct kinship ties between living members of the group and the deceased individuals.

“Appropriate representative” is the person or persons authorized by the group to make the request on behalf of the group.

“Associated funerary objects” are objects that are directly linked to a particular burial, and both the human remains and the associated funerary objects must be present in the Museum collection.

“Cultural group” is any recognized descendant community or kinship body, such as a Canadian First Nation, tribe, or clan.

“Repatriation request” is any formal request for the return of a Museum collection item that is initiated from outside the Museum by a cultural group or lineal descendant.



“Repose” is the culturally appropriate method of treating the bodies of the deceased, and will include physical burial in the ground, but may also include other traditions such as cremation or an above-ground resting place. It does not generally include placement in a museum or exhibition context.

**4.3. Principles.** This Policy addresses three types of repatriation requests: (1) repatriation requests made pursuant to the Native American Graves Protection and Repatriation Act (“NAGPRA”) (“NAGPRA repatriation requests”), (2) Non-NAGPRA repatriation requests for human remains and associated funerary objects, and (3) Non-NAGPRA repatriation requests for collection materials other than human remains and associated funerary objects. The Deaccession Committee is authorized to review and make decisions on behalf of the Museum regarding NAGPRA repatriation requests and Non-NAGPRA repatriation requests for human remains and associated funerary objects; and it is authorized to review and make recommendations to the Trustees on all other Non-NAGPRA repatriation requests.

**(1) NAGPRA repatriation requests.** The Museum shall comply with all applicable laws on repatriation, and with NAGPRA in particular. Where applicable, all repatriation decisions with respect to US Native American human remains, associated and unassociated funerary objects, sacred objects, and objects of cultural patrimony shall be made in accordance with the requirements of NAGPRA.

**(2) Non-NAGPRA repatriation requests for human remains and associated funerary objects.** The Museum shall give full consideration, on a case-by-case basis, to repatriation requests from indigenous peoples and cultural groups for the return of human remains and associated funerary objects that are not made pursuant to NAGPRA. In accordance with the provisions of this Policy, the Museum is authorized and willing to consider transfer of human remains and associated funerary objects from the Museum’s collections to their appropriate cultural repose when requested by a cultural group or direct lineal descendant.

Non-NAGPRA repatriation requests for human remains and associated funerary objects shall be considered for repatriation only upon demonstration of the following:

- There is a policy on the part of the requesting group to place in repose the human remains and associated funerary objects.
- The remains are of ancestors of the requesting group, or it can be clearly demonstrated that the requesting group is otherwise the proper group to request and receive the human remains and funerary objects.
- The human remains and associated funerary objects are requested by an appropriate representative of the requesting group.
- Once deaccessioned by the Museum, the human remains and associated funerary objects shall not be subject to accession by any museum and shall be placed in repose in accordance with the applicable cultural practices of the society involved.

**(3) Non-NAGPRA repatriation requests for collection items other than human remains and associated funerary objects.** The Deaccession Committee may consider in its sole discretion, on a case-by-case basis, requests for collection items other than human remains and associated funerary objects that are made not pursuant to NAGPRA as a repatriation

matter. Any such consideration shall be cognizant of the Trustee's fiduciary obligations under Illinois law to protect and preserve the Museum's collections.

**4.4. Repatriation Implementation.** The Deaccession Committee shall implement these repatriation policies in consultation with the President, Vice President, Repatriation Director, relevant CAT, and Office of General Counsel. The Museum shall process repatriation requests in accordance with repatriation procedures approved by the Deaccession Committee ("Repatriation Procedures"). The Deaccession Committee shall periodically review and revise the Museum's Repatriation Procedures to ensure that the Museum is acting in accordance with the provisions of this Policy.

**4.5. Conditions for Repatriation.** Prior to any repatriation by the Museum, the Deaccession Committee shall determine that the repatriation request satisfies the requirements of applicable law and this Policy.

**4.6. Relationship to Other Deaccession Requests.** All deaccession matters not addressed as a repatriation request under this Policy shall continue to be addressed and resolved on a case-by-case basis pursuant to the general deaccession provisions of this Policy.

#### **D. DISCARD**

Removal or culling of undocumented, surplus, or deteriorated specimens, essentially of no scientific, exhibition, or fair market value from the collections is an acceptable practice. Such materials shall be offered first to the Learning Center teaching collections. If such materials are not needed for the teaching collections, then they may be sold at modest prices (less than \$250), given to appropriate educational institutions for use in teaching activities, or if no alternative exists, be discarded. All monies obtained from sale of such items shall be credited to the Museum Collections Fund. If materials have an individual fair market value of less than \$250, the above procedure is sufficient. Deaccessioning of more valuable materials shall follow the Deaccessions Criteria.

#### **E. PERIODIC REVIEW OF DEACCESSIONS AND DISPOSALS**

The MCC shall at least annually review all deaccessions from the collections to ensure that the Museum is acting in accordance with the provisions of this Policy, and it shall report annually on its review to the Trustees' Collections Committee.

### **VI. LOANS**

#### **A. OUTGOING LOANS FROM THE COLLECTIONS**

##### **1. Purpose**

This section establishes policies and guidelines governing the temporary physical transfer of materials from the collections to another institution for use in research, education, or exhibition. No transfer of title is involved in such loans. All of the provisions for loans shall

be consistent with the legal and ethical constraints provided in Section III above and the Museum's *Code of Ethics and Conflict of Interest* policy.

## **2. Background on Loans and Use of Collections by Others**

The Museum and its staff have a continuing obligation to permit use of these materials for the advancement and dissemination of knowledge through research, education, and exhibition. Balanced against the obligation to permit effective and appropriate uses of materials is the need to preserve and protect the collections in the Museum's custody as well as to be responsive to cultural sensitivities.

Access to the collections and associated data is provided in several ways: by replying to reasonable requests for scientific data, by supplying space and facilities for visiting scholars whenever feasible, and by lending materials to institutions or individuals for appropriate purposes.

Loans for purposes of exhibition present special features and are treated separately from those for research and education.

## **3. Authority**

Decisions concerning loans of materials from the collections shall be made by the responsible CAT and the associated Collection Area Procedures.

## **4. Outgoing Loans for Research and Education**

**4.1. Restrictions on Loans.** The Museum will undertake loan transactions with appropriate museums and higher educational and cultural institutions in any country of the world. Normally loans are made to institutions, not to individuals, but recognized authorities on a subject who lack an institutional affiliation may be loaned materials upon approval of the responsible CAT. Loans for the use by students, postdoctoral fellows, and other non-permanent staff will be made to institutions, under the supervision of the student's major advisor or other appropriate institutional officer.

Loans requested from the Museum for research or educational purposes usually will be made to any recognized institution, provided the following minimum conditions are met:

- The institution has a recognized professional staff member in an appropriate field.
- The institution has adequate facilities (as deemed by the loaning CAT) to house collection items for the duration of the loan.
- The reputation of the institution and qualifications of the professional staff are such as to insure adequate care of the materials while on loan.
- Political or economic circumstances do not suggest unreasonable hazard to the materials.

- The materials are not being studied by staff or students at the Museum and are not needed for display or educational programs at the Museum during the proposed loan period.
- Preparing, conserving, packing and shipping the loan will not place an unreasonable logistical or financial burden on the Museum, or, alternatively, the borrower is willing to pay the costs.
- The materials are not so fragile, rare, or valuable that the risks in handling, shipping, or extended display are unacceptable. The determination of acceptable risk shall be made by the CAT in consultation with a museum conservator or preparator, as appropriate.
- The institution requesting the loan honors loan requests from the Museum.

**4.2. Terms of Loans.** All loans shall be made pursuant to written documentation. Most loans will be made initially for a period of one year or less, and shall be in accordance with the applicable Collection Area Procedures. The period may be extended if such extensions will contribute more to the advancement and dissemination of knowledge than return of the material to the Museum. Extension of each loan period shall be subject to at least annual written review.

**4.3. Modes of Study of Loaned Materials.** Customary and usual methods of study in the particular discipline may be applied to materials on loan for scientific study. If such studies require partial destruction or severe alteration of the materials, written permission for this must be obtained in advance, based upon the approval of the responsible CAT. The Museum attempts to insure permanent preservation of collection materials, their highest and best use in scholarly activities and public education, and to promote the advancement of human knowledge. Conflicts among these goals in relation to individual materials shall be decided on a case-by-case basis in accord with professional standards of the discipline involved.

**4.4. Special Restrictions on Loans for Educational Purposes.** Loans for educational purposes, especially those that would involve students handling the material, rarely will be made by the Museum. Loans of material for short-term use in graduate training or demonstration use by specialists in that discipline will be approved when, in the opinion of the responsible CAT, threat of danger to the collection materials is minimal.

## **5. Outgoing Loans For Exhibition**

**5.1. Restrictions on Loans.** All of the qualifications and criteria listed in paragraph 4.1 above apply generally to loans for exhibition purposes. Additional considerations apply to exhibition loans and may modify the above criteria.

The borrowing institution must provide adequate security and appropriate environmental conditions for the borrowed collection materials. Where appropriate, this may be in the form of guards, insurance, various levels of protective display cases, and/or building, room or display-case level environmental controls as determined by the responsible CAT in consultation with a museum conservator, as appropriate. Requirements for the loan will be

stipulated and agreed in writing by the borrowing party prior to transfer of loan items from collections, or loan items leaving the Museum.

Loans may be withdrawn if the borrowing party fails to implement agreed-upon requirements for the loan, or where a previously unsuspected agency of damage (e.g., roof leak, armed conflict, insect infestation) that could adversely affect the condition of loan collections becomes apparent.

Loans will not be made in any situation in which the responsible CAT has reasonable cause to believe that the exhibit for which the materials are requested involves the support or promotion of an ethical position contrary to that held by the Museum.

Federally or internationally protected species will be transported with proper permits through the efforts of the Exhibitions Registrar.

**5.2. Terms of Loans.** All exhibition loans shall be made pursuant to written documentation. While most exhibition loans are for relatively short periods ranging from a few months to a year, longer term loans are possible provided there is clear understanding as to the loan period. Extension of each exhibition loan period shall be subject to at least annual written review.

## **B. INCOMING LOANS**

### **1. General Provisions**

Incoming loans will be accepted only for research or exhibition purposes consistent with this Policy. All purposes and conditions for an incoming loan must be clearly documented in writing. The Museum will exercise the highest appropriate standards of care for all incoming loans. The condition of objects will be thoroughly documented when received and prior to returning. Incoming loans shall be maintained separately from the Museum's collections.

The provisions regarding the acceptance of antiquities for exhibition loan or other purposes (Section H. Acquisition of Antiquities, General Requirements) shall be taken into account.

### **2. Incoming Loans for Research**

As outlined in the Collection Area Procedures, decisions concerning incoming loans of materials for research purposes shall be made by the relevant CAT in consultation with the Science and Education staff member requesting the loan and responsible for conducting the research.

### **3. Incoming Loans for Exhibition**

Loans of materials for Museum exhibitions, either on the premises or as traveling exhibitions shall be managed by the Museum's Exhibitions Department in accordance with Exhibitions Department policies and procedures, and in consultation with Science and Education staff as appropriate.

### **C. INTERNAL LOANS**

Loans from the collections made to other departments within the Museum constitute in-house loans. These are made for exhibition, education, development, and research purposes. Prior to the transfer of any collection object to a requesting department, the responsible CAT and the requesting department shall document the intended use, location, and duration, and environmental, security or other relevant conditions of the loan.

## **VII. OBJECTS IN CUSTODY**

### **A. OBJECTS IN TEMPORARY CUSTODY**

“Objects in temporary custody” are not owned by the Museum but are left temporarily in the Museum for other than loan purposes, such as identification, attribution, or examination for possible purchase or gift. These items will be distinguished from other objects in the collections. The depositor shall sign a temporary receipt acknowledging the object(s) status. Such receipt shall be retained as a permanent record.

### **B. UNDOCUMENTED PROPERTY AND UNCLAIMED LOANS**

“Undocumented property” includes those collection objects held by the Museum whose ownership cannot be determined by reference to the Museum’s records.

“Unclaimed loans” includes those collection objects that have been abandoned by the lender.

Every reasonable effort shall be made to research the history of undocumented property and unclaimed loans to identify ownership or make contact with the lender. Undocumented property and unclaimed loans will be addressed in accordance with the Illinois Museum Disposition of Property Act which provides specific notice requirements and authorizes a museum to apply conservation measures, acquire title to, or dispose of undocumented property or unclaimed loans if specified criteria are met. This Act also provides limitations on actions against a museum that follows its provisions, and allows a museum to recover its costs and expenses and reasonable attorney's fees if a museum’s right under the Act is wrongfully challenged.

Claims for the return of undocumented property that may be subject to NAGPRA shall be processed under the presumptions and procedures set forth in that statute, and following the repatriation policies set forth elsewhere in this Policy.

## **VIII. REGULATED COLLECTIONS**

### **A. GOVERNMENT OWNED COLLECTIONS**

The Museum maintains collections that are accessioned but not acquired (i.e., the Museum does not claim title) only under circumstances where the collections are owned by a United

States (federal, state, local or tribal agency) or foreign government, where by law, title cannot be transferred to the Museum. The Museum retains a right of possession to these collections pursuant to the specific terms of a permit or written agreement. These collections require the same approvals as any other accession. A copy of all applicable permits or agreements shall be permanently maintained in the accession file.

## **B. CONTROLLED SUBSTANCES**

The Museum owns and maintains collections that are held pursuant to permits issued by the Department of Justice under the federal Controlled Substances Act. These permits are maintained by the Office of Science and Education. CATs whose collections are subject to this Act are responsible for ensuring compliance with those procedures under the Act necessary to lawfully maintain controlled substances in the collections.

## **IX. DOCUMENTATION**

The Museum's collections include both the physical specimens/cultural objects and their associated documentation. Accurate, complete, and timely documentation increases research opportunities and improves access and collections care. Collections documentation provides proof of ownership and accountability for objects held in the public trust. It should document significant collections-related decisions, activities, conservation treatments, and other information. The collection objects and associated documentation have the same legal status and therefore require the same level of care and protection. Policies regarding research on and access to collections also apply to the collections documentation.

Collections activities such as acquisition, accession, analysis (both destructive and non-destructive), cataloging, inventory, access, public inquiry, research, loan, exhibition, conservation, and deaccession all result in data that are vital to the maintenance and use of the collections. These varied sets of information are recorded in a multitude of formats, both physical (files, ledgers, catalog card systems) and digital (databases, various file formats, digital media). A permanent record shall be maintained for acquisitions, accessions, deaccessions, loans, analysis, conservation treatments, use of the collections, and the location of all collections in the Museum's custody. The Museum will make available to authorized persons, including qualified researchers and scholars, and members of originating communities materials relating to the collections unless that information is confidential or the records would suffer physical harm if handled. In the latter case, every effort should be made to prepare accurate facsimiles of fragile documents so that they can be examined without damage to the original.

## **X. COLLECTIONS MAINTENANCE AND CONSERVATION**

Collections care is an active process oriented toward risk assessment, preventive maintenance, and conservation supporting the objective of long-term preservation of the collections. This care generally includes traditional maintenance, handling, inventories, object labeling, object housing and support, and storage, general housekeeping,

environmental control, interventive conservation, integrated pest management, emergency planning, mitigation and response, health and safety, security, and insurance. Specimen/cultural object preparation and conservation treatments (including pest management) shall adhere to applicable professional ethics and guidelines, and shall reflect the currently accepted methods and practices in the field. Treatments shall be undertaken only by qualified Museum personnel, within the limits of their area of expertise or by external agents approved of or identified by qualified Museum staff.

#### **A. RISK ASSESSMENT**

“Risk Assessment” is the process of identification and evaluation of risk in order to prevent or minimize exposure to factors that may cause loss, damage, or deterioration of collections.

The Museum will endeavor to minimize and control the level of risk of loss or damage to collections through established collection management practices for collections items in storage, on display, and on loan. Staff must note and communicate situations that create the potential for damage or loss to collections, personal injury, or legal liability to the appropriate CAT or department, including the Office of Science and Education, Protection Services, Facilities, General Counsel, etc.

#### **B. PREVENTATIVE CONSERVATION**

The Museum recognizes that preventive conservation measures are of paramount importance in meeting its professional obligation to preserve its collections. Effective preventive conservation measures are essential to, and are the most effective means of promoting the long-term preservation of its collections. Preventive rather than interventive means will be recommended whenever they would best promote collections preservation.

##### **1. Quarantine**

Incoming materials will be physically isolated from the Museum’s collections pending inspection and treatment to reduce the risk of pest infestation or the introduction of toxic chemicals which could affect other collections.

##### **2. Pest Management**

The Museum endeavors to preserve its collections while ensuring a healthy and safe environment for staff, volunteers, and the public. To this end, the Museum follows an integrated pest management program (“IPM”) as a primary line of defense against infestations (insect, rodent, molds and other biological infestation) to reduce the need for chemical treatments. The IPM program includes a proactive rather than a reactive approach to preventing pest infestations in the Museum’s collections. IPM includes the use of good housekeeping techniques, regular monitoring of the collections, building and environs, and identification of pest species and treatment as required. When an infestation is identified, the object or specimen is isolated and treated in the safest manner possible. Preferred treatments include pesticides, temperature modification and anoxic treatment. All treatments will be done in accordance with OSHA regulations. The Museum’s Pest Committee shall be the



conduit for pest monitoring, identification, development of responses to infestation, and promotion of best practices for reducing pest activity.

### **3. General Housekeeping**

Good housekeeping is critical to maintaining a safe environment for collections and staff. Housekeeping includes but is not restricted to: regular cleaning of storage, laboratory, workroom and exhibition spaces. Food and drink are not allowed in collections storage areas, laboratories, work areas housing collection objects, any room used to store collections documentation and in exhibition galleries. Personal items not required for research or work purposes are not allowed in collections storage areas.

### **4. Environmental Control**

The collections' environment includes, but is not limited to, light, relative humidity, temperature, particulate matter, and volatile organic compounds. All collections and loans should be housed in an environment with parameters set at levels appropriate to their material and condition. Conservators set the standards for each environmental parameter, which are implemented in consultation with Facilities, Planning and Operations ("FP&O") staff. Conservators and the responsible CAT in conjunction with FP&O staff monitor environmental conditions in collections storage, laboratories, workrooms, and with the Exhibitions Registrar exhibition display spaces. FP&O staff are responsible for providing and maintaining the means to achieve the set standards.

### **5. Housing and Support**

Collection housing and support includes but is not restricted to: collections storeroom structure, storage furniture, individual or collective object support, and collection organization and identification labeling. Housing is updated as resources allow. Each collection area's Collection Area Procedures shall address the appropriate standards of object housing and support for their collections.

### **6. Handling, Moving, and Transport**

When handling and movement of collections are necessary, handling and transport procedures specified by the collection area will be followed. Any damage to objects or their support or housing shall be reported to the responsible CAT (and conservation and registration when appropriate) as well as documented via incident reports and photographs.

When necessary for reasons of fragility, high value, complexity of mounting, packing or transport, etc., the Museum may require items to be transported outside the Museum to be accompanied by a courier, who will be either a qualified member of the Museum's staff or a delegated representative from another institution.

## **C. DISASTER PREPAREDNESS AND RESPONSE**

The Museum has an established disaster preparedness and response plan (“Emergency Procedures”) that is maintained, updated, and communicated by the Department of Protection Services. These procedures address medical and fire emergencies, evacuation procedures, chemical spills, flooding, leaks and water damage, power outages, bomb threats and suspicious items, and identify means of mitigating risks. In addition to the Museum-wide Emergency Procedures, disaster preparedness and response plans for each collection area shall be included in the respective Collection Area Procedures. These plans will define roles and procedures to ensure continuity of collections stewardship and recovery of collections and documentation in the event of temporary, partial, or full closure of museum facilities. CATs and other Collections Center staff shall be familiar with the Emergency Procedures and with the disaster preparedness and response plans specific to their collection area. Critical documents, such as emergency calling trees, shall be kept current and updated as necessary.

## **D. INTERVENTIVE CONSERVATION**

Interventive conservation treatments are those that alter the physical surface or structure of the object. Interventive treatments include, but are not be limited to, destructive or altering testing or analysis, cleaning, reshaping, repairing, restoring, chemical stabilization, consolidation, and coating. All treatments shall be conducted in accordance with the code of ethics and guidance for practice of the American Institute for Conservation.

The underlying principle determining interventive conservation practice is to alter those objects only as absolutely necessary and as little as possible. If choices exist, the least interventive or most reversible strategies are preferred. Materials and methods used will be appropriate to the objectives of each specific treatment and consistent with currently accepted practice. The rationale for decision-making will consider the advantages of the materials and methods chosen, balanced against their potential adverse effects on future examination, scientific investigation, treatment and function. All proposed and completed examination, analysis and treatments approved by the CAT will be documented and permanent records will be maintained.

Because interventive conservation is often time-consuming, priorities must be established for selecting areas of the collections to receive conservation attention. These priorities will be based on assessment of those areas of the collection most immediately in need of conservation attention as well as assessment of collections of highest significance. Bases for assessment include rate of active degradation, stability, intended use, significance of a collection or an object on an international and local scale. CATs are responsible for assigning priorities.

## **XI. ACCESS AND SECURITY**

### **A. GENERAL PROVISIONS**

It is essential to secure, protect, and preserve the collections while at the same time supporting and promoting ongoing, scholarly access for research, publication, exhibition, and educational purposes. Access can be physical (through object examination and handling) or intellectual (through exhibits, publications, and electronic media).

Every effort will be made to provide timely and appropriate access to the collections. The availability of collections will be subject to several factors, including the condition of the materials, security concerns, staff availability, prior obligations, applicable state and federal laws (i.e. intellectual property laws), cultural sensitivity, etc. Physical access will be subject to collection area-specific requirements and procedures. While each collection area sets access guidelines, non-supervised access to non-public collections areas is generally not permitted. Individuals allowed access may have certain requirements or restrictions placed upon them including advance written request and/or fees to cover incurred Museum expenses. Photographs, scans, photocopies, or other reproductions of collections materials may be made only with the prior written permission of the Museum. No collections material or documentation may be removed or altered in any way without appropriate Museum consent. CATs shall be responsible for documenting and reporting all non-staff visits to their collections. The Museum reserves the right to hold users liable for any damage they cause to collections.

## **B. STAFF ACCESS**

### **1. Science and Education Staff Access**

Science and Education staff, as defined by their CAT roles or directed/approved by the respective CAT, will have access to the collections assigned to their care or relevant to their research. Volunteer and part-time employee access may be restricted and supervised when deemed appropriate by the CAT. All volunteers must be registered through the volunteer office.

### **2. Service Staff Access**

Access by Protection Services staff into collection storage areas, work rooms, and conservation labs will be restricted to scheduled security tours or documented emergencies.

Access by Facilities, Planning & Operations and Housekeeping staff into collection storage areas, work rooms, and conservation labs will be restricted and access will be permitted solely by prior agreement. Access will be restricted to business hours and will be supervised by Collections Center staff, except in the case of emergencies or by prior agreement, where Protection Services staff may substitute for Collections Center staff.

## **C. VISITING SCHOLAR ACCESS**

Permission to access the collections for research purposes shall be granted at the discretion of the relevant CAT. Requests will be evaluated according to an assessment of the intrinsic merits of the request, the qualifications of the applicant, and a review of existing and pending

Museum priorities and obligations. Visiting scholars, when allowed to handle collection materials, must be informed of appropriate and safe handling methods.

#### **D. TOURS AND GENERAL VISITOR ACCESS**

For security and conservation reasons, collections storage locations are not open to the general public. Permission to access the collections for development, education, or other purposes will be granted by the appropriate members of the CAT or Vice President. A GFCC or IRC staff member must accompany all tours through collections storage areas unless special arrangements are made with the relevant CAT to allow trained individuals to lead tours. Public Relations and the appropriate CAT shall be notified of any requests for access by the media.

#### **E. CONTRACTOR SERVICE OR OTHER ACCESS**

Contractor access to the collections is barred unless approved by the appropriate CAT member or Vice President and accompanied by authorized Collections Center or Integrative Research Center staff and Protection Services staff (unless otherwise designated).

Access to the collections for filming or other media purposes will be permitted only with the prior approval of the responsible CAT and notification to Public Relations. Media staff will be accompanied at all times by a member of the responsible CAT or authorized Collections Center staff, and as appropriate, Protection Services or Public Relations staff. All arrangements related to lighting or the movement of specimens must be approved in advance by the CAT.

#### **F. CULTURALLY SENSITIVE COLLECTIONS**

Access to certain collections and documents may be further restricted due to cultural sensitivity concerns. Restricted areas, collections, or documentation may therefore require specific permission from the appropriate CAT.

#### **G. PHYSICAL SECURITY**

CATs shall work with the Department of Protection Services to ensure that all collection storage areas, exhibits, laboratories, and offices are properly secured.

### **XII. INSURANCE**

The Museum recognizes the financial impossibility of insuring the entire collection for its fair market value; it therefore strives to achieve the appropriate balance between the expense of insurance and the obligation to provide protection from loss. With these factors in mind, the Museum strives to insure the collections for the maximum probable loss. Outgoing and incoming loans must always be insured for their fair market value as determined by the lending party. The collections are insured under the Museum's fine arts all risk policy that

provides wall-to-wall coverage, subject to the policy exclusions as amended from time to time. The policy covers fine arts, collectible objects of every description, and all associated property – consisting of the property of the Museum, property of others loaned to the Museum which the Museum has been instructed to insure, property of others offered as gifts to the Museum or for sale to the Museum while awaiting formal acceptance or deposit to the Museum. Insurance proceeds from the settlement of claims for damage to Museum collections will be used for the conservation and restoration of the specific collection item.

### **XIII. USE OF THE COLLECTIONS**

#### **A. GENERAL PROVISIONS**

The Field Museum encourages the use of its collections and associated documentation for research, publication, exhibition, and educational purposes. The Museum attempts to accommodate diverse constituencies, including researchers, museum professionals, students, amateurs, artists, and representatives of cultural groups. Requests for access to the collections will be evaluated in light of the applicant's purpose and credentials, as well as an assessment of the Museum's ability to meet the applicant's needs. The relevant CAT must approve all uses of the collections in their care.

#### **B. ANALYTICAL SAMPLING**

To fully realize the research potential of the collections, it may be necessary to remove a sample or permanently alter the appearance or substance of some specimens or objects. Because the Museum wishes to balance the preservation of collections with the legitimate needs of the scientific and scholarly community, requests for destructive analysis will be considered in light of certain criteria, including the significance of the research, the intrinsic or monetary value of the object to be analyzed (e.g., unique, sacred, or otherwise sensitive), the researcher's qualifications, the effect on future analyses, and the proposed dissemination of the analysis results.

Each collection area shall establish an approval procedure for analytical sampling that will take into account the need to balance the demands placed on the collections for current research with the obligation for preservation for future use. Advance, written permission for the analytical sampling of collections materials must be sought by all researchers, including Museum staff, outside researchers, and students. Requests for analytical sampling will be reviewed and authorized by the responsible CAT.

Any material that remains shall be returned to the Museum, and any data that arises from the destruction of the specimen shall be provided to the Museum. If the specimen or object will be completely destroyed during sampling or so damaged that its significance for the collections will be substantially compromised, it shall be deaccessioned in accordance with the provisions of this Policy.

#### **C. COMMERCIAL USE**

Any commercial use of the reference collections is subject to the Museum's Licensing Policy, and may also require the written approval of the relevant CAT and the Vice President.

#### **XIV. INTELLECTUAL PROPERTY RIGHTS**

“Intellectual Property Rights” are rights and protections based on federal or state statutes or common law such as patent, trademark, copyright, privacy, and publicity, as well as the moral rights of living artists as delineated in the Visual Artists Rights Act of 1990. Decisions concerning intellectual property rights shall be made in accordance with the Museum's Information Policy.

##### **A. GENERAL PROVISIONS**

The Museum is both a holder and a user of intellectual property and therefore seeks to protect the intellectual integrity of collections and promote wide access to collections for research and educational purposes. In support of its mission, the Museum strives to protect the intellectual property rights of creators and intellectual property owners, including the Museum itself as rights holder, and promote the responsible dissemination of knowledge.

Intellectual property rights are distinct from the right to possess the collection item itself and arise from its content. The Museum’s ability to use collection items or associated intellectual property may be subject to intellectual property rights held by others. The Museum will not knowingly permit infringement of intellectual property rights.

The Museum recognizes that under some circumstances and for some types of collections the establishment of intellectual property rights may be unclear at the time a collection item is accepted. It also recognizes that ownership of intellectual property rights may change over time for some collection items and under some circumstances. As a consequence, the Museum will make a reasonable, good faith effort to identify and document the holder of those intellectual property rights associated with a collection item and to document any restrictions on use.

##### **B. LICENSING AND TRANSFER OF RIGHTS**

Fees may be charged to outside organizations and individuals for the use of images and collection items in accordance with the Museum’s Licensing Policy or similar policy. If the Museum is to claim intellectual property rights for items permanently transferred to other institutions, including duplicate items, such rights must be expressly retained by the Museum and mutually agreed upon by the recipient organization in writing at the time of the transfer.

When allowing outside parties to create intellectual property from or incorporating the Museum’s collections or existing intellectual property, the CAT or other responsible staff member should establish, in writing, each party’s rights in and restrictions on use of the resulting intellectual property.

## **XV. POLICY REVIEW**

The Trustees have adopted this Policy following review by Museum staff and Trustee committees. The MCC shall review this Policy at least every five years and the Trustees must approve any amendments.

## **XVI. INDEX OF DEFINED TERMS (Page Number)**

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Bequests (9)	NAGPRA Repatriation Requests (17)
CAT (7)	Objects in Temporary Custody (22)
Catalog Record (10)	Policy (1)
Collection Area (6)	President (6)
Collection Area Procedures (7)	Purchases (9)
Collection Unit (7)	Repatriations (15)
Country of Origin (11)	Repatriation Implementation (17)
Cultural Group (16)	Repatriation Request (16)
Deaccession (13)	Repose (16)
Deaccessions Criteria (13)	Risk Assessment (24)
Direct Care (13)	Sales (13)
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Disposal (13)	Scientific Value (13)
Educational Value (13)	Transfer (13)
Emergency Procedures (25)	Trustees (6)
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Exchanges (8)	Undocumented Property (22)
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**ADDENDUM TO THE  
FIELD MUSEUM OF NATURAL HISTORY  
COLLECTIONS MANAGEMENT POLICY**

**CURATION OF AND ACCESS TO HUMAN REMAINS**

**Purpose.**

The Field Museum continues to work toward a consistent and systematic treatment of all human remains held within its collections. This Policy section provides standards for the curation of and access to all human remains held by the Museum.

**Introduction**

Human remains must at all times be treated with dignity and respect. They should be curated responsibly and carefully, available for appropriate scientific study, and be accessible for legitimate scientific, educational, or cultural purposes. This Policy recognizes the complexity of the required care and curation of human remains held within educational and research institutions, and it establishes Museum policies for the continued care of these sensitive collections. Such complexity stems from many different—sometimes opposing—socio-cultural, spiritual, political, scientific, and academic perspectives and values surrounding human remains. This Policy seeks to ensure the appropriate protection and continued care of human remains in the Museum’s collections, weighing ethical issues and communities’ concerns with the Museum’s fiduciary obligations to preserve its collections and their potential for scientific advancement through investigation and study. Of particular concern are investigative studies that involve invasive sampling and associated analyses. This Policy defines the Museum’s responsibilities for the respectful care and management of human remains and outlines processes for managing access for cultural and research visits to these collections.

The Museum is committed to providing the utmost respect to all groups or persons whose ancestral remains are in the Museum’s possession. The Museum will strive to treat all parties (of lineal descent or otherwise) who have a legitimate and valid interest in human remains with dignity and respect. Related to this, the Museum has a responsibility to conform to federal and state laws, including, but not limited to, the Native American Graves Protection and Repatriation Act (NAGPRA).

The Museum houses the remains of individuals from all over the world. The Museum desires to follow protocols and policies throughout its human remains collections to meet museum standards for care and, where possible, that are appropriate to the human remains’ regional, cultural, or temporal origins. While recognizing the great value and potential of human remains for contributing to scientific knowledge, this Policy also takes into consideration the various cultural and religious concerns of indigenous and descendant communities when they can be identified.

**Human Remains Defined**



For purposes of this Policy the term human remains is used to mean the bodies, parts of bodies, of once living people from anatomically modern humans. This includes osteological material (whole or partial skeletons, individual bones, or fragments of bone and teeth), soft tissue including organs and skin, hair and nails, embryos, and slide preparations of human tissue. Human remains also include any of the above that may have been culturally modified or that may be bound up with other non-human materials to form an object composed of several materials. For the purposes of determining cultural affiliation, human remains incorporated into an object are considered a part of that item. 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.

### **Care and Curation of Human Remains**

All human remains at the Museum shall be housed within a single climate- and access-controlled facility, the Human Remains Facility, excepting those human remains incorporated into objects, those requiring certain specialized storage (such as fluid-preserved remains or frozen tissue), those in a Museum exhibition, or those stored in the comparative collections of the Geology or Mammals Collections Areas lacking specific cultural affiliation or lineal descendency.

The human remains in the Museum's collections represent a variety of states of preservation and presentation (i.e., entire skeletons, individual components, incorporation into objects). This variation necessitates adaptable care and curation guidelines, so that each individual situation can be addressed to the best of the Museum's abilities. Specific guidelines for the continued care and curation of the human remains housed in the Museum's collections shall be as stated in the Policy Guidelines for the Curation of and Access to Human Remains as approved by the Vice President ("Guidelines"), but care of each individual set of remains will vary as necessary on a case-by-case basis.

### **Conservation of Human Remains**

Any interventive conservation work should be undertaken only by qualified conservators in accordance with strict protocols, and only when necessary. The principle of minimum intervention and reversibility should always be applied, avoiding treatments that will contaminate or damage human remains.

### **Access to the Human Remains Facility and Collections**

Human remains hold the potential for great scientific value while also possessing significant cultural importance. Therefore, once full documentation has been completed they shall be used only for appropriate educational, research, or teaching functions. Human remains collections are unique, fragile, and irreplaceable and shall not be used for entertainment purposes. The use of human remains in museum exhibitions will be considered carefully by the relevant Collection Administrative Team (CAT) before a recommendation is made for their inclusion in an exhibition (see below). In keeping with the Museum's fiduciary obligation to preserve its collections, Museum staff shall resist short-term trends or opportunistic uses of human remains to ensure their long-term preservation and scientific potential.

### *Visitor Access*

Due to the highly sensitive nature of the human remains in its collections, the Museum strictly limits access to its human remains. A select and minimal number of staff members are allowed independent access to these collections. Staff having independent access shall be designated in writing by the Vice President Science and Education (“Vice President”) and shall include the members of the appropriate CATs, the Directors of Collections, Research, and Repatriation, and other staff deemed appropriate by the Vice President. All non-designated visitors to the Human Remains Facility shall require prior written approval from the appropriate CAT. Unofficial visits (e.g., tours) to the Human Remains Facility are prohibited.

Digital access to human remains media and documentation shall be limited via extra security clearance protocols as specified in the Guidelines.

### *Research Access*

Prior to any research access to the Museum’s human remains collections, all researchers (both internal and external to the Museum) shall agree in writing to follow Museum policies and procedures regarding access to and handling and documentation of human remains as described in this Policy and the Guidelines. Non-invasive analyses are the preferred research method whenever possible and appropriate. Proposals for non-invasive research projects involving only visual assessments of human remains require prior written approval by the appropriate CAT. Proposals that require any handling and manipulation of human remains require prior written approval from the appropriate CAT and notification will be provided to the Directors of Collections, Research, and Repatriation. All research projects (both internal and external) requesting invasive sampling require prior written approval by the appropriate CAT and the Vice President or his/her delegate and these must follow the protocols specified in this Policy and the Guidelines. External research requests for invasive sampling will be administered and treated as institutional loan requests.

### **Analysis of Human Remains**

Analysis of human remains should be undertaken pursuant to the highest standards by appropriately qualified researchers. All human remains must be properly documented prior to the commencement of any investigative analyses. Any results of the analysis (including genetic analysis) that will be used for commercial purposes or for purposes outside the scope of the approved research proposal also will require prior authorization by the appropriate CAT and the Vice President or delegate, and will be memorialized in a written agreement prepared in consultation with the Museum’s General Counsel.

### *Invasive Analysis*

Invasive or destructive analysis of human remains is defined as any form of analysis that leads to the partial or complete destruction of any aspect of the human remains being studied. Common analyses in this category include but are not limited to: DNA extraction and sequencing, destructive isotopic or elemental assessments, and radiometric dating. In such cases, the smallest possible quantity of material necessary for the scientific purpose should be extracted.

As provided in the Guidelines, researchers requesting access to the human remains collections for invasive analyses must provide extensive justification for the study. Factors to

be considered shall include the overall rarity of the requested collection or individual, the potential cultural significance of the remains, and the scientific potential of the proposed research.

### **Exhibition of Human Remains**

The Museum collections exist both for research and for public education through exhibitions. Careful thought should be put into the reasons for and circumstances of the display of human remains. Human remains should be displayed only when it is culturally appropriate as decided by the relevant CAT and provides a material contribution to the educational mission of the Museum. The public shall be notified that human remains are included in the exhibition and such display should always be accompanied by sufficient explanatory material.

The Museum will not permit display of human remains when a descendant group expresses a specific objection to the public exhibition of the human remains. In the case of human remains from foreign countries, the Museum will look to the exhibition policies of those countries and to the cultural practices of the communities within those countries.

## APPENDIX A

### FIELD MUSEUM OF NATURAL HISTORY

#### COLLECTIONS MANAGEMENT POLICY

##### CRITERIA FOR ACQUISITIONS, ACCESSIONS AND DEACCESSIONS

###### I. DETERMINATION OF VALUES

Where necessary for internal Museum purposes, the determination of scientific, educational, exhibition, and estimated fair market values shall be the responsibility of the CAT in charge of a particular collection. Estimates will rely on staff knowledge, market comparables, and possible referrals to external expertise.

A determination of fair market value will be appropriate for specimens or objects that are generally available on the open market (e.g., works of art, gems, books), but it will not be appropriate for most biological specimens (botanical or zoological) and many geological specimens.

###### II. ACQUISITIONS AND ACCESSIONS

###### A. **Compliance with Policy**

All acquisitions and accessions to the collections shall be made in accordance with the Policy (*see* Policy Section IV.) and the applicable Collection Area Procedures.

###### B. **Approvals**

Routine acquisitions and accessions shall be approved by the responsible CAT. Any disagreement that cannot be resolved shall be forwarded to the MCC for consideration and a decision. A decision of the MCC may be appealed to the Vice President and then to the President.

Acquisitions and accessions shall also be reviewed and approved by the MCC whenever the potential acquisition or accession:

- has significant publicity value,
- has significant or monetary value as established in this Appendix,
- represents a major new area of collecting for the Museum,
- includes any material legal restrictions (e.g., intellectual property rights), or
- requires substantial or special resources (e.g., shipping, preparation, conservation, housing requirements, or storage space) beyond that allocated in the Museum's current annual budget.

If in doubt, the MCC should be contacted for guidance. In the case of significant acquisitions or accessions, the MCC shall consider and evaluate whether the approval of the Vice President or President also should be sought.

When a determination of fair market value is possible and the aggregate fair market value is estimated to be more than \$100,000, an expert third-party opinion or independent, professional appraisal may be required by the Vice President before approving the purchase or exchange of a specimen, object, or collection.

For collection objects where fair market value is appropriate and may be determined by the responsible CAT, the acquisition of collection objects with an aggregate estimated fair market value of less than \$75,000 shall be approved by the appropriate CAT. If the total estimated fair market value is more than \$75,000 and less than \$999,000, then the approval of the MCC and the Vice President also shall be required. If the total estimated fair market value is more than \$1,000,000, then the approval of the President also shall be required.

### **III. DEACCESSIONS AND DISPOSALS**

#### **A. Compliance with Policy**

All deaccessions from the reference collections shall be made in accordance with the requirements specified in the Policy (*see* Policy Section V.) and the applicable Collection Area Procedures.

#### **B. Approvals**

Routine deaccessions and disposal methods from a collection shall be approved by the responsible CAT. Any disagreement that cannot be resolved shall be forwarded to the MCC for consideration and a decision. A decision of the MCC may be appealed to the Vice President and then to the President.

Deaccessions and disposal methods shall also be reviewed and approved by the MCC whenever the object or collection:

- has significant publicity value
- represents the entire collection
- is recommended for sale
- includes any material legal restrictions
- is within 5 years of receipt of a gift.

If in doubt, the MCC should be contacted for guidance. In the case of a significant deaccession, the MCC shall consider and evaluate whether the approval of the Vice President, President, or Trustee's Deaccession Committee also should be sought.

For collection objects where fair market value is appropriate and may be determined, the responsible CAT may approve the deaccession and disposal method for collection objects with an aggregate estimated fair market value of less than \$25,000. If the total estimated fair

market value is more than \$25,000 and less than \$75,000, then the approval of the MCC also shall be required. If the total estimated fair market value is more than \$75,000, then the approval of the Vice President also shall be required. If the total estimated fair market value is more than \$150,000, then the approval of the President also shall be required. If the total estimated fair market value is more than \$250,000, then the approval of the Trustees' Deaccession Committee also shall be required. If the total estimated fair market value is more than \$1,000,000, then the approval of the Board of Trustees also shall be required.