



THE UNIVERSITY OF
SYDNEY

Sydney University Museums

COLLECTIONS GUIDELINES

Macleay Museum
Nicholson Museum
University Art Gallery

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SECTION 1: INTRODUCTION

1.1 Overview

1.1.1. Definition

The Sydney University Museums *Collections Guidelines* inform the management, curation, and development of the Sydney University Museums (SUM) collections and details the manner in which museum staff discharge their responsibilities.

1.1.2. Purpose

The purpose of these guidelines is to articulate the ethics, standards and practices of activities relating to the ownership, management and curation of SUM collections. These activities include the acquisition, deaccession, documentation, preservation and handling, risk management, loan, exhibition and access to collections.

1.1.3. Objectives

The objective of this document is to enable Sydney University Museums to:

- Align its collection management and curatorial activities with international and national professional standards, as outlined by UNESCO, CITES, ICOM, Museums Australia, and the National Standards for Australian Museums and Galleries.
- Formalise its collection management activities within the larger framework of University heritage management policies.
- Clarify its responsibility for University of Sydney collections that are not within its accessioned collections or current physical control.
- Communicate its collection management and curatorial standards to University and community partners.

1.1.4. Scope

These guidelines cover the heritage assets of the Sydney University Museums, which include the collections of the Macleay Museum, the Nicholson Museum, and the University Art Gallery.

The University of Sydney Union art collection and the collections of other University departments, except where specifically mentioned, remain outside the scope of these guidelines. Also excluded from the scope of these guidelines are the Fisher Library Rare Book Collection, the University Archives, and architectural non-moveable cultural heritage, which is the responsibility of the University's Heritage Management Committee.

1.1.5. Management Authority

Sydney University Museums (SUM) is an administrative unit of the department of Museums and Cultural Engagement, within the Office of the Provost of the University of Sydney (University). SUM is managed by the Director, Museums and Cultural Engagement (SUM Director). SUM has the authority to manage heritage assets on behalf of the University.

These guidelines have been endorsed by the Director, Museums and Cultural Engagement.

1.2 Sydney University Museums

1.2.1. History of the Organisation

Established in 1850, the University of Sydney is Australia's first university and its foundation mission was to "promote useful knowledge and to encourage the residents of New South Wales to pursue a regular course of liberal education" (*University of Sydney Act of Incorporation 1850*). The University's museums and collections have always been an integral part of this and its continuing mission.

The Sydney University Museums comprise the University Art Gallery, the Nicholson Museum, and the Macleay Museum, three public museums with collections that date to the University's early years. The collections are of considerable historical, cultural, and scientific significance, and have long histories of use within the University and the larger community.

- The collections held by the University Art Gallery began with the foundation of the University itself in 1850. Since then they have grown to include paintings, photography, prints, sculpture, public art and decorative art objects. The collections are displayed throughout the University, with a dedicated gallery space in the University's Quadrangle for temporary exhibitions. The University Art Gallery has strong collaborative relationships with the Department of Art History and Film Studies, Sydney College of the Arts, the Power Institute Foundation for Art and Visual Culture, and the University of Sydney Union art collection.
- The country's oldest university museum, the Nicholson Museum was founded in 1860 by Sir Charles Nicholson, one of the founders of the University. The donation of his personal collection of antiquities to the University formed the basis of a collection that has since expanded to become the largest of its kind in Australia, with material from ancient Greece, Italy, Cyprus, Egypt, the Near and Middle East, and Europe. The Nicholson Museum was formerly managed under the auspices of the Department of Classics and the Department of Archaeology, and maintains close links with departmental research and fieldwork. The Museum has a dedicated exhibition space in the University's Quadrangle.
- The Macleay Museum focuses on natural history, ethnography and history. Assembled over many years by members of the Macleay family, who were at the forefront of entomological and zoological research in the 19th century, the collections were willed to the University in 1887 to promote the study of science and housed in a purpose-built museum building. The collections have since expanded to encompass several branches of natural history, ethnography, historic photography and scientific instruments and apparatus. Located on the top floor of the Macleay Building, the Museum has longstanding research and teaching relationships with the University's science faculty, particularly biological sciences, and with arts and social science departments.

Founded as separate bodies within the University, all three museums were managed independently of one another until amalgamated in 2002 as Sydney University Museums under a single executive structure. This step was taken by the University in an effort to better manage its heritage assets, support related research activities and public programs, centralise marketing and promotion, and share the skills and experience of specialist staff. SUM collections are now managed centrally, as are associated exhibition, education and public programs.

1.2.2. Professional Role within the University

Sydney University Museums manages, researches and interprets the collections of its three component museums: the Macleay Museum, the Nicholson Museum, and the University Art Gallery.

SUM participates in the University's aims for international standards of learning, teaching, and research, and provides research, education and public access to its collections for University students, staff and the wider community.

SUM is obligated to monitor the care and documentation of all movable cultural material owned by the University.

SUM advises and is available to the wider University of Sydney community to serve as a source of expertise in the management and curation of other University collections.

Since 2008, SUM has maintained a management agreement with the University of Sydney Union (USU) to advise and assist in the management of the USU art collection.

1.2.3. Related Collections

SUM respects the collecting interests of other national and state museums and institutions, as well as other collecting units within the University. SUM staff consult with these bodies where overlapping interests are identified, and refer items to the most appropriate institutions. SUM is committed to building relationships, collaborating and developing research synergies across the sector.

1.3 Mission

1.3.1. SUM Mission Statement

Sydney University Museums participates in the continuing excellence of teaching, learning, research, and community engagement of the University.

Sydney University Museums actively engages in cultural, social, historical, scientific and artistic exploration and debate for the benefit of the University's students, staff and wider communities by providing care, access, research and interpretation of its collections which are of local, national and international significance.

1.3.2. Interpretation of the Mission

The curation and careful management of the collections are one of the key means by which the mission is fulfilled. Sydney University Museums therefore aims to acquire, care for, use, interpret and promote its collections in a manner that is consistent with the intent of its mission. Specifically:

- The collections exist for the benefit of University students and staff, and the wider local, national, and international community.
- The collections will be strategically developed to reflect and support the historic, cultural, and scientific identity of the University.
- The collections will be made accessible to engage visitors through exhibitions, scholarly research, and support of the educational and research mission of the University.

1.4 The Collections

The University of Sydney has one of the largest and finest university collections of antiquities, art, ethnography, history and natural history in Australia. These collections are used for teaching and research, and provide an opportunity for the University to contribute to the cultural life of the nation.

1.4.1. Significance

The University of Sydney has the largest and richest scientific and cultural heritage collections of any university in the nation. With more than 100,000 artefacts and upwards of 600,000 natural history specimens collectively valued in excess of \$120 million, the collections form a significant part of the national heritage.

Known throughout Australia and abroad, the collections are closely linked to the history of the University and to significant periods in research and innovation at the University.

As custodians of these uniquely valuable cultural and scientific collections, SUM is mandated to preserve them so they may be studied and enjoyed by future generations.

1.4.2. Strengths

SUM collections represent a wide range of material related to the University and its teaching and research programs. Holdings include material in the fields of history, natural history, science, ethnography, antiquities and the visual arts. While each of the component museums specialise in particular collection areas, there are significant sections of crossover, including Indigenous Australian cultural items, photography and University heritage.

The visual art collection comprises works by Australian, Asian and European artists, and dates early European times to the present. The collection includes a range of media, including paintings, prints, watercolours, drawings, textiles, photography, decorative arts, sculptures and ceramics. Central to the collection are major examples of Australian art, from landscape and portraiture to modernist works, as well as 19th century European works and Japanese prints.

The antiquities collection is the largest and most prestigious of its kind in Australia. It features material culture from Egypt, Greece, Italy, Cyprus, the Near and Middle East, and Europe, and includes many exceptional artefacts. The Classical material includes a substantial collection of figured pottery, while a significant part of the Cypriot and Near Eastern material comes from the University's own excavations. The Egyptian collection includes important material from the Amarna period and a fine collection of New Kingdom and Late period artefacts, including mummies.

The ethnography collection includes significant material documenting cultural and social life acquired from Indigenous peoples of Australia and the Pacific region during the pre-colonial, colonial and early post-colonial periods. Overall themes incorporate encounters during the age of European exploration, resistance and accommodation in the 20th century, as well as living culture and history. Highlights include the oldest known Northern Australian bark paintings in a public museum, collections made during a number of early expeditions, along with key images of communities taken by University staff in the early 20th century.

The natural history collection has its origins in the collection of insects begun by Alexander Macleay in the late eighteenth century and brought to Australia upon his appointment as Colonial Secretary for NSW in 1826. It has since developed into an extraordinary natural history collection that encompasses several branches of entomological, vertebrate and invertebrate orders. Highlights include 2,350 holotypes of insect, bird and mammal specimens. Its great strength is the amount of foreign material, unparalleled in Australia by age or comprehensiveness.

The scientific instruments and apparatus collection consists primarily of objects used by University departments – in particular by chemistry, engineering, geosciences, physics and biological sciences, and the Sydney Teachers' College. The collection reflects the history of science at the University, its teaching and research. Microscopy, measuring and calculating instruments and teaching models are collection strengths. A technology collection includes audio-visual equipment, lighting and office equipment and timepieces. There is also a representative collection of historic photographic equipment.

The historic photograph collection comprises photographs documenting life in Australia and the Pacific region, from the 1840s to the 1960s, as captured by both commercial and amateur photographers. It includes a wide range of photographic formats. Photographs related to the work of the University are an important focus, with major holdings being the teaching lantern slide collections of several departments. A representative collection of historic photographic equipment is held in the scientific instruments and apparatus collection.

1.4.3. Purpose

SUM collections are developed, curated and managed as a resource to inspire, educate and inform the University and wider community, and to preserve the University's history and heritage. The main activity falls into the following areas:

- **Research:** The collections inspire and drive research and scholarship, resulting in significant publications and exhibitions. The multi-disciplinary collections attract research grants, cross-institutional collaborations, and the involvement of source communities. SUM aims to display the University's broad research programs and stimulate further research and collection.
- **Teaching and Learning:** The collections are used across the undergraduate and graduate curricula. Faculties, departments and programs that commonly draw on the collections include: Architecture, Visual Arts (Sydney College of the Arts), Art History and Film Studies, Museum Studies, the Power Institute, Archaeology, Classics and Ancient History, Heritage Studies, Social and Biological Anthropology, The Koori Centre, Education, Agriculture, History and Philosophy of Science, Electron Microscope Unit, Biological Sciences, and Veterinary Science.
- **Community Engagement:** SUM attracts more than 95,000 visitors each year through a wide range of public programs including exhibitions, talks, activities, lectures and heritage and education tours. The current schools education program offers curriculum-based learning for students from Kindergarten to Year 12.

1.4.4. Categories

Sydney University Museums is responsible for both collections and collections-related property. Every object or specimen in the SUM collections will be categorised as being part of the permanent collection, the custody collection, or the education collection. Related property is categorised here as unaccessioned assets and the reference library.

- **Permanent Collection:** Includes all objects or specimens that are formally accessioned into the SUM collections. Material in this category is selected for its utility in fulfilling the exhibition, research, and teaching functions of SUM as informed by its Mission Statement. This collection is maintained for permanence and is subject to the highest professional standards regarding its documentation, inventory control, and physical care. Removal from the collection requires formal deaccession per section 3.0.
- **Custody Collection:** Includes ancestral remains and secret / sacred objects that have been deaccessioned from the permanent collections and await identification or claim by Australian Indigenous communities. SUM does not seek to expand this collection, but provides transitional care in accordance with the University's repatriation policy, Policy and Procedures Concerning the Management of Aboriginal and Torres Strait Islander Ancestral Remains and Culturally Significant Items (1996).
- **Education Collection:** Includes material used to support SUM teaching functions through its hands-on education and public programs, and is largely comprised of duplicate or unprovenanced material deaccessioned from the permanent collections. Considered 'consumable' by virtue of its use, its standard of care is intended to prolong its functional life.
- **Unaccessioned Assets:** Comprises a diverse range of objects and specimens that may or may not qualify for inclusion in the permanent or education collections. In large part, this material comprises a backlog of items transferred from University departments that were not accessioned at the time of receipt. SUM seeks to reduce its holdings of

unaccessioned assets through progressive assessment for acquisition, transfer to the most appropriate collecting institution, or sale.

- Reference Library: Comprises material, primarily books and journals, which are essential for documentation, research, and interpretation of the collection. The reference library is subject to valuation as a University asset.

1.4.5. Future Directions

SUM's strategy is to develop coherence in the overall collection in consideration of how it is used by and for its constituencies, as well as to focus more closely on how it relates to the broad-ranging work of the University.

Existing collections will be documented more thoroughly and future growth will be governed by an ongoing analysis of the overall collection, its current component divisions, and through thoughtfully deliberated accession and deaccession decisions. Separate development plans for each area of the permanent collection will be written to provide more detailed information about existing collections, articulate thematic threads within and across collections, and further refine collecting priorities (per section 2.4 below).

As part of these efforts, the education collection will be more formally defined and developed to include material appropriate to support a broadened hands-on education program.

Complete inventory control of its collections is a major goal of SUM and is supported by the ongoing stocktaking program stipulated in the University's Heritage Management Policy.

SUM also aims to expand audience access to the collections and associated research via the Internet.

1.5 Ethics

Sydney University Museums aims to conduct activities in relation to its collection in a manner that responds to the highest ethical and professional standards. Specifically:

- 1.5.1. SUM will act within State and Federal law and international agreements between Australia and other countries. All collections related activity will be in accordance with the ICOM Code of Ethics, the UNESCO Convention, the CITES Convention, and the Museums Australia Code of Ethics.
- 1.5.2. In all activities relating to the collections, SUM staff members will act in accordance with the standards of the University of Sydney's Code of Conduct, which covers conflicts of interest, the acceptance of gifts, ownership of intellectual property, outside employment and consulting, personal and professional conduct, public comment, and issues of discretion and confidentiality.
- 1.5.3. In relevant activities relating to collections or exhibition research, SUM staff members will act in accordance with the University of Sydney Research Office established guidelines on animal and human research ethics.
- 1.5.4. Private collecting by staff or other persons employed by or closely connected with SUM is not necessarily a conflict of interest and may enhance expertise. However, no collecting by such persons can in fact or in appearance conflict with the interests of SUM and its collecting programs. In no case should staff compete with SUM in any personal collecting activity or act as or for dealers. SUM must always be given first right of refusal to acquire any object or specimen. Because the possibility of conflict exists, SUM staff will declare all collecting interest to the SUM Director, in accordance with the principles expressed in the University's Code of Conduct.

Collections Guidelines

- 1.5.5. Staff of SUM will not under any circumstance remove or transport collection material to any space outside designated storage areas without correct and authorised associated loan and movement receipts.
- 1.5.6. Collection, curation and management of Australian Indigenous items will be in accordance with the national Museums Australia Indigenous heritage policy, *Continuous Cultures, Ongoing Responsibilities* (2005) and the University's repatriation policy, *Policy and Procedures Concerning the Management of Aboriginal and Torres Strait Islander Ancestral Remains and Culturally Significant Items* (1996).
- 1.5.7. Collection, curation and management of culturally sensitive objects and ancestral remains from outside Australia will be conducted in a manner that appropriately respects and recognises legitimate concerns of people intimately involved with such material, while accommodating the needs of other legitimate users. At all times, attempts will be made to avoid or reconcile conflicts between the University's scientific or educational roles and SUM's role as a responsible custodian of such material.
- 1.5.8. SUM will educate its visitors and stakeholders in regard to the ethical and legal responsibilities of natural and cultural heritage preservation.
- 1.5.9. SUM staff will not provide appraisals for tax deductions or other external purposes, but will assist donors to obtain valuations for tax deduction purposes as part of the Commonwealth's Cultural Gift Program.
- 1.5.10. Identification and authentication will be given only for professional or education purposes under the ethical and legal guidelines laid down by the Museums Australia Code of Ethics.

1.6 Implementation

1.6.1. Responsibilities

The SUM Director is charged by the University with stewardship authority for the collections. The SUM Director reports to the Office of the Provost who has oversight responsibility for SUM.

The SUM Director assigns authority for the execution of the provisions and responsibilities articulated within these guidelines to the incumbents of staff positions with direct responsibilities for collections care, management and oversight. These include curatorial and collections management staff.

SUM relies on the competence of its staff and the advice of outside experts where necessary to implement provisions of these guidelines. All collections management and curatorial staff must be thoroughly familiar with this document. Other staff or volunteers whose work relates to SUM collections should be conversant with its contents. Staff responsibilities specific to each guideline section are outlined therein and detailed in the *SUM Collections Procedures*.

1.6.2. Documentation

Staff working with collections must document activity in accordance with the University's Recordkeeping Policy, the University's Heritage Management Policy and the SPECTRUM Documentation Standard.

1.6.3. Reporting

In accordance with University formal reporting requirements, SUM reports on its collections related activities to:

- Office of the Provost on a regular basis regarding statistics on visitation, teaching use of collections, research enquiries, internship and other student participation, loan activity, and new acquisitions.

- Internal Audit Office on an annual basis with a “Certificate of Verification of Heritage Assets” for all collections within its care.
- Risk Management Office on an annual basis to confirm updated values for correct insurance coverage.

1.6.4. Review

The policies contained within this document were drafted in 2009, although specific components predate this. It is intended to be a document that will be adapted in the future to reflect the growth, expansion, and developing professional practice of SUM.

The SUM *Collections Guidelines* will be reviewed every five years and on an ad hoc basis if required. The next scheduled review is 2015.

1.7 Related Documentation

1.7.1. University References

Archives and Record Management Services. (2000). *University Recordkeeping Policy*. Sydney: University of Sydney.

Human Resources Department. (2008). *Code of Conduct*. Sydney: University of Sydney.

Macleay Museum. (1996). *Policy and Procedures Concerning the Management of Aboriginal and Torres Strait Islander Ancestral Remains and Culturally Significant Items*. Sydney: University of Sydney.

Planning and Resources Department. (1999). *Heritage Management Policy*. Sydney: University of Sydney.

Research Office. (no date). *Ethics (Human Research Ethics and Animal Ethics)*. Sydney: University of Sydney.

Sydney University Museums and University of Sydney Union agreement for management of the University of Sydney Union Art Collection. Memorandum dated 25 March 2008.

1.7.2. External References

International Council of Museums. (2006). *ICOM Code of Ethics for Museums*. Paris: ICOM.

International Union for Conservation of Nature. (1975). *Convention on International Trade in Endangered Species of Wild Flora and Fauna (CITES)*.

McKenna, Gordon and Patsatzi, Efthymia, eds. (2009). *SPECTRUM: The UK Museum Documentation Standard (version 3.2)*. Cambridge, UK: Collections Trust.

Museums Australia. (1999). *Code of Ethics*. Canberra: Museums Australia (national office).

Museums Australia. (2005). *Continuous Cultures, Ongoing Responsibilities: Principles and guidelines for Australian museums working with Aboriginal and Torres Strait Islander cultural heritage*. Canberra: Museums Australia (national office).

National Standards Taskforce. (2008). *National Standards for Australian Museums and Galleries (version 1.0)*. Melbourne: Museums Australia (Victoria office).

United Nations Educational, Scientific and Cultural Organization. (1970). *UNESCO Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property*. Paris: UNESCO.

SECTION 2: ACQUISITION

2.1 Overview

2.1.1. Definition

Acquisition refers to the process by which Sydney University Museums (SUM) obtains material for its collections. Acquisition is defined as the transfer of ownership of property to SUM, which may be by outright donation, donation under the Cultural Gifts Program, bequest, purchase, field collection, commission, or other transfer of assets. Acquired material is then officially incorporated into the collections through the accessioning process.

2.1.2. Purpose

In accordance with its Mission Statement, Sydney University Museums shall strive to build on and refine its existing collections in the fields of history, natural history, science, ethnography, archaeology, and the visual arts. These acquisition guidelines establish the intellectual and administrative principles that support the collection of cultural and scientific material by Sydney University Museums. It defines the structure, standards, collecting principles and priorities of SUM collections.

2.1.3. Objectives

The objective of these guidelines is to enable Sydney University Museums to align its acquisition activities with the National Standards for Australian Museums and Galleries, which state that:

- The museum develops its collection to reflect its unique purpose and the significant stories and interests of its diverse and changing communities. (Standard C1.1)
- The museum knows the significance of its collection. (Standard C1.2)
- The museum aims to have unconditional legal ownership of its collection. (Standard C1.3)

2.1.4. Scope

This acquisition guidelines cover the permanent collections of Sydney University Museums. Except where specifically mentioned, it does not pertain to the education collection, the custody collection, or collection-related assets (reference library or other unaccessioned assets).

Files, documents, images, and sound and vision recordings associated with material held in the collections, are handled as part of overall collection documentation and are referred to in section 4.0 of these guidelines.

2.2 Permanent Collection

2.2.1. Definition

The permanent collection includes all objects or specimens that are formally accessioned into the collections of SUM. Material in this category is selected for its utility in fulfilling the exhibition, research, and teaching functions of SUM as informed by its Mission Statement and will conform to the qualitative criteria outlined in sections 2.3 and 2.4 below.

2.2.2. Standard of Care

The permanent collection is maintained for permanence, and SUM will apply the highest standards to its research, documentation, inventory control, and physical care. This collection is subject to all aspects of the collection guidelines and procedures, and strives to meet all professional standards for documentation, dissemination and research. Objects or specimens in this collection will require formal deaccession procedures if proposed for removal from the collection.

2.3 Selection Criteria

To be eligible for acquisition into the permanent collection, an object or specimen must have value in relation to both the essential and specific selection criteria outlined below, and must also fall within the defined collecting priorities outlined in section 2.4.

2.3.1. Essential Criteria

- **Significance:** The object, specimen or collection has historic, cultural, social, aesthetic, scientific or technological significance that relate to the priorities advanced by Sydney University Museums.
- **Provenance:** The origin and/or subsequent history of the object, specimen or collection can be documented and authenticated according to current internationally acceptable convention.
- **Representativeness / Rarity:** The object, specimen or collection is unique or relatively rare, a fine example of its type, or not well represented in SUM holdings.
- **Interpretive Potential:** The object, specimen or collection has high display and / or research value.
- **Completeness / Condition:** The object, specimen or collection is suitable for exhibition, long-term storage and preservation with minimal resource outlay.

2.3.2. Specific Criteria

- Material consistent with the SUM long-term purpose to document and interpret the history of teaching, learning, research, and community engagement at the University of Sydney.
- Material relating to one of the established permanent collections that would enhance existing holdings or be useful for comparative research.
- Material not related to the above but important because of its uniqueness or other exceptional quality and where there is a danger of loss or destruction.

2.4 Collecting Priorities

Lastly, material must conform to the collection area priorities outlined below.

These collection areas are organised broadly along existing curatorial responsibilities and media, and are devised to direct future acquisitions. SUM acknowledges that its current holdings include some valuable material that falls outside these collection areas, as well as material that fall across them, and recognises the value of such interdisciplinary collecting.

2.4.1. Antiquities Collection

The antiquities collection comprises more than 25,000 artefacts from Egypt, Greece, Italy, Cyprus, the Near and Middle East, and Europe. At its core is the collection of Charles

Nicholson, donated to the University in 1860. Since then the collection has grown significantly through excavation, donation and purchase.

SUM aims to acquire material that develops the current collection, building on its strengths and especially addressing its weaknesses. An item will be considered for acquisition if it meets one of the following criteria:

- Antiquities from Greece, Italy, and other parts of the Mediterranean influenced by those cultures; Egypt; Near East, especially ancient Iran, Iraq, Israel, Jordan, Lebanon, Palestine, Syria, and Turkey; and Cyprus.
- Material from other University departments that may broaden SUM studies in archaeology or link the existing collection to archaeological research conducted by the University.

SUM is committed to the further development of this collection according to the highest ethical standards and in compliance with all applicable laws and agreements including State and Federal law regulating the protection of environmental and cultural heritage, international agreements between Australia and other countries, the UNESCO Convention, the CITES Convention, the ICOM Code of Ethics, and the Museums Australia Code of Ethics.

2.4.2. Ethnography Collection

The Macleay Museum ethnographic collection comprises close to 6000 cultural objects. The collection includes material from all continents of the globe and represents numerous cultures. The collections embody the experiences, knowledge, relationships and beliefs of the people who made, used, traded and collected them. A number of items in the collection are unique and many are both culturally and historically significant.

Australian Aboriginal, Torres Strait and Pacific Islander cultural objects are the strength of our holdings. A third of the current collection dates from the mid-late 19th century and was acquired by W J Macleay and collectors who worked on his behalf. Material of more recent manufacture has come into the museum via transfer from various University Departments and private donors, many with a relationship to the University. The collections document the distinctive characteristics and history of Aboriginal and Torres Strait and Pacific Islander peoples into the mid-20th century. Collection development will be focused on building or extending the breadth of existing areal and thematic strengths of the collection.

Areal strengths

- Aboriginal Australia; New South Wales, Queensland, Northern Territory and Western Australia
- Torres Strait Islander; Torres Strait Islands
- Pacific Islander; Papua New Guinea, West Papua and Papua (Indonesian New Guinea), Solomon Islands, Vanuatu, Fiji, Tonga, Cook Islands, Samoa, Kiribati, Tuvalu, and the Caroline Islands

Thematic strengths

- Early Encounters. Cultural objects dating from the 19th and early 20th century with particular emphasis on cross-cultural trade and exchange and regional diversity.
- Continuity and Change. Cultural objects dating from early – mid 20th century especially where they inform on negotiation with colonial administration, academic research and the defining of cultural and national identities into the post-colonial era.
- Living History and Culture. Contemporary cultural objects (mostly where offered as gifts) and intangible cultural heritage from relevant present day cultural communities in respect to their interest and interactions with the existing collections and/or in relation to exhibitions and public programs.

2.4.3. Historic Photograph Collection

The historic photograph collection (HPC) comprises over 50,000 items relating to the history of photography in Australia and the Pacific.

The main collection areas are the University's history, early professional and amateur photographers, ethnographic photographs, and images of working, social and home life in New South Wales and Australia. The collection consists of a range of formats, is primarily black and white, and dates from the mid-19th century. The University material is largely lantern slide teaching collections.

SUM aims to acquire material that builds on its current strengths. An item will be considered for acquisition if it meets one of the following criteria:

- Items that relate to the University.
- Items that add to or enhance the existing collection.
- Images of Pacific and Australian Aboriginal and Torres Strait Islander peoples in the colonial era.
- Examples of rare photographic processes.
- Photographs relating to an individual who worked or studied at the University.
- Images by noted photographers.

2.4.4. Scientific Instruments and Apparatus Collection

The scientific instruments and apparatus collection of some 2,000 objects primarily consists of scientific instruments and equipment used by departments of The University of Sydney. The collection reflects the history of science teaching and research at the University within the context of the evolution of scientific practice, and the changing materials and equipment in the progress of science. Most of the collection dates from the late 19th century to the mid-20th century.

Microscopy, measuring and calculating instruments, and teaching aids such as wax embryology models, are significant collection strengths. SUM also holds a technology collection comprising mainly of audio-visual equipment, lighting and office equipment and timepieces as well as a representative collection of photographic equipment associated with the Historic Photograph Collection.

SUM aims to acquire material that develops the current collection, building on its strengths, and showing the evolution of scientific equipment and techniques, with particular and strong relevance to science as taught or practiced at the University.

An item will be considered for acquisition if it meets one of the following criteria:

- Microscopy: objects that reveal the history of microscopy especially as practiced at the University.
- Scientific instruments or equipment used to teach or practice science at the University.
- Objects that demonstrate the evolution of scientific practice.
- Objects that provide a better example of an existing collection item.
- Items associated with a particular scientist of relevance.

2.4.5. Natural History Collection

The natural history collection is the foundation collection of the Macleay Museum and

consists almost entirely of zoological specimens with most major taxonomic groups represented. It was largely assembled by three generations of the Macleay family before 1900 with the oldest specimens dating to the mid-1700s. The collection has world-wide coverage, with strong representation from Australia, South America, Southern Africa and New Guinea. Across the natural history collections there are approximately 10,000 type specimens, the majority within entomology.

The natural history collection is ostensibly a closed historical collection, where only highly exceptional or rare zoological material will be considered for acquisition.

2.4.6. Visual Arts Collection

The visual arts collection represents a range of media and currently consists of some 7,000 works.

SUM aims to acquire artworks that build on its current strengths, contribute to a more comprehensive historical overview, and link the existing collection to more recent contemporary art practices and developments. Artworks will be considered for acquisition if they meet one of the following criteria:

- Art within the context of the University: Formal portraiture comprises a significant historic component of the art collection. The University maintains this tradition through the commission of chancellor and vice-chancellor portraits.
- Australian painting: Works of significance for Australia that are related to local landscape, history and culture.
- Indigenous Australian art: Works with particular significance for the Australian community that enhance an understanding of Indigenous cultures and that complement the interdisciplinary holdings in SUM collections.
- Modernism: Works that reveal how artists have engaged with international avant-garde movements particularly over the last century. Works that enhance an understanding of the Power Bequest collection acquired from 1967-1990 and the work of J.W. Power (1881-1943).
- Asian art: Works that enhance the M.J. Morrissey Bequest in memory of Professor A.L. Sadler. Focus will be on prints, ceramics and sculptural media.
- Contemporary art: Works that enrich an understanding of the best contemporary practice with a focus on emerging art, particularly focused on Sydney, and University alumni. Works that engage with the major academic disciplines and foster interdisciplinary exchange.
- Public artworks that enhance the University's built environment, history and culture: Large sculptures or temporary site-specific artworks.

2.4.7. University General Collection

Sydney University Museums holds a collection of material relating to the history of the Macleay Museum, Nicholson Museum and University Art Gallery. This includes objects with strong associations to collectors – notably the Macleay family (Alexander, William Sharp and William John Macleay), and Sir Charles Nicholson. The collection also includes objects relevant to the University of Sydney as an institution and complements the holdings of the University Archives. Items in this collection represent a variety of media, including visual art, furniture, decorative art, numismatics, and memorabilia.

A General Collection item will be considered for acquisition if it meets one of the following criteria:

- Does not fit the collecting priorities of the Antiquities, Ethnography, Historic Photograph, Scientific Instruments and Apparatus, Natural History, or Visual Arts collections
- Related to the history of the Sydney University Museums' collections or collectors, or the history of the University of Sydney
- Expresses a significant aspect of the heritage of Sydney University Museums or the University of Sydney
- Provides a better example of an existing collection item

2.5 Acquisition Ethics

- 2.5.1. The acquisition of objects or specimens by SUM staff members will always be practised in accordance with the standards of the University of Sydney's Code of Conduct and University ethics relating to animal and human research.
- 2.5.2. SUM will abide by State and Federal law regulating the protection of environmental and cultural heritage and international agreements between Australia and other countries. All collecting activity will be in accordance with the UNESCO Convention, the CITES Convention, the ICOM Code of Ethics, and the Museums Australia Code of Ethics.
- 2.5.3. SUM will only acquire collections having a fair, legal and ethical provenance. SUM staff will undertake due diligence to establish the legal status of an item under consideration for acquisition, making every reasonable effort to investigate, substantiate, or clarify the provenance of the item.
- 2.5.4. SUM does not seek to acquire material reasonably suspected to have been stolen, obtained through improper means, or illegally imported into Australia. Documentation or substantial evidence will be required to ensure material has not been acquired in, or exported from, its country of origin and / or any intermediate country in which it may have been legally owned, in violation of that country's laws.
- 2.5.5. Collecting of Australian Indigenous material will be in accordance with the national Museums Australia Indigenous heritage policy, *Continuous Cultures, Ongoing Responsibilities* (2005).
- 2.5.6. SUM respects the moral rights of the creators of works acquired for the collections by ensuring the integrity of use and proper attribution of those works. SUM will adhere to the provisions of the *Copyright Act 1968* (amended 2005), the *NAVA Code of Practice for the Australian Visual Arts and Craft Sector* (2004), and the Australian Copyright Council guidelines (2005).

2.6 Ownership and Custody Standards

- 2.6.1. Objects and specimens will be acquired through gift, bequest, purchase, field collection, commission, or other transfer.
- 2.6.2. SUM will acquire collections only if it can provide adequate resources to protect, document, conserve, store, research, exhibit and interpret those objects, as applicable, in accordance with the highest professional standards.
- 2.6.3. SUM will have first right of refusal to accept into the collection objects or specimens from a University faculty or administrative unit that are no longer required by that faculty or administrative unit.
- 2.6.4. SUM intends that all objects or specimens in the permanent collection shall have permanency in the collections as long as they retain their physical integrity, identity, authenticity, and documentation, and remain relevant to the stated mission of SUM.

- 2.6.5. SUM seeks to obtain clear legal title for all objects acquired for the permanent collection. All objects or specimens entering the collection shall be accompanied by a legal document transferring clear legal title of ownership to SUM.
- 2.6.6. Where appropriate, SUM will seek to acquire all intellectual property rights associated with collections material at the time of acquisition. SUM will conclude a clear agreement with the owners of material or the transferring party on the nature of the acquisition, including the status of any associated intellectual property rights.
- 2.6.7. SUM will only acquire material on a conditional basis in the most exceptional circumstances when the long-term advantage to the University is unequivocal. Restrictive or conditional donations will require the written approval of the delegated officer under the University's Finance and Accounting Delegations policy. In most circumstances this will be the SUM Director. Such donations must be accompanied by a legal document that conveys any restrictions or conditions. A reasonable date will be set for their termination and the conditions under which their force may terminate will be determined at the time of the acquisition. SUM will strictly adhere to the restrictions unless a change is authorised by a court of competent jurisdiction.
- 2.6.8. Where SUM has conditional ownership of a collection item, it will have a plan in place to gain title to it or an appropriate written agreement that is reviewed regularly.
- 2.6.9. With regard to the material culture of Australian Indigenous communities, SUM may hold material in its custody collection on behalf of traditional owners rather than seek the transfer of ownership. In the event that source communities or their representatives seek the return of material held in custody by SUM, the University's repatriation policy and procedures will be followed.
- 2.6.10. Objects or specimens found in the collections without documentation, or material associated with unresolved unclaimed loans, will be tracked as unaccessioned assets until such time as the University is able to demonstrate superior rights of possession in accordance with the *NSW Limitation Act 1969* and through reasonable steps to identify owner or heirs or other possible claimants. At such time, material will be eligible for accession or disposal.
- 2.6.11. SUM will not accept abandoned objects or specimens left on museum premises, except under extreme circumstances and only with the written approval of the SUM Director. As clear title cannot be ascertained over abandoned material, the object or specimen would be subject to the same provisions noted in section 2.6.10.
- 2.6.12. Material bequeathed to SUM is subject to the acquisition guidelines defined in this document. All bequeathed material should be approved for acquisition prior to SUM being designated as beneficiary. SUM is not legally bound to accept material bequeathed to it, unless by prior agreement, and reserves the right to decline a gift or bequest if the material is outside collecting guidelines, or the costs of its transportation, installation, storage, or conservation are prohibitive.
- 2.6.13. Donors of material that may not be accessioned into the permanent collection must agree to the location of the material in the education or custody collections, or to its status as an unaccessioned asset, and understand that the material may be used in educational programs or disposed of through repatriation, transfer or sale.
- 2.6.14. SUM aims to know the significance of its collection. Decisions about acquisitions are informed by significance assessments following the Collections Council of Australia significance guidelines, *Significance 2.0: A Guide to Assessing the Significance of Collections* (2009). Significance assessments will form part of the permanent collection records (see Documentation section 4.0 of these guidelines).
- 2.6.15. SUM will cooperate with other museums, galleries, historic preservation organisations, libraries and agencies with similar or overlapping interests and collecting policies, in order to avoid duplication and where possible, to develop an integrated plan for preservation,

research and interpretation. Where material offered to SUM would be more appropriately located in other collecting institutions, donors or vendors will be referred to those organisations.

- 2.6.16. All items acquired for SUM permanent collections will be accessioned and catalogued in a timely manner.

2.7 Implementation

2.7.1. Funding

The majority of SUM collections are acquired through donation, bequest, or transfer. Limited funding for purchase is available through endowments established for the development of certain collections. Until such time as dedicated acquisition funds are made available, growth of the collections will occur through the generosity of donors.

2.7.2. Responsibilities

For the purpose of acquisition, curatorial staff are relied upon for a judgment of significance and provenance in their specialist fields. Advice from external experts may be sought where necessary. Objects or specimens proposed for acquisition will be assessed by the relevant Senior Curator with reference to the Collecting Priorities and in consultation with the Collections Manager.

Proposals for acquisition will be submitted to the SUM Director for consideration and formal approval. The SUM Director must give written approval for every acquisition and, in accordance with the University's Finance and Accounting Delegations policy, will refer specific cases for final approval to the Vice Chancellor or University Senate, dependent on delegation authority.

2.7.3. Documentation

Complete records must be kept of all acquisition decisions, including material that is not accepted for the collection. For material acquired into the collection, records will include assessment of significance, condition reports, transfer of legal title, provenance verification, and any related correspondence, research, and images. Documentation of acquisition and accession activity is detailed further in section 4.0 of these guidelines and will proceed in accordance with the University's Recordkeeping Policy and the SPECTRUM Documentation Standard.

2.7.4. Reporting

In accordance with University formal reporting requirements, SUM reports to:

- Office of the Provost on a regular basis regarding statistics on visitation, teaching use of collections, research enquiries, internship and other student participation, loan activity, and new acquisitions.
- Internal Audit Office on an annual basis with a "Certificate of Verification of Heritage Assets" for all collections within its care, including a listing of new acquisitions.
- Risk Management Office on an annual basis to confirm updated values, including new acquisitions, for correct insurance coverage.

2.7.5. Review

The SUM Collections Acquisition Guidelines will be reviewed every five years.

2.8 Related Documentation

2.8.1. University References

Archives and Record Management Services. (2000). *University Recordkeeping Policy*. Sydney: University of Sydney.

Finance and Accounting Department. (2007). *Finance and Accounting Manual Delegations for Specific Activities and Financial Delegations*. Sydney: University of Sydney.

Human Resources Department. (2008). *Code of Conduct*. Sydney: University of Sydney.

Macleay Museum. (1996). *Policy and Procedures Concerning the Management of Aboriginal and Torres Strait Islander Ancestral Remains and Culturally Significant Items*. Sydney: University of Sydney.

Research Office. (no date). *Ethics (Human Research Ethics and Animal Ethics)*. Sydney: University of Sydney.

2.8.2. External References

Australian Copyright Council. (2005). *Galleries & Museums: A Copyright Guide*. Redfern: Australian Copyright Council

Commonwealth of Australia. (1968). *Australian Copyright Act 1968 (No. 28, as amended 2007)*. Canberra: Office of Legislative Drafting and Publishing.

Commonwealth of Australia. (1999). *Environment Protection and Biodiversity Conservation Act 1999* (EPBC 1999). Canberra: Department of the Environment, Water, Heritage and the Arts.

Commonwealth of Australia. (2005). *Protection of Movable Cultural Heritage Act (Act No. 11 of 1986, as amended 2005)* (PMCH 1986). Canberra: Department of the Environment, Water, Heritage and the Arts.

International Council of Museums. (2006). *ICOM Code of Ethics for Museums*. Paris: ICOM.

International Union for Conservation of Nature. (1975). *Convention on International Trade in Endangered Species of Wild Flora and Fauna* (CITES).

McKenna, Gordon and Patsatzi, Efthymia, eds. (2009). *SPECTRUM: The UK Museum Documentation Standard (version 3.2)*. Cambridge, UK: Collections Trust.

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National Association for the Visual Arts, Ltd. (2004). *The Code of Practice for the Australian Visual Arts and Craft Sector*. (2nd ed.). Potts Point: NAVA.

National Standards Taskforce. (2008). *National Standards for Australian Museums and Galleries (version 1.0)*. Melbourne: Museums Australia (Victoria office).

Russell, Roslyn and Winkworth, Kylie. (2009). *Significance 2.0: A Guide to Assessing the Significance of Collections*. 2nd rev. ed. Adelaide: Collections Council of Australia.

State of New South Wales. (1969). *Limitation Act 1969 (No. 31, as amended 2009)*. Sydney: Office of Parliamentary Counsel.

United Nations Educational, Scientific and Cultural Organization. (1970). *UNESCO Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property*. Paris: UNESCO.

SECTION 3: DEACCESSION

3.1 Overview

3.1.1. Definition

Deaccessioning is the process of de-registering an accessioned object or specimen from the Sydney University Museums (SUM) permanent collection and amending the documentation relating to that object or specimen. An object or specimen that is deaccessioned is then disposed of in accordance with approved guidelines.

3.1.2. Purpose

Sydney University Museums recognise that the ability to deaccession and dispose of material from the permanent collection is an integral component of an effective collection management program that allows for the proper care and use of the collection. Deaccessioning activity is conducted in a reasoned, documented, professional manner with the intent of improving the quality and relevance of museum collections, and acting within international ethical policies.

3.1.3. Objectives

The objectives of these guidelines are to enable Sydney University Museums to:

- Transfer objects or specimens, which by virtue of their subject focus or quality, may be better placed in another part of the University, museum or similar public collecting institution.
- Dispose of material that is not required as part of the collection, in accordance with the guidelines set out under section 3.4 below.
- Repatriate ancestral remains or objects of cultural significance to appropriate communities of origin.
- Align its collection documentation with its actual collection holdings.

3.1.4. Scope

These guidelines cover the deaccessioning of objects and specimens from the Sydney University Museums' permanent collection and custody collection, as defined in section 1.4.4.

3.2 Standards

3.2.1. Sydney University Museums holds its collections in the public trust, which obligates acting in accordance with the highest legal and ethical standards in accordance with the University of Sydney's Code of Conduct, Museums Australia Code of Ethics, and ICOM Code of Ethics.

3.2.2. Caution and transparency are essential in the deaccessioning process. The same careful assessment must be applied to objects or specimens recommended for deaccessioning as for those proposed for accessioning.

- 3.2.3. Deaccessioned material will be documented fully, clearly justified, disposed of appropriately, and be free from problems of ownership, conflict of interest, and ethical and legal issues.
- 3.2.4. Sydney University Museums can only dispose of property to which it has clear and unrestricted title. That is, property given, donated, bequeathed or otherwise demised to the University of Sydney through its component museums in accordance with the University's Finance and Accounting Delegations policy.
- 3.2.5. Objects or specimens suggested for deaccessioning will be carefully assessed on the basis of established criteria outlined in section 3.3 below.
- 3.2.6. Repatriation of Indigenous Australian ancestral remains and objects of cultural significance will comply with the provisions of the University's repatriation policy, *Policy and Procedures Concerning the Management of Aboriginal and Torres Strait Islander Ancestral Remains and Culturally Significant Items* (1996).
- 3.2.7. Requests for repatriation to non-Australian source communities will be considered on a case-by-case basis, acting within international agreements and protocols.
- 3.2.8. Type materials and comparable objects are eligible for deaccessioning on through provisions outlined in sections 3.3.6 and 3.3.7.
- 3.2.9. Raising funds for SUM or the University through the sale of deaccessioned items is not a valid reason for deaccessioning. Such activity undermines the concepts of fiduciary responsibility and public trust.
- 3.2.10. Any proceeds from the disposal of a collection object or specimen must benefit the care and development of the SUM collections.
- 3.2.11. SUM or University employees or anyone whose association with these bodies might give them an advantage in acquiring a deaccessioned object or specimen, may not acquire deaccessioned material by private sale or exchange. Additionally, these parties may neither act as private agents concerning the sale or disposal of collection material nor otherwise benefit from its sale or disposal.
- 3.2.12. If reservations or disagreement exist about the significance and relevance of items proposed for deaccession, SUM will retain items for a six-month period before disposal. During this period, items proposed for deaccession will be available for inspection, together with a statement detailing the reasons for deaccession.

3.3 Criteria for Deaccession

Objects or specimens considered for deaccessioning will be assessed against the following criteria:

3.3.1. Significance to Collection

The object or specimen does not conform to current SUM acquisition guidelines and would more appropriately belong to and is accepted by another public institution with a mandate to collect and preserve such material.

3.3.2. Significance of Object or Specimen

The object or specimen lacks associated information to enable its proper identification or to establish its relevance to the collection. Or the material lacks historical significance or aesthetic qualities, making its contribution to the collection minimal.

3.3.3. Redundancy

The object or specimen is over-represented in the collection, and the multiples are not required for comparative research, exhibition changeover, education or other SUM purpose.

3.3.4. Sensitive Materials

Aboriginal and Torres Strait Islander ancestral remains and secret/sacred material appropriate for repatriation under University policy. Or similar international material requested for return to the country of origin under the ethical principles advocated in the ICOM Code of Ethics.

3.3.5. Illegitimate Possession

SUM has reason to suspect that the object or specimen was stolen, illegally exported from a foreign country, or imported into Australia in violation of applicable laws and international agreements. Or the ownership is the subject of a substantiated request for return by the owner, the legality of which is recognised by the University.

3.3.6. Condition

The object or specimen is so degraded or irreparably damaged that it is no longer recognisable or restorable. Or the material is so degraded that the cost of restoration is disproportionate to its financial value or significance.

3.3.7. Hazard

The object or specimen is of a hazardous nature that may pose a serious occupational health and safety risks to staff and visitors, which cannot be dealt with through storage methods.

3.3.8. Administrative

The object or specimen is presumed to no longer be in the SUM collections due to theft, or presumed to be permanently missing. Or the material was accessioned in error.

3.4 Disposal

3.4.1. Interest of Donors and Artists

For material donated without restriction, the donor retains no legal rights.

Where required by prior agreement, the donor of deaccessioned material will be consulted on its disposal.

In other instances when feasible, SUM may notify donors or their heirs, and living artists, prior to the disposal of deaccessioned material.

3.4.2. Disposal Options

Depending on the nature of the deaccessioned object or specimen and the rationale for removing it from the collections, the following options may be considered for its disposal:

- Repatriation in accordance with the University repatriation policy.
- Objects or specimens that have a significant cultural or scientific value, but which do not conform to the collections guidelines, should wherever possible be placed with the most appropriate public institution, by means of transfer, gift or sale.
- Objects or specimens accessioned from a faculty within the University may be returned to that faculty for unencumbered use by the faculty.
- Objects or specimens that do not have a significant cultural or scientific value but do have a market value may be disposed of by public auction or tender.

- Addition to education collection where the object or specimen meets the Collection Priorities
- Objects or specimens normally are not returned to the donor or heirs. In such cases where the return is deemed appropriate, a report of that action is sent to the Australian Tax Office if necessary.
- Objects or specimens that are degraded to the point where they are no longer recognisable or restorable may be destroyed or recycled for materials or components where appropriate.
- Objects or specimens that cannot be disposed of in any other way may be destroyed.

3.4.3. Hazardous Items

Disposal of hazardous objects or material must only be undertaken after liaison with the University of Sydney's Audit and Risk Management Office.

3.4.4. Proceeds from Disposal

All proceeds resulting from the sale of deaccessioned material will be committed to the care and development of the Sydney University Museum collections.

3.5 Implementation

3.5.1. Responsibilities

No material will be deaccessioned, disposed of, or in any way removed from the Museum records without careful review, documentation of clear title, and staff evaluation.

Material proposed for deaccession will be assessed by the relevant Senior Curator in consultation with the Collections Manager, and submitted to the SUM Director for formal approval. The SUM Director must give written approval for every deaccession and the method of disposal. In accordance with the University's Finance and Accounting Delegations policy, the SUM Director may refer specific cases for final approval to the Vice Chancellor or University Senate.

3.5.2. Retention Period

If the deaccession proposal is approved, the object will be retained by SUM for a period of not less than six months. After that period, disposal arrangements may be implemented. The retention period does not apply to cases of repatriation.

3.5.3. Documentation

Complete records must be kept of all deaccessioning decisions, the object or specimen involved, and the disposal of the material. The relevant records will be amended in the collections documentation system, with the registration number retired, not deleted. Documentation of deaccession activity will proceed in accordance with the University's Recordkeeping Policy and the SPECTRUM Documentation Standard.

3.5.4. Reporting

In accordance with University formal reporting requirements, SUM reports to:

- Internal Audit Office on an annual basis with a "Certificate of Verification of Heritage Assets" for all collections within its care, including the listing of all deaccessioned material.

3.5.5. Review

The SUM Collections Deaccession guidelines will be reviewed every five years.

3.6 Related Documentation

3.6.1. University References

Archives and Record Management Services. (2000). *University Recordkeeping Policy*. Sydney: University of Sydney.

Finance and Accounting Department. (2007). *Finance and Accounting Manual Delegations for Specific Activities and Financial Delegations*. Sydney: University of Sydney.

Human Resources Department. (2008). *Code of Conduct*. Sydney: University of Sydney.

Macleay Museum. (1996). *Policy and Procedures Concerning the Management of Aboriginal and Torres Strait Islander Ancestral Remains and Culturally Significant Items*. Sydney: University of Sydney.

3.6.2. External References

International Council of Museums. (2006). *ICOM Code of Ethics for Museums*. Paris: ICOM.

McKenna, Gordon and Patsatzi, Efthymia, eds. (2009). *SPECTRUM: The UK Museum Documentation Standard (version 3.2)*. Cambridge, UK: Collections Trust.

Museums Australia. (1999). *Code of Ethics*. Canberra: Museums Australia (national office).

SECTION 4: DOCUMENTATION SYSTEM

4.1 Overview

4.1.1. Definition

Collection documentation is defined as information about collection objects and specimens, as well as the activities involving them, such as acquisition, accessioning and cataloguing, deaccessioning and disposal, condition and conservation, valuation and insurance, location and movement control, loans, exhibitions and other types of access.

This information is recorded in written or electronic form within a system that enables objects and specimens to be connected to associated information. With an effective, standardised documentation system, a museum is able to facilitate collection policies, collection care and accountability, as well as collection access, interpretation and research.

4.1.2. Purpose

Sydney University Museums (SUM) recognises that an effective documentation system is fundamental to the integrity of its collections and an essential component of professional museum practice. The purpose of these guidelines is to establish a system that unifies the separate recordkeeping practices of SUM's component museums under a centralised system designed to ensure that objects and specimens are reliably documented to a set standard, that such information is efficiently retrievable, and that the documentation system itself is secure.

4.1.3. Objectives

The objective of these guidelines is to enable SUM to align its collections documentation system with accepted professional standards, the need for which is established by the International Committee for Documentation of the International Council of Museums (ICOM-CIDOC) in its *Statement of Principles of Museum Documentation* (2007), and by the National Standards for Australian Museums and Galleries, which state that:

- The museum has an effective system to record and retrieve information about its collection. (Standard C1.4)

Through adherence to professional best practice, SUM intends that for each object or specimen in its collection:

- There is an accurate record in the appropriate Accessions Register.
- There is a registration number that uniquely identifies the item with that register entry.
- That number is marked or otherwise labelled on the item.
- SUM has documentary proof of legal title that also meets ethical standards.
- There is a robust link with all associated documentation.
- SUM has an accurate and current record of location.
- SUM has an accurate and current record of valuation.
- All documentation meets the SPECTRUM Documentation Standard (2009).

4.1.4. Scope

This guidelines section focuses on object and specimen documentation and the means of documentary control for material in the SUM permanent collections. With the exception of accessioning and marking, the guidelines also apply to material on loan to SUM.

Practices for documenting collection related activities are also referenced, but should be read in association with the relevant sections of the overall collections guidelines.

The education and custody collections, as well as collections-related property such as unaccessioned assets and the reference library, fall outside the scope of these guidelines, as does documentation of the University of Sydney Union (USU) collection and collections belonging to other University departments.

4.2 Principles

- 4.2.1. SUM affirms that information relating to an object or specimen's history, origin, and use is as significant as the item itself. Therefore, the maintenance of current, accurate collections documentation that tracks both collection information and collection-related activity is of primary importance to the professional management of SUM collections.
- 4.2.2. SUM will maintain a documentation system that will combine electronic and paper formats, provide for easy retrieval of information, and be preserved by proper handling and storage.
- 4.2.3. SUM museums have built documentation systems that vary from each other, however, SUM aims to centralise its documentation system through use of its KE EMu online collections database and standardised documentation procedures.
- 4.2.4. The SUM collection documentation procedures will meet the *SPECTRUM Documentation Standard* (2009).
- 4.2.5. SUM will ensure that its documentation objectives (as defined in section 4.1.3) are met for all new acquisitions and will have a plan to achieve them for collections acquired prior to these guidelines.
- 4.2.6. SUM places great emphasis on the creation and maintenance of good quality documentary material relating to individual objects and specimens, as well as themes and people of relevance to its collections. As such, SUM will actively seek opportunities to increase the quantity and quality of collection documentation.
- 4.2.7. SUM will monitor evolving standards and technologies related to museum collection documentation practice and will, within resource constraints, implement those that are considered to be beneficial to current collections management and curatorial needs.
- 4.2.8. Management of collection documentation pertaining to Indigenous Australian material will comply with the national Museums Australia Indigenous heritage policy, *Continuous Cultures, Ongoing Responsibilities* (2005), the *Aboriginal and Torres Strait Islander Protocols for Libraries, Archives and Information Services* (1995), and the University's repatriation policy, *Policy and Procedures Concerning the Management of Aboriginal and Torres Strait Islander Ancestral Remains and Culturally Significant Items* (1996).
- 4.2.9. The SUM collection documentation system will enable ready incorporation of information into education and interpretation material and online exhibitions and learning resources.

4.3 Collection Records

The SUM collections documentation system is comprised of a network of paper and electronic records that together ensure collection items are accounted for and provide efficient links between collection items and all associated data.

4.3.1. Records Network

Information about collection items, as well as the activities involving them, will be organised into a documentation system that will include:

- Accession Files (documenting source of legal acquisition)
- Accession Register (including a unique registration numbering system)
- Object / Specimen Labelling (with registration number)
- Object / Specimen Files (research, published material, significance assessments)

- Catalogue (database / cards with agreed nomenclature), which include minimum datasets, image records, location and movement control records, valuation histories, and associated activity records.

4.3.2. Accession Files

SUM will document and retain records of accession activity for all objects and specimens acquired for the permanent collection.

Each accession activity will be assigned a unique accession lot number.

Accession records will record details of the donor, vendor, or field collection, and include evidence of the transfer of legal title and any related correspondence or documentation referring to the accession as a whole.

Evidence of transfer of legal title may include a deed of gift form signed and dated by the rightful owner or representative, a traceable receipt of purchase, or an official transfer agreement between legal parties (eg governments, other museums, and universities).

4.3.3. Accession Register

SUM will maintain an Accession Register for each collection area that lists each item in the order of acquisition and describes each item in terms of its source, origin, provenance, materials, dimensions, condition, and value.

Each object or specimen in the collection will be permanently assigned a unique identification number, called a registration number, which will be recorded in the Accessions Register.

The registration number will be marked on all documents pertaining to the object or specimen in issue.

4.3.4. Object / Specimen Labelling

To provide a link between collection items and associated data, each object and specimen will be discreetly marked with its registration number in an indelible but reversible manner. If direct application of a number is not possible, the item will be tagged or stored in a labelled container.

4.3.5. Object / Specimen Files

SUM will produce and maintain individual object and specimen records that include provenance information, significance assessments, condition reports, use restrictions (cultural, legal, or other intellectual or moral property rights), as well as related correspondence, research, published material, and images.

In order to enhance their significance and interpretive potential, SUM will document objects and specimens in their original context and record information obtained through owners, makers, community members, scholars, exhibition and research.

4.3.6. Catalogue

SUM will compile and maintain a unified cataloguing system that will provide a centralised place for all known documentation of an object or specimen, and cross reference registration numbers with more detailed information contained in the files.

The catalogue will be recorded in the KE EMu collections database and augmented as necessary by older card-based systems.

The catalogue will record intrinsic and associational information about each object and specimen in a standard format with agreed nomenclature. The standardised categories basic to all collections will be supplemented by additional categories that customise the catalogue to each collection area.

The *SPECTRUM Documentation Standard* (2009) will identify a minimum catalogue dataset, as well as quality standards for intrinsic and associational data. Such standards will be sufficient to record an item's origin and to identify the item within the limits of knowledge available to clarify the scientific, historic or cultural value of the item.

Sources of information will be cited, dated and referenced in a way that will ease verification of accuracy or future augmentation.

4.3.7. Image Records

Photographic documentation of the collections is important for identification and management purposes. Images minimise the need to handle objects and specimens and facilitate inventory, security, insurance, research, education and exhibition activities.

SUM will progressively create a complete photographic record of its collections through photography of all new acquisitions, and all material involved in loan, exhibition, publication, or research activities. Stocktaking activities may also incorporate a photography component.

SUM will progressively create digital images of its collections, whether through original photography or the scanning of existing images to established sector standards. Associated metadata will be captured and recorded to a set standard.

SUM will seek to attach a digital reference image to each KE EMu catalogue record, except in cases where this is not practical (eg bulk registered specimens) or appropriate (eg restricted material).

4.3.8. Movement Control Records

In order to establish baseline accountability for its collections, SUM will carry out a comprehensive program of inventory control in accordance with the University's *Heritage Assets: Valuation and Stocktaking Policy and Procedures* (2007). Any change of location must be recorded on the collections database in order to maintain interim movement control.

4.3.9. Valuation Records

In order to establish baseline accountability for its collections, SUM will carry out a comprehensive program of valuation conducted by independent valuers in accordance with the University's *Heritage Assets: Valuation and Stocktaking Policy and Procedures* (2007). Any change of valuation must be recorded on the collections database.

4.3.10. Activity Records

In addition to accession and catalogue records, documentation will be kept for activities related to the collections, such as deaccessioning and disposal, condition and conservation, valuation and insurance, location and movement control, loans, exhibition and other types of access. Practices for documenting these activities are referred to in the relevant sections of the overall collections guidelines.

4.4 Records Retrieval

The collections documentation system for SUM will be structured to support effective management and retrieval of information by museum staff and other legitimate users.

4.4.1. Filing System

The collections documentation filing system will be clear and consistent, with information files organised alphabetically, numerically, or chronologically, depending on the type of information.

Records will be clearly organised, labelled and kept current.

Record retrieval will be through the registration number or activity (accession, loan, or exhibit) number as appropriate.

Registration numbers will be given by sequential count within a curatorial division. Activity numbers will be organised by year.

Digital records outside KE EMu will be managed in keeping with the filing standards and procedures of the University.

Digital records will use archival digital media and formats and be interchangeable to ensure longevity of access and quality of records.

4.4.2. Database

KE EMu, the SUM centralised collections database, will be maintained and further developed to improve efficiency in retrieving and manipulating collections data.

The database search function will enable retrieval of relevant information about individual objects / specimens or collection activities by searching for standardized field criteria (such as registration number, accession date, item name, classification, source, provenance, material, or activity number).

As resources permit, SUM will progressively enter collections information onto KE EMu to enable easier management by staff and facilitate future online access to the collections by museum audiences.

Procedures will be developed to assess the quality of information in the databases and develop methodologies to improve the quality and accuracy of the information.

Further development of KE EMu will take into account current and future needs of the collections and stakeholders, and will be done in consultation with the University's Information and Communications Technology department to ensure adherence to University standards.

4.5 Records Safekeeping

The collections documentation system will ensure that collections-related data, ranging from paper records and photographs to modern digital formats, are preserved.

4.5.1. Physical Safety

Collections records will be considered a permanent resource and will be created, handled, and stored using only those materials and procedures that ensure their long-term preservation.

Collections records will be housed in designated, secure locations under the direct supervision of curatorial or collection management staff.

Collection records will be safeguarded from hazards such as fire, water, loss, degradation, theft and vandalism.

Collections Guidelines

Original legal documents and other significant paper based records will be stored in locked, fireproof cabinets.

4.5.2. Backups

Within resource constraints, SUM will aim to progressively digitise or otherwise duplicate information contained in significant paper based records.

The KE EMu database and other electronic records will be backed up at regular intervals, with backups stored in a secure, off-site location. This process will be maintained in cooperation with the University's Information and Communications Technology department.

Digital information will be transferred from superseded systems and file formats into current systems.

4.5.3. Restrictions

Physical access to original collection documentation will only be made available to curatorial and collection management staff. Supervised access may be given to volunteers, interns, and researchers. Additional protections may be made for files pertaining to restricted collections.

A system will be in place for controlling access to the KE EMu collections database to prevent unauthorised modification of data or inappropriate access to confidential or sensitive information.

For guidance on the release of confidential or sensitive information, see section 8.0 Collections Access and Use.

4.6 Implementation

4.6.1. Responsibilities

Documentation is the responsibility of each SUM staff member with collection related responsibilities. Specifically:

- The SUM Director is responsible for ensuring that adequate staff and resources are provided for this essential component of museum business.
- The Collections Manager will maintain database function, as well as collections-related insurance, valuation, inventory and loan records. The Collections Manager will also maintain current information on the location, standards, and retention schedules for backups of all electronically based collections records.
- The Senior Curators are accountable for the maintenance of all accession and deaccession records, as well as cataloguing, research, and exhibition records pertaining to collections within their areas of responsibility.
- The Senior Curators, in consultation with the Collections Manager, are responsible for establishing a documentation plan within their respective collection areas to support these guidelines, to address both new acquisitions and documentation backlogs.
- Collections staff will regularly refine accessioning, cataloguing, and information storage facilities and procedures, to ensure that all documentation is readily accessible to staff and others.
- All senior staff will be responsible for training collections management and curatorial staff in activities pertaining to collections documentation.

4.6.2. Documentation

Documentation of collections will proceed in accordance with the *SPECTRUM Documentation Standard*.

Administrative records relating to the collections and their management will be kept in compliance with the filing standards and procedures of the University's Recordkeeping policy.

4.6.3. Reporting

In accordance with University formal reporting requirements, SUM reports on its collection documentation activities to:

- Internal Audit Office on an annual basis with a "Certificate of Verification of Heritage Assets" for all collections within its care.
- Risk Management Office on an annual basis to confirm updated values for correct insurance coverage.

4.6.4. Review

The SUM Collections Documentation Guidelines will be reviewed every five years.

4.7 Related Documentation

4.7.1. University References

Archives and Record Management Services. (2000). *University Recordkeeping Policy*. Sydney: University of Sydney.

Finance and Accounting Department. (2007). *Heritage Assets: Valuation and Stocktaking Policy and Procedures*. Sydney: University of Sydney.

Macleay Museum. (1996). *Policy and Procedures Concerning the Management of Aboriginal and Torres Strait Islander Ancestral Remains and Culturally Significant Items*. Sydney: University of Sydney.

4.7.2. External References

Aboriginal and Torres Strait Islander Library and Information Resources Network. (1995). *Aboriginal and Torres Strait Islander Protocols for Libraries, Archives and Information Services*. Canberra: ATSILIRN.

International Council of Museums. (2007). *Statement of Principles of Museum Documentation*. Paris: The International Committee for Documentation of the International Council of Museums (ICOM-CIDOC).

McKenna, Gordon and Patsatzi, Efthymia, eds. (2009). *SPECTRUM: The UK Museum Documentation Standard (version 3.2)*. Cambridge, UK: Collections Trust.

Museums Australia. (2005). *Continuous Cultures, Ongoing Responsibilities: Principles and guidelines for Australian museums working with Aboriginal and Torres Strait Islander cultural heritage*. Canberra: Museums Australia (national office).

National Standards Taskforce. (2008). *National Standards for Australian Museums and Galleries (version 1.0)*. Melbourne: Museums Australia (Victoria office).

SECTION 5: COLLECTIONS CARE

5.1 Overview

5.1.1. Definition

Collections care refers to the physical measures taken to minimize conditions that may cause damage to collections. Such measures are based on the principle of preventive conservation, which include the maintenance of controlled and secure environments for storage and display, monitoring for pests, and an emphasis on proper handling and recordkeeping.

Collections care also has a cultural dimension wherein source communities may have an appropriate vested interest in the way specific material is stored, handled, conserved or otherwise maintained.

5.1.2. Purpose

Sydney University Museums (SUM) is committed to preserving its collections for future generations through a conscientious program of collections care. This document establishes the conservation and consultation principles to which SUM will adhere in regard to storing, displaying, conserving, handling, transporting, and maintaining the collections in its care.

5.1.3. Objectives

The objective of these guidelines is to enable Sydney University Museums to align its commitment to physical collections care with the National Standards for Australian Museums and Galleries, which state that:

- The museum makes decisions on preventive conservation based on current conservation advice and practices. (Standard C2.1)
- The museum actively strives to create and maintain an appropriate and stable environment for its collection. (Standard C2.2)
- The museum's display, storage and handling methods minimise risks to its collection. (Standard C2.3)
- The museum makes decisions about conservation treatments based on current conservation advice and practices. (Standard C2.4)

In addition, SUM recognises the obligations of its custodial role for Australian Indigenous heritage items and commits that their management will be in accordance with the principles of consultation outlined in Museums Australia's Indigenous heritage policy, *Continuous Cultures, Ongoing Responsibilities* (2005) and the University's repatriation policy, *Policy and Procedures Concerning the Management of Aboriginal and Torres Strait Islander Ancestral Remains and Culturally Significant Items* (1996). Such principles of consultation will also be extended where possible to other Indigenous source communities.

5.1.4. Scope

These guidelines cover the physical care of objects and specimens from the Sydney University Museums permanent collection and custody collection. University of Sydney Union collections are within the scope of this section in line with the SUM-USU management agreement (2008) regarding collections care. Material on loan will also be subject to these standards and any additional provisions detailed in covering loan agreements.

SUM education collection, reference library, and unaccessioned assets do not fall under these guidelines, nor do collections belonging to other University departments.

5.2 Preventive Conservation

5.2.1. Principles

Preventive conservation principles underpin the collections management practices at SUM, which recognises that preventing damage and minimising deterioration to objects and specimens is easier and more cost effective than remedial action. Through the practice of preventive conservation, SUM aims to limit deterioration of collections due to environmental, human, and inherent factors. Concerns for the preservation of individual objects and specimens are at the heart of any decision relating to their use.

5.2.2. Strategies

Preventive conservation strategies employed by SUM are based on current conservation advice and professional practices, and are integral to all museum activities and procedures, including building works, exhibitions, access, public programs, and storage. The following preventive conservation measures are used to provide proper care of collections:

- Regulated and monitored temperature, relative humidity, and atmospheric pollutants.
- Controlled visible and ultraviolet light levels on light-sensitive items.
- Secure environment with protocols in place for controlled access.
- Integrated pest management program.
- Safe handling and transport of collections.
- Archival storage units and packaging materials that provide a buffer between collections and the environment.
- Routine preventive maintenance, including cleaning and regular building inspections.
- Disaster preparedness and planning (see section 6.0).

5.3 Stable and Secure Environment

As far as possible, SUM will provide a stable and secure physical environment for the range of materials included in the collections.

5.3.1. Environmental Control

Environmental conditions in display and storage areas will be regularly monitored, recorded and assessed in light of the collections' conservation requirements. To the greatest degree feasible, temperature, relative humidity, light, and atmospheric pollutants will be monitored and regulated on an ongoing basis.

Storage and display environments will be improved and upgraded as resources permit, in light of ongoing assessments of the various museum environments and the needs of the collections.

5.3.2. Controlled Access

SUM will provide secure exhibition, storage, and laboratory facilities with controlled access in order to limit damage to or loss of collections.

Collections of notable cultural sensitivity or of pre-eminent scientific value, as well as objects of high commercial value, may be additionally secured to ensure limited access by authorised staff only.

Public galleries will remain attended or locked. Open cases or collections in transit will remain attended. Unattended doors to collection exhibition, storage, or lab areas will remain locked. Doors will not be blocked open or left unlocked.

Access to collection storage areas will be restricted to SUM staff. Volunteers, visitors and contractors must be supervised by SUM staff. Only SUM staff will be issued keys to SUM collection storage areas.

Keys to galleries and collection areas (mechanical or electronic) are the property of the University and are subject to the regulation of the University's Security Systems section. Keys to exhibition cases are the property of SUM and will be subject to regulation by the Collections Manager in consultation with Senior Curators.

5.4 Integrated Pest Management

Pest control aims to prevent damage to both buildings and collections. In line with international best practices, SUM's Integrated Pest Management (IPM) plan focuses on preventive, proactive, and preferably non-chemical means of pest control.

5.4.1. Detection

Pest activity will be monitored by regular inspection of spaces and monitoring traps placed in each collection storage area and exhibition space.

All incoming collection material (acquisition or loan) and packing material will be inspected prior to entering exhibition, storage, research or office spaces.

5.4.2. Physical Prevention

SUM staff will prevent pest activity by:

- Working with University Campus Infrastructure Services (CIS) to maintain environmental controls and building repairs with a view to limiting environments attractive to pests.
- Regularly cleaning and removing rubbish from collection storage and gallery areas.
- Excluding food consumption and food waste disposal from collection storage areas, research rooms and conservation lab.
- Cleaning and removing rubbish from gallery areas immediately following functions.
- Using barriers where possible to prevent insect movement (for example, pest-proof bags or containers to isolate objects or specimens, eliminating bridging in collection areas to limit pest movement opportunities).

5.4.3. Treatments

In the treatment of infested objects or specimens, SUM prefers the use of non-chemical treatments such as freezing and oxygen deprivation. Such treatments will be carried out under the supervision of the Collections Conservator.

Treatment of an infestation in one of the SUM buildings will be applied only by the Pest Contractor and only using approved chemicals that are specified in the pest contract.

5.5 Safe Handling and Transport

Safe handling minimises risk to collection materials and supports their long-term preservation. Safe handling and movement of collections will be practiced at all times in SUM. All collection objects and specimens will be treated with equal care, regardless of their monetary value.

5.5.1. Display

Appropriate supports, materials and techniques will be used for collection items on display.

Archival-quality materials will be used for exhibit mounts and supports where possible and appropriate.

Use of any exhibit construction material that is not of archival quality will require a stable barrier material to be placed between it and collections material.

Display conditions and duration will be governed by the conservation needs of individual items.

5.5.2. Storage

As far as possible, materials used for housing and packaging SUM's collections will be stable, non-reactive, and of archival quality.

Storage units such as cabinets and shelving will be chemically stable and of sufficient strength to support the weight and size of the collections they house.

Packaging materials used to house objects or specimens will be chemically stable and free from acids or additives.

Objects and specimens will be protected as far as possible from passive risks and unnecessary handling. For example, items will not be stored directly on the floor, dust covers will be used to protect larger items, and supports will be given to fragile items.

5.5.3. Handling and Transport

SUM collections will be handled using appropriate equipment (such as gloves, containers, cushions, trolleys) and with sufficient staff to mitigate the risks inherent in handling.

Materials that provide superior cushioning properties may not necessarily be archival but materials that have direct contact with the surface of the object or specimen must be archival.

All objects and specimens will be evaluated individually before they are handled, packaged, or transported in order to determine whether they are sufficiently stable to withstand each activity. Handling, packaging, and transport methods will be chosen based on the individual requirements and sensitivities of each object or specimen.

Damage to an object or specimen in the course of handling or transport will be documented through a formal Incident Report.

Transport of SUM collections will take place in University owned vehicles or those procured through University contract. Use of private vehicles for collection transport will be discouraged.

5.6 Conservation

Sydney University Museums recognises that deterioration or damage may occur to collections even under the best-managed conditions. Conservation may therefore be necessary return deteriorated or damaged material to stability.

5.6.1. Principles

Decisions about conservation treatments will be based on current conservation advice and practices.

SUM endorses the conservation philosophy of minimal chemical and physical intervention to the object or specimen, use of sympathetic materials, the principle of reversibility, the compatibility of materials, and the keeping of complete and accurate records of the conservation process.

Conservation work is undertaken within national ethics, principles, and practices by reputable, trained conservators.

5.6.2. Guidelines

Decisions about appropriate conservation treatments will be evaluated in consideration of the significance and value of the collection item.

The condition of any collection item requiring conservation will be recorded and considered, and a treatment proposal prepared, before any conservation work is carried out.

Records will be kept of all conservation treatments (or restoration activities), including the materials used, who carried out the treatment, and any physical changes to the object or specimen.

Suitable storage and display environments will be chosen for treated collection items, with the aims of maintaining their stability and long-term preservation.

5.6.3. External Contracts

Where possible, conservation treatment will be done by SUM staff. Where specialised expertise is required from external sources, work will be conducted under a well-defined, comprehensive agreement between SUM and the conservator.

5.7 Implementation

5.7.1. Responsibilities

All SUM staff share responsibility for daily collections care, preventive conservation, and security of collection spaces.

To ensure that the highest standards of collections care are maintained, SUM will not delegate collection-related duties to any person lacking the requisite knowledge, skill, and training.

Training in collection care will be made available to all SUM staff and volunteers. Such training will be mandatory for those with direct involvement in handling collections.

5.7.2. Documentation

Records will be kept of conservation assessments, condition reporting undertaken prior and following exhibition or loan, and any restoration work. Information on issues affecting collection items (eg conservation needs, damage) or the collection as a whole (eg leaks, pest infestation, disaster) will be documented according to the University's Recordkeeping Policy and the *SPECTRUM Documentation Standard*.

5.7.3. Reporting

There are no formal University reporting requirements for SUM collections care and maintenance activities.

5.7.4. Review

The SUM Collections Care guidelines will be reviewed every five years.

5.8 Related Documentation

5.8.1. University References

Archives and Record Management Services. (2000). *University Recordkeeping Policy*. Sydney: University of Sydney.

Macleay Museum. (1996). *Policy and Procedures Concerning the Management of Aboriginal and Torres Strait Islander Ancestral Remains and Culturally Significant Items*. Sydney: University of Sydney.

Sydney University Museums and University of Sydney Union agreement for management of the University of Sydney Union Art Collection. Memorandum dated 25 March 2008.

5.8.2. External References

McKenna, Gordon and Patsatzi, Efthymia, eds. (2009). *SPECTRUM: The UK Museum Documentation Standard (version 3.2)*. Cambridge, UK: Collections Trust.

Museums Australia. (2005). *Continuous Cultures, Ongoing Responsibilities: Principles and guidelines for Australian museums working with Aboriginal and Torres Strait Islander cultural heritage*. Canberra: Museums Australia (national office).

National Standards Taskforce. (2008). *National Standards for Australian Museums and Galleries (version 1.0)*. Melbourne: Museums Australia (Victoria office).

SECTION 6: RISK MANAGEMENT

6.1 Overview

6.1.1. Definition

Risks to museum collections are numerous and may include: direct physical forces; fire, water, pests; pollutants; inappropriate climate control standards (light and radiation, incorrect temperature, incorrect relative humidity); and human activity (theft, vandalism, displacement, custodial neglect).

Risk management comprises the mechanisms by which risks to collections are identified, evaluated, limited, managed, or mitigated. Such mechanisms may include: security and environmental protection systems, integrated pest management, disaster mitigation planning, the adoption of best practices, strong procedural and inventory controls, training, and insurance.

6.1.2. Purpose

Sydney University Museums (SUM) recognises risk management as an integral component of its operations at both strategic and operational levels. In line with the University's *Risk Management Policy*, SUM is involved in identifying and minimising risks to its collections, thus reducing potential insurance claims as a result of accident, neglect, theft or loss.

SUM strives to protect its collection from harm by adhering to the highest standard of care in its practices, and in maintaining facilities best suited for meeting its custodial obligations. Specifically, it aims to protect the collection from natural or human caused disasters, and foreseeable and preventable risks, in its own facilities, the facilities of borrowers, or in transit.

In conjunction with section 5.0 Collections Care, these guidelines establish a framework through which SUM aims to control, eliminate or mitigate risks to its collection through means of disaster prevention and preparedness, inventory control, valuation, and comprehensive insurance.

6.1.3. Objectives

The objective of these guidelines is to enable Sydney University Museums to align its collections-related risk management activities with the National Standards for Australian Museums and Galleries, which state that:

- The museum identifies and assesses risks and has strategies in place to manage them. (Standard A2.6)
- The museum conserves, maintains, protects and documents its assets. (Standard A4.3)
- The museum has identified, and is able to respond to, all potential threats to its collection. (Standard C2.5)

In addition, SUM will adhere to the rules, procedures and internal controls as administered by the University's Audit and Risk Management Office (ARM) in managing the risks to its collections.

6.1.4. Scope

These guidelines covers the management of risk that may affect material that is subject to the responsibility and care of Sydney University Museums. This includes SUM collections and collections related property (as defined in section 1.4.4), as well as material on loan to SUM.

The University of Sydney Union (USU) collection and collections belonging to other University departments fall outside the scope of these guidelines.

6.2 Disaster Preparedness

6.2.1. Definition

Disaster preparedness planning is an integral part of risk management. Its goal is to ensure maximum protection for the staff, visitors, buildings and collections by encouraging disaster prevention measures aimed to anticipate and avoid emergencies, and if these fail, by implementing disaster recovery procedures to minimise damage and regain control as quickly as possible. Such recovery requires a high degree of disaster preparedness, with emergency supplies and trained staff available to deal with any threats to the SUM and its collections.

6.2.2. Standards

SUM will maintain its *Disaster Preparedness Plan (2005)* to provide for the care of collections in the event of a museum emergency.

- The plan will be informed by current risk assessments and will address measures to be taken before, during, and after an emergency.
- The SUM Disaster Preparedness Plan will augment guidelines established in the wider University Emergency Plan, detailed in Emergency Management at the University of Sydney and Building Emergency Procedures.
- Disaster preparedness for SUM will emphasize the reduction of risk. Potential threats to the collection will be removed or reduced within the resource limitations of SUM and the University. Disasters will be avoided as far as possible through adherence to collections procedures and preventive measures such as regular inspections and maintenance of facilities, systems, and equipment.
- The SUM Disaster Preparedness Plan will include special provisions for the care of ancestral remains, secret/sacred items, and culturally sensitive information to insure that these restricted collections are managed appropriately in the event of a disaster.
- In accordance with its Disaster Preparedness Plan, SUM will implement a range of systems and structures to minimise risks and aid recovery in the event of a disaster. These measures will include documentation, security, equipment, networks, and training.

6.2.3. Documentation

SUM strategies to reduce the risk of damage to its collections in the event a major or minor emergency are contained its *Disaster Preparedness Plan (2005)*. This plan comprises three parts:

- Disaster Prevention: Specifies steps to minimize the effects of a disaster on the collections, including procedural prevention and disaster preparation.
- Emergency Response: A spiral-bound flip chart detailing emergency response procedures provides quick reference during small or large disasters. This is accompanied by an emergency telephone tree.

- Disaster Response and Recovery: Describes the University and staff response to a disaster, and provides guidelines for the decision-making process, recovery priorities, and salvage planning and procedures.

6.2.4. Security

SUM will provide a suitable and safe environment for the storage and display of its collection and related documentation.

- Regular maintenance and inspections will ensure that SUM's collection storage, gallery, and office areas are kept in good repair.
- SUM collection storage areas, galleries and office areas will meet University fire safety standards. Regular audit and maintenance of fire prevention equipment will be maintained and staff will adhere to fire codes.
- SUM will use appropriate security measures to protect its collections. Electronic alarm systems will control access to secure areas and be regularly maintained. Keys to secure areas will be regulated by the University's Security Systems section.
- Electronic information regarding SUM collections will be retained on the KE EMu database and on designated SUM servers. To protect against fire, theft, or other loss of data, these servers will be monitored and backed up by the University's Information and Communications Technology department.

6.2.5. Equipment

SUM will maintain equipment and supplies dedicated to emergency response.

- Disaster bins provide basic equipment and supplies for the protection of collections in the event of a disaster, and will not be used for any other purpose.
- Disaster bins will be maintained in every collection storage and gallery area, and will remain accessible at all times. Contents will be checked and restocked regularly.
- Larger equipment and spare supplies will be stored in the SUM conservation lab or obtained through the University's Campus Infrastructure Services Department.

6.2.6. Networks

The *SUM Disaster Preparedness Plan* will establish networks of professionals and interested parties who may be called upon to support SUM in the event of a disaster.

- A disaster response team consisting of nominated SUM staff responsible for disaster response and recovery will be identified.
- A current list of contacts for emergencies, including internal and external support networks, and a volunteer register, will be maintained.
- SUM will maintain its membership in the Sydney Curatorial and Custodial Institutions Disaster Preparedness Group.

6.2.7. Training

- SUM will maintain an annual program of staff training in disaster prevention, response, and recovery.
- Training will also include standard operation procedures for exhibition, installation, de-installation, object handling, storage and movement.

- Introduction to the SUM Disaster Preparedness Plan will be incorporated into the SUM staff induction program.

6.2.8. Schedule

The *SUM Disaster Preparedness Plan* will be reviewed annually to ensure that potential threats to the collection are identified through current risk assessments. Evaluation will also occur following each disaster.

As part of the annual plan review, an action list will be created to itemise required actions relating to risk minimisation against agreed time lines.

6.2.9. Accountability

The Collections Manager, in consultation with the Director and Senior Curators, is accountable for ensuring that all staff are appropriately trained in disaster prevention and preparedness, and for maintaining the systems and structures that support the *SUM Disaster Preparedness Plan*. The Collections Manager will be responsible for coordinating the annual review of the *Disaster Preparedness Plan*.

All SUM staff will be responsible for responding to a suspected or identified threat in accordance with the SUM emergency response procedures. All SUM staff will also take reasonable steps to reduce the risk of foreseeable loss or damage to any object or specimen while on SUM premises or in transit.

The SUM Director must be informed immediately in the event of an incident or disaster that threatens life or property.

In a life-threatening situation where an evacuation is ordered, the safety of visitors and staff will be paramount. Removal of collection items will be part of a later phase undertaken only when human safety is assured.

6.3 Stocktaking

6.3.1. Definition

Stocktaking is the physical verification of the presence and location of collection material on a specific date. This type of systematic inventory is intended to check that all objects and specimens can be accounted for, and that they are stored and numbered properly. It brings material that may require conservation treatment to light. It checks the accuracy of the museum's location records and therefore the adequacy of the museum's movement controls.

6.3.2. Standards

SUM will have a plan to obtain and maintain inventory control over its collections. As custodian for a significant portion of University heritage assets, SUM will conduct its stocktaking program in accordance with the Finance and Accounting Department's *Heritage Assets: Valuation and Stocktaking Policy and Procedures*.

Stocktaking of collections is necessary for security purposes, condition checking and maintaining accurate location records. As such, stocktaking is considered to be an integral part of SUM security procedures.

6.3.3. Categorisation

Each object or specimen in the permanent and custody collections will be assigned a priority category based on cultural significance or monetary value in order to monitor the most significant collection material.

6.3.4. Schedule

The collection will be inventoried every five years according to a regularly rotating schedule.

Material assigned a high priority category and all loans will be inventoried annually.

6.3.5. Accountability

The Collections Manager, in consultation with the Director and Senior Curators, is responsible for scheduling and overseeing the stocktaking program, and maintaining accurate records of inventory results in the KE EMu collections database.

Missing objects or specimens will be reported to the SUM Director for action that may involve notification of Security Services, discussion with the University's Office of Chief Accountant, formal investigation, or insurance claim.

6.4 Valuation

6.4.1. Definition

Valuation is the process by which the monetary value of a collection object or specimen is assessed by a qualified appraiser. There are two basic valuation standards: fair market value and insurance replacement value. Fair market value is based on an estimate of what a buyer would pay a seller for a specific item, while replacement value is higher to cover the additional costs involved in locating and purchasing an equivalent item. The University standard is fair market value.

The valuation methodology for the Macleay Museum entomology collection, however, will be based on a recollection calculation that has been accepted by the New South Wales State Audit Office for collections of this type. It is, strictly speaking, neither fair market nor replacement value.

6.4.2. Standards

SUM is custodian for a significant portion of University heritage assets and will conduct its valuation program in accordance with the Finance and Accounting Department's *Heritage Assets: Valuation and Stocktaking Policy and Procedures*.

Regular valuation of the Sydney University Museums collections is necessary for several collection management functions. Current values are required for insurance purposes as well as to satisfy auditing and accounting requirements.

6.4.3. Categorisation

Each object or specimen in the permanent and custody collections will be assigned a priority category based on cultural significance or monetary value to assist in calculating accurate valuations.

6.4.4. Approved Valuers

Valuations will be conducted by independent valuers recognised as experts in the relevant field. Independent valuers will be either independent Sydney University Museum curators or will be selected from the Commonwealth's Cultural Gifts Program annual list of approved valuers.

6.4.5. Schedule

The collection will be re-valued every five years according to a regularly rotating schedule. All collections will be globally re-valued on an annual basis to avoid any material change to values due to the five-year interval.

New acquisitions will be reviewed, assessed, and their value added to the collection on an annual basis.

Objects owned by other institutions on long-term loan to SUM will be subject to the valuation program because their value is calculated as part of the insurance liability of the University's collections.

6.4.6. Accountability

The Collections Manager, in consultation with the Director and Senior Curators, is responsible for scheduling and overseeing the valuation program, and maintaining accurate records of valuations in the KE EMu collections database.

In consultation of the University's Office of the Chief Accountant, SUM will produce an annual "Certificates of Verification of Heritage Assets" to reflect the current value of SUM collections.

SUM will advise the University's Advancement Services of the value of all new donations.

For security purposes, information about individual collection values will not be made available to the public.

6.5 Insurance

6.5.1. Definition

Insurance is a form of risk management primarily used to hedge against the threat of a contingent loss, such as damage or theft. The purpose of insurance is to offer financial protection by insulating the museum from catastrophic monetary loss.

SUM collections are covered by the University's insurance policy, which is administered by the Audit and Risk Management Office whose responsibility is to ensure that adequate and appropriate insurance cover is maintained for University heritage assets.

6.5.2. Standards

The University maintains wall-to-wall coverage for SUM collections and property under its care, custody, and control. Material is therefore insured while on University premises, while in transit, and while in the custody of borrowers as negotiated through loan agreements or other contracts.

For outgoing loans, SUM will require insurance coverage based on an item's fair market value. Insurance must be carried by the borrower and proof of insurance supplied. Alternatively, SUM may maintain its own insurance at the borrower's expense.

Incoming loans will be insured under the University's wall-to-wall policy for the duration of the loan, based on its fair market value as provided by the lender on the incoming loan agreement.

SUM may provide written confirmation of University insurance coverage (a Certificate of Currency) to verify coverage of its legal liability to any third party arising out of its operations, worldwide.

6.5.3. Insurance Types

The Audit and Risk Management Office administers a number of insurance policies and strategies to ensure that University staff, students and property are appropriately covered. Policies pertaining to SUM collections related activities include:

- **Industrial Special Risks:** This policy covers the University's real and personal property and business interruption within Australia and overseas. This policy provides protection against numerous contingencies, including: loss or damage caused by fire, lightning, storm, impact, earthquake, landslip or subsidence; burglary; building failure; costs incurred during the restoration period following loss.
- **Marine Cargo:** This policy covers goods in transit within Australia and overseas. Insured items include research equipment, including items on loan to Sydney University Museums.
- **Public / Product Liability:** This policy covers the University's legal liability for personal injury, property damage, advertising liability and pollution liability.

6.5.4. Limitations

The University's property policy excludes any loss or damage to property due to:

- Reasonable care and attention not being taken to safeguard the property
- Deliberate acts
- Loss or shortage disclosed during stocktake
- Insect, animal or vermin damage
- Deterioration, rust, corrosion, erosion, wear and tear, inherent vice or latent defect
- Fungus, mould or mildew
- Contamination due to the presence of pollution or hazardous material
- Mechanical or electrical breakdown (except by direct lightning damage)
- Terrorism (applicable to overseas assets only)
- Nuclear reaction or nuclear radiation or radioactive contamination

6.5.5. Claims

All claims will be subject to the provisions, conditions and exclusions of the University's insurance policies. All claims will be assessed by Audit and Risk Management to determine whether the claim is covered by insurance and if an excess payment should apply.

- A theft or burglary claim will be accepted only if all reasonable precautions have been taken to safeguard the property.
- An accidental loss or damage claim will be accepted only where an appropriate level of care has been taken. Claims will be accepted only if there have been appropriate procedures set in place and actions taken to prevent the loss from occurring; or due care and attention given to prevent any loss to the property; or the claimant had no control to prevent the loss from occurring.

6.5.6. Accountability

The Collections Manager, in consultation with the Director and Senior Curators, is responsible for maintaining SUM's compliance with the University's insurance requirements.

University insurance policies are renewed annually. For the purposes of renewal, SUM must provide the following information to Audit and Risk Management:

- Current schedule of values for SUM collections
- Estimated value of incoming loans based on forward exhibition schedules
- Items that are within the "care, custody and control" of the University with a value of \$250,000 and above

Insurance records and reports will be maintained in the permanent files.

Any incident that may give rise to an insurance claim will be reported by SUM to Audit and Risk Management Office. Any loss by theft or wilful damage will be reported to the University's Security Service, who will in turn inform the Police.

6.6 Implementation

6.6.1. Responsibilities

Risk management is the responsibility of every SUM staff member. Risks to the collections will be constantly evaluated and assessed by staff. Risks will be eliminated or reduced through proper use of objects, training, use of appropriate materials and equipment, and improvement of facilities. Specifically:

- The SUM Director is responsible for ensuring that a risk management system is in place for SUM.
- The Collections Manager has overall responsibility for the coordination of risk management, for providing staff training, for initiating periodic review of the strategic risks, and for ensuring that contractors adopt a risk management approach commensurate with University policy.
- Senior Curators are responsible for using the information provided to foster a risk management culture in their respective areas of control.

Training in activities pertaining to risk management will be made available to all SUM staff. Such training will be mandatory for those with direct involvement in handling collections.

6.6.2. Documentation

Documentation of all risk management activity will proceed in accordance with the University's Recordkeeping Policy and the SPECTRUM Documentation Standard.

6.6.3. Reporting

In accordance with University formal reporting requirements, SUM reports on its risk management activities to:

- Internal Audit Office on an annual basis with a "Certificate of Verification of Heritage Assets" for all collections within its care.
- Risk Management Office on an annual basis to confirm updated values for correct insurance coverage.

6.6.4. Review

The SUM Collections Risk Management guidelines will be reviewed every five years.

6.7 Related Documentation

6.7.1. University References

Archives and Record Management Services. (2000). *University Recordkeeping Policy*. Sydney: University of Sydney.

Audit and Risk Management Department. (2005). *Risk Management Policy*, Sydney: University of Sydney.

Audit and Risk Management Office. (no date). *University Insurance*. Sydney: University of Sydney.

Finance and Accounting Department. (2007). *Heritage Assets: Valuation and Stocktaking Policy and Procedures*. Sydney: University of Sydney.

Occupational Health and Safety Department. (no date). *Building Emergency Procedures*. Sydney: University of Sydney.

Occupational Health and Safety Department. (no date). *Emergency Management at the University of Sydney*. Sydney: University of Sydney.

Sydney University Museums. (2005). *Disaster Preparedness Plan*. Sydney: University of Sydney. Unpublished policy document.

6.7.2. External References

Cultural Gifts Program. (2009). *List of Approved Valuers*. Canberra: Department of the Environment, Water, Heritage and the Arts.

McKenna, Gordon and Patsatzi, Efthymia, eds. (2009). *SPECTRUM: The UK Museum Documentation Standard (version 3.2)*. Cambridge, UK: Collections Trust.

National Standards Taskforce. (2008). *National Standards for Australian Museums and Galleries (version 1.0)*. Melbourne: Museums Australia (Victoria office).

SECTION 7: LOANS

7.1 Overview

7.1.1. Definition

Borrowing and lending objects and specimens are standard museum practices and require specific procedures to assure appropriate management of collection material. Loans do not involve transfer of title but rather the temporary physical transfer of material between Sydney University Museums (SUM) and other responsible institutions or bona fide individuals. All loans are contracted for a defined period of time and for the stated purposes of exhibition, research, analysis or education.

7.1.2. Purpose

Sydney University Museums recognise that its collections are maintained for the benefit of the wider community and material is loaned to reach broad audiences and facilitate research. Lending material is part of SUM's professional obligation to share its resources with the larger University, museum, and research communities. SUM acknowledges that borrowing collections is also beneficial to its education and research functions as defined by its Mission Statement. These guidelines provides the basis for implementing these functions by establishing guidelines and conditions regarding inward and outward loans.

7.1.3. Objectives

The objectives of these loan guidelines are to enable Sydney University Museums to:

- Make its collections available to the widest possible audience through loan to University partners, external institutions, Indigenous communities, bona fide researchers and other organisations.
- Balance access to its collections with the long-term safety of its collections by defining appropriate conditions and controls under which SUM collection materials may be lent.
- Establish a framework whereby agreements with external custodians of SUM or University collections are clearly articulated and regulated.
- Participate with loan partners in well regulated and documented transactions that have reciprocal benefits for all parties and ensure the safety of loan material.
- Meet national and international standards of collections care and risk management through the appropriate tracking of University property, in line with the ICOM Code of Ethics and the Museums Australia Code of Ethics.

7.1.4. Scope

These guidelines applies to the inward loan of collection material to Sydney University Museums from other administrative units within the University, external institutions, and individuals.

These guidelines also applies to the outward movement of material from the SUM permanent collections.

Outside the scope of these guidelines are items from the custody and education collections, as well as unaccessioned assets or other property, the movement of which will be documented with a tracking receipt.

7.2 Terminology

7.2.1. Loan Agreement

A loan agreement is a signed contract document between the lender and borrower that specifies the purpose and timeframe of the loan, as well as the responsibilities of both lender and borrower concerning the use, care, maintenance and insurance of the loaned material.

7.2.2. Inward Loan

An inward loan is an object or specimen (or group thereof) not owned by SUM that is borrowed from an institution or individual and held on premises owned by or under the responsibility of SUM.

7.2.3. Outward Loan

An outward loan is the loan of material from SUM collections or other property of SUM to an external institution for a purpose independent from SUM (generally for public exhibition or research) and held at a site or venue not part of or the responsibility of SUM.

7.2.4. Furnishing Loan

A furnishing loan is the outward loan of artworks for display in prominent locations within the University to benefit students, staff and visitors to the campus. Furnishing loans are subject to special conditions and administrative procedures.

7.2.5. Internal Loan

An internal loan is the inward or outward loan of material to another administrative unit within the University of Sydney, generally for the purposes of short-term display or research.

7.2.6. Short Term Loan

Short-term loans are generally less than twelve (12) months and are usually associated with exhibitions, public programs or research.

7.2.7. Long Term Loan

Long-term loans are generally of one (1) to two (2) years in length and include material placed for ongoing research purposes or travelling exhibitions. Long-term loans are subject to review at specified intervals.

7.2.8. Condition Report

A condition report is a detailed written description of the observable physical condition of a collection item. The report records specific features of the object or specimen and often includes photographic documentation. Collection material is condition reported when it arrives or leaves for loan, is slated for exhibition or conservation treatment, or as circumstances warrant. If an item is damaged, its condition report will help to determine what damage occurred, and may assist with party disputes and insurance claims.

7.3 General Standards

7.3.1. Principles

- SUM is committed to the maximum utilisation of its own collections provided that the preservation of material is not compromised and its use is consistent with the overall goals and ethics of the University.

Collections Guidelines

- SUM will borrow material where appropriate to augment its exhibition, research, and education activities.
- Ethics
- Only material related to a specific SUM purpose will be accepted for inward loan. Material will not be accepted as a convenience to the lender, either individual or institutional.
- SUM must be satisfied that a valid title is held for all loan material. Loan material will be received only from the legal owner or authorised agent.
- SUM will not participate in loans involving material that is known to have been collected or imported in violation of state, federal or international restrictions, or which may otherwise place the SUM in a compromising legal or ethical position.
- Loans involving restricted material (ancestral remains and secret/sacred items) will be undertaken in line with provisions outlined in the University's repatriation policy.
- Loans involving material covered by protective legislation and international treaties may require appropriate permits or other legal guidelines to be followed, particularly in regard to CITES Convention regulation and the Commonwealth's Protection of Movable Cultural Heritage Act (1986).

7.3.2. Contract Terms

- All collection material entering or leaving SUM premises on a temporary basis will be accompanied by a signed loan agreement detailing the rights and responsibilities of each party.
- Loan agreements will stipulate a fixed purpose and period, and conditions to insure adequate storage, environmental protection, and safety precautions during transit, handling, and use. Issues of insurance and indemnity, copyright and reproduction, and credit lines will also be addressed.
- SUM will respect the conditions set out in the loan agreement.
- No objects or specimens will be accepted or loaned on an indefinite or permanent basis. All long-term loans must be defined for a fixed period and be renewed or recalled as required.
- Withdrawal, termination, or cancellation of the contract by the lender or borrower will be addressed under the terms of the loan agreement.
- SUM will not lend borrowed material to third parties, nor permit borrowers to lend its collection material to third parties, without prior written approval of the owner.

7.3.3. Care and Handling

- Loan material will be in stable condition. No object or specimen will be considered for loan where the circumstances of packing, shipment, handling, storage or exhibition will be detrimental to its well being.
- Loan material will be stored or displayed in appropriate environmental conditions, in places with adequate security and supervision.
- The borrowing institution will provide a Facility Report detailing evidence of adequate security, environmental conditions, insurance and professional standards of care and handling.

Collections Guidelines

- SUM will give loan materials the same care and treatment it provides for its own collection. Similarly, objects and specimens on outward loan must be afforded the same level of care and protection as provided by SUM.
- If the Collections Manager is satisfied that handling procedures at the borrowing institution meet SUM requirements, installation will be the responsibility of the borrower. Otherwise material will be installed at the loan venue under the supervision of SUM staff.
- Loan material may not be cleaned, modified, conserved, mounted, or in any way altered without the express written permission of the lender.
- No loan material will be used for hands-on programs unless specifically loaned for that purpose.
- Loan material may not leave the premises of the loan venue without the express written permission of the lender.
- Loan material must be sent in appropriate containers to give it maximum protection and by the most appropriate method to minimise loss, and taking into account the scientific, cultural and/or commercial value of the item and legal requirements for shipping dangerous or prohibited goods.
- All inward and outward loan material will be condition reported. SUM will use the condition reporting method that originated with the lender. If no condition reports accompany an inward loan, SUM will use its own reporting forms.
- Inward and outward loan material will be inventoried and inspected for condition change and pests. Any inconsistency or change in the condition of the loan material must be reported immediately to the Collection Manager, who will notify the relevant parties, including the insurance company if appropriate.

7.3.4. Insurance

- All inward and outward loans must be insured.
- SUM will cover each inward loan under the University of Sydney policy unless the lender expressly elects to maintain its own insurance cover.
- The borrower will insure outward loan material for the amount specified on the loan agreement. This cover must be wall-to-wall and all risk. The borrower may be asked to provide evidence of the cover before the loan material leaves SUM premises. SUM must be notified of any change in insurance coverage.
- If the borrower is unable to provide insurance for an outward loan, University coverage may be extended to cover the loan in exceptional circumstances. Permission for such exceptions must be sought from the University's Risk Management Office and approved by the SUM Director.
- The value stated on inward and outward loan agreements will be the lender's estimate. For insurance purposes assessment will be based on current fair market value only. SUM staff will not give formal appraisals for inward loan material.
- Borrowed objects unaccompanied by loan documentation are not covered by the University's insurance policy and SUM cannot be held responsible for their safekeeping.
- SUM will not be responsible for the security of privately owned objects held or used by SUM staff members on University premises unless such material is required for SUM purposes and is borrowed as specified in these loans guidelines.

7.3.5. Rights and Reproductions

- Except for condition reports, all photography, reproduction, or replication of inward or outward loan material must be specified in the loan agreement. Requests not specified in the loan agreement must be referred to the lender.
- Members of the public may photograph SUM material on outward loan that is on display for non-commercial private purposes only. Display cases may not be opened or objects handled, and the conservation conditions accompanying the loan may not be contravened.
- Photographs, reproductions, and replicas may only be used for research, exhibition, and educational purposes.

7.3.6. Acknowledgements

- The label and catalogue acknowledgment for inward loans will be in the standard format adopted by SUM. The credit line will read as specified by the lender on the loan agreement. No addresses or advertising material will be included on the label or in the catalogue, special sponsorship agreements notwithstanding.
- SUM must be credited in all publications and exhibitions associated with its collection materials on outward loan. The credit line will read as specified in loan agreement. SUM must receive two (2) copies of any publication.

7.3.7. Costs

- All costs will be specified in the loan agreement.
- SUM will not normally charge fees for outward loans, but reserves the right to recover from the borrower direct costs incurred in relation to the loan activity. Such costs may include research, photography, conservation, insurance, packing, transport, travel and subsistence for couriers, supports and other display requirements, and security.
- The SUM Director must approve loan activities that require a financial commitment by SUM of other than a minimal nature, or obligate SUM to other than normal investment in the care, maintenance, or protection of an object or specimen.

7.3.8. Authority

- Inward and outward loans may be initiated only by SUM curatorial staff with delegated responsibility for this function.
- No loan will be solicited or accepted without timely consultation with the Collections Manager and written approval by the SUM Director.
- No staff member is authorised to accept a 'personal loan' on behalf of SUM.
- Loans will be made only in accordance with these guidelines. The SUM Director may add special conditions to loans as required, provided they are not at variance with the guidelines.
- In cases of disagreement over the fact of a loan or conditions imposed, the SUM Director will determine the issue in dispute, with advice from University General Counsel as necessary.

7.4 Inward Loans

In addition to the general loan standards outlined in section 7.3 above, the following provisions apply to inward loans.

7.4.1. Purpose

SUM may receive short-term or long-term inward loans from institutions or bona fide individuals for the following purposes:

- Display as part of a temporary installation or loan exhibition.
- Research or related educational purposes for stated Museum purposes.
- Assessment with regard to possible donation or purchase.

7.4.2. Loan Agreement

- Loan agreements must be completed for all items borrowed. If the lending institution or individual does not provide a loan agreement, SUM will use its incoming loan agreement to document the transaction.
- Where differences exist between loan conditions, those imposed by the lending institution will take precedence over those of SUM unless otherwise agreed in writing.
- Loan agreements will be signed and exchanged prior to the acceptance of the loan material on SUM premises.
- SUM reserves the right to cancel a loan or remove the loan material from exhibit at any time.
- Loans will be returned to the lending party identified on the loan agreement at the stated address unless an authorised agent of the lender has given notice of change of ownership or location.

7.4.3. Loan Period

- The loan period will be specified and will coincide with the proposed use of the object or specimen.
- Loans no longer required for the purpose for which they were borrowed will be returned to the lender.
- Loan agreements must be issued for all material brought to SUM and held for assessment, regardless of duration.
- Loans will be returned to the lender upon the lender's request even if the agreed loan period has not expired.

7.4.4. Long Term Loans

- Material that falls within the scope of the SUM acquisition guidelines and owned by allied institutions may be accepted on long-term loan, the terms of which will be negotiated individually.
- SUM should endeavour to obtain comparable rights over such material as it has over its own collections in terms of display, conservation, storage, and photography, subject to proper acknowledgment of the owning institution.
- Long-term inward loans will be subject to periodic inspection and review, depending on the terms negotiated with the lender.

7.4.5. Internal Loans

Collections Guidelines

- SUM may borrow material on a short-term basis from other departments and administrative units within the University, generally for the purposes of research or display. Such internal loans will be subject to the same procedures and conditions as loans with external partners, and will be covered under the University insurance policy.

7.4.6. Travelling Exhibitions

- Special exhibitions lent to SUM on contract will be administered by the Collections Manager or designated delegate, and approved by the SUM Director. In accordance with the University's Finance and Accounting Delegations policy, contracts may be referred to the appropriate officer for final approval.

7.4.7. International Loans

- International loans will be subject to the same general conditions and procedures as for loans from within Australia. However, SUM will be responsible for additional costs associated with such a loan, including insurance, freight, customs clearance and if necessary, courier costs. The SUM Director must give written approval for such costs and, in accordance with the University's Finance and Accounting Delegations policy, may refer specific cases for final approval to the appropriate officer.

7.4.8. Abandoned Loans

- Material associated with unresolved or unclaimed loans will be tracked as unaccessioned assets until such time as the University is able to demonstrate superior rights of possession in accordance with the NSW Limitation Act 1969 and through reasonable steps to identify owner or heirs or other possible claimants. At such time, material will be eligible for accession or disposal.

7.5 Outward Loans

In addition to the general loan standards outlined in section 7.3 above, the following provisions apply to outward loans.

7.5.1. Purpose

SUM may loan material on a short-term or a long-term basis to institutions, Indigenous communities, and private organisations for the following purposes:

- Display as part of a temporary installation or loan exhibition.
- Research, destructive analysis, or related educational purposes.
- Conservation, identification, valuation or other examination.

7.5.2. Eligible Materials

- Material considered for outward loan must be registered into the SUM permanent collection.
- SUM will lend material as long as the objects or specimens are stable, in suitable condition for loan, and not designated for other use during the proposed loan period.
- Type specimens and comparable objects will not generally be loaned.
- Restricted material (ancestral remains and secret/sacred items) may only be loaned for analysis.

- Further restrictions on the kinds of materials eligible for loan may be placed based on the nature, rarity, monetary value, research priority, and/or management considerations of the object or specimen.

7.5.3. Loan Assessment Criteria

SUM will generally lend material from its collection provided that:

- SUM receives an application for loan in writing twelve (12) months prior to commencement of the loan agreement. In special circumstances approval may be given by the SUM Director to process loan requests with less notice.
- The borrower meets the costs of the loan, including direct costs such as conservation treatment, exhibition mounting, crating and transport, and courier costs.
- Material requested for loan is eligible in accordance with section 7.5.2 above.
- The borrower can provide appropriate security, environmental and display/storage conditions for the material to be borrowed.
- The borrower agrees to comply with any specific conservation instructions that SUM may impose.
- Any interpretation made of the material by the borrower in displays and display material, publications or research is consistent with the aims and objectives of SUM.
- The borrower can satisfy any other requirements specified under the loan agreement.

7.5.4. Loan Agreement

- No SUM collection material or unaccessioned property will be lent without the completion of an outgoing loan agreement.
- Loan agreements will be signed and exchanged prior to the release of loan material from SUM premises.
- SUM reserves the right to terminate a loan and recall the loan material with notice given to the borrower per the loan agreement.

7.5.5. Loan Period

- The loan period will be specified and will coincide with the proposed use of the object or specimen.
- Collection material will normally be lent on a short-term basis for a period of up to twelve (12) months. The loan period may be extended on application subject to the borrower demonstrating that acceptable standards of care are being met.
- Normally, no material shall be on exhibition loan for longer than one (1) year, or on research loan for more than two (2) years. Travelling exhibitions may warrant a contract for a longer loan period.
- Loans will be returned promptly when the loan period expires. SUM reserves the right to terminate or deny renewal of any loan.

7.5.6. Long Term Loans

- SUM may consider long-term outward loans of collection material to allied institutions with relevant subject expertise, and with facilities and professionalism that approximate those of SUM.

- Long-term loans may be approved for a period of up to two (2) years. Requests for extension may be considered up to a period of five (5) years.
- Long-term outward loans will be subject to periodic inspections by the SUM Collections Manager or delegate.

7.5.7. Internal Loans

- SUM may lend material on a short-term basis to other departments and administrative units within the University, generally for the purposes of research or display. Such internal loans will be subject to the same procedures and conditions as loans with external partners, and will be covered under the University insurance policy.
- For Furnishing Loans within the University, see section 7.6.

7.5.8. Research Loans

- Loans for research purposes will be made to the institution with which the borrowing scholar is affiliated and that institution will assume full responsibility for the proper administration of the loan and the care and security of the loan material.
- Tertiary students will receive loans only when the supervising staff member, as a permanent employee within and representing a bona fide institution, accepts signature responsibility for the loan.
- Loans that will radically alter or destroy an object or specimen through destructive analysis may be permitted only with submission of a research proposal, the written recommendation of the relevant Senior Curator, and the approval of the SUM Director (for details of research access, see section 8.0).

7.5.9. Travelling Exhibitions

- Loans for travelling exhibitions may be approved if SUM is satisfied that all venues conform to the required minimum standards of security and care and that the proposed method of transport will not expose the loan material to damage.

7.5.10. International Loans

- International loans will be released only to approved institutions, consistent with national and international import/export and state and federal heritage legislation. A courier must be engaged for the transport of collection material.
- For courier arrangements, SUM must comply with the travel requirements as outlined in the University's Finance and Accounting Travel policy.

7.5.11. Commercial Loans

- Loans associated with commercial activities may serve promotional as well as educational purposes. SUM may lend collection materials for commercial purposes provided the use of the material is consistent with the University's public purpose, and the borrower is able to meet the conditions of loan set out in these guidelines and in the loan agreement.
- Loans to public or private corporations will be generally restricted to the display of objects or specimens in public areas.
- Commercial loans will be subject to a loan fee and a separate contract to articulate the services provided. All profits derived from commercial loans will be retained for

collection related purposes. Such fees are to be set out in a schedule of fees approved by the SUM Director.

7.5.12. Loans to Individuals

- SUM will not loan collection material to individuals.

7.6 Furnishing Loans

The following provisions are specific to furnishing loans.

7.6.1. Purpose

- SUM may loan artworks from its collection on a short-term basis to other departments and administrative units within the University for display in prominent locations within the University to benefit students, staff, and visitors to the campus.
- Loans for campus display will be undertaken according to the SUM furnishing loans guidelines, University Art Collection Furnishing Loans Conditions and Procedures.

7.6.2. Loan Agreement

- An outward loan agreement will accompany every furnishing loan, stipulating the purpose, timeframe, and conditions of the loan.

7.6.3. Loan Period

- Furnishing loans shall be for a period of one (1) year unless otherwise negotiated with the Collections Manager.

7.6.4. Care and Handling

- Collections will only be released on furnishing loan after the environmental and security conditions of the display space have been assessed by SUM staff and found to be appropriate.
- Collections on furnishing loan remain the responsibility of SUM and will be handled, removed or replaced only at the discretion of SUM staff.
- Collections on furnishing loan will be subject to a regular inspection and condition assessment.

7.6.5. Insurance

- Collections on furnishing loan remain on University premises and therefore will be covered by the University insurance policy.

7.6.6. Costs

- SUM will not charge for furnishing loans, but will recover direct costs incurred, such as display requirements and supports, transport, and installation.

7.7 Implementation

7.6.7. Responsibilities

Collections management and curatorial staff cooperate closely to implement the SUM loan program. Loans will be initiated by the relevant Senior Curator and transmitted in writing to the Collections Manager for processing. The Collections Manager will be responsible for the overall administration and monitoring of loan program, including loan agreements and

contracts, conservation assessment (facilities reports and condition reports), insurance matters, packing and transportation. All loans and approval of associated costs are by the authority of the SUM Director.

7.6.8. Documentation

All loan activity will be documented in files and in the KE EMu database according to the University's Recordkeeping Policy and the SPECTRUM Documentation Standard.

7.6.9. Reporting

In accordance with University formal reporting requirements, SUM reports to:

- Office of the Provost on a regular basis regarding statistics on visitation, teaching use of collections, research enquiries, internship and other student participation, loan activity, and new acquisitions.

7.6.10. Review

The SUM Collections Loans guidelines will be reviewed every five years.

7.8 Related Documentation

7.6.11. University References

Archives and Record Management Services. (2000). *University Recordkeeping Policy*. Sydney: University of Sydney.

Finance and Accounting Department. (2007). *Finance and Accounting Manual Delegations for Specific Activities and Financial Delegations*. Sydney: University of Sydney.

Finance and Accounting Department. (2008). *Finance and Accounting Manual Travel Policy*. Sydney: University of Sydney.

Macleay Museum. (1996). *Policy and Procedures Concerning the Management of Aboriginal and Torres Strait Islander Ancestral Remains and Culturally Significant Items*. Sydney: University of Sydney.

Sydney University Museums. (2008). *University Art Collection Furnishing Loans Conditions and Procedures*. Sydney: University of Sydney.

Sydney University Museums and University of Sydney Union agreement for management of the University of Sydney Union Art Collection. Memorandum dated 25 March 2008.

7.6.12. External References

Commonwealth of Australia. (1999). *Environment Protection and Biodiversity Conservation Act 1999* (EPBC 1999). Canberra: Department of the Environment, Water, Heritage and the Arts.

Commonwealth of Australia. (2005). *Protection of Movable Cultural Heritage Act (Act No. 11 of 1986, as amended 2005)* (PMCH 1986). Canberra: Department of the Environment, Water, Heritage and the Arts.

International Council of Museums. (2006). *ICOM Code of Ethics for Museums*. Paris: ICOM.

International Union for Conservation of Nature. (1975). *Convention on International Trade in Endangered Species of Wild Flora and Fauna* (CITES)

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McKenna, Gordon and Patsatzi, Efthymia, eds. (2009). *SPECTRUM: The UK Museum Documentation Standard (version 3.2)*. Cambridge, UK: Collections Trust.

Museums Australia. (1999). *Code of Ethics*. Canberra: Museums Australia (national office).

State of New South Wales. (1969). *Limitation Act 1969 (No. 31, as amended 2009)*. Sydney: Office of Parliamentary Counsel.

SECTION 8: ACCESS AND USE

8.1 Overview

8.1.1 Definition

Access to museum collections may be defined as the various ways in which collections and associated data are made available to museum audiences and stakeholders in order to achieve the objectives of the museum as set out in its mission. Means of access include exhibitions, research and education activities, internet access, loans and response to public enquiries.

Museums have a particular responsibility for making collections and associated documentation available as freely as possible, while having regard to constraints that may arise from preservation, legal or ethical concerns.

8.1.2 Purpose

Sydney University Museums (SUM) recognises that its collections exist to advance the teaching, learning, research, and community engagement goals of the University. These goals are achievable only if objects and specimens are made available for research, education, and exhibition. At the same time, SUM holds collections in the public trust, and their use must be monitored carefully so as to protect them from misuse, and to maximise their future usefulness. The purpose of these guidelines is to establish a system whereby SUM is able to make its collections as widely available as possible to the University's students, staff and wider communities, within conservation, resource, and other appropriate limitations.

8.1.3 Objectives

The objectives of these guidelines are to enable Sydney University Museums to:

- Standardise its collections access and use provisions and align them with professional best practices, as outlined by ICOM and Museums Australia.
- Address the expectations and needs of collection audiences by providing tailored access where possible and appropriate.
- Balance access to collections and associated documentation with their long-term safety.
- A related objective is to enable SUM to align its own exhibition and educational activities with the National Standards for Australian Museums and Galleries, which state that:
 - The museum selects significant collection areas, stories or themes to highlight, based on what is most relevant to its purpose and audiences. (Standard B2.1)
 - The museum's exhibitions, activities and events are based on sound research and current museological practices. (Standard B2.2)
 - The museum's exhibitions, activities and events actively encourage lifelong learning. (Standard B2.3)
 - The museum makes its collection accessible in digital formats and in online environments, as resources permit. (Standard C1.5)

8.1.4 Scope

This guidelines section focuses on the access to and use of the permanent, custody, and education collections, as well as associated documentation. It should be read in close conjunction with section 5.0 Collections Care and section 7.0 Loans.

Collections-related property such as unaccessioned assets and the reference library fall outside the scope of these guidelines, as does access to the University of Sydney Union (USU) collection and collections belonging to other University departments.

8.2 Principles

- SUM collections are developed, managed, and conserved for use in research, exhibits, and education programs for public and academic audiences. To ensure these collections will be available for use in the future, utilisation will be balanced with current preservation standards and practices.
- In accordance with its mission, SUM will encourage access to its collections for purposes consistent with the SUM mission and the overall goals of the University.
- Access to collections will include access to objects and specimens, as well as associated data and images.
- SUM aims to evaluate the needs of its collection audiences and where appropriate provide services tailored to different categories of user, such as researchers, teachers and students, community stakeholders, and the general public.
- SUM will endeavour as far as possible to provide collection access in accordance with the University's commitment to equal opportunity, and its specific policy on Discrimination Prevention (2000).
- In providing access to its collections SUM will act in accordance with the ICOM Code of Ethics and the Museums Australia Code of Ethics.
- In providing access to its collections SUM will uphold its legal and ethical responsibilities to protect intellectual property and moral rights, as specified in the Australian Copyright Act 1968 (amended 2005), the NAVA Code of Practice for the Australian Visual Arts and Craft Sector (2004), and the Australian Copyright Council guidelines (2005).
- Practices for providing access to Indigenous Australian collections and associated information will adhere to the national Museums Australia Indigenous heritage policy, Continuous Cultures, Ongoing Responsibilities (2005), the Aboriginal and Torres Strait Islander Protocols for Libraries, Archives and Information Services (1995), and the University's repatriation policy, Policy and Procedures Concerning the Management of Aboriginal and Torres Strait Islander Ancestral Remains and Culturally Significant Items (1996).
- SUM expects that all researchers who make use of collections will adhere to any legal or ethical restrictions on research imposed by SUM or the University, and that they will operate in accordance with the established legal, ethical and academic practices of the field in which they are working.
- Access to or use of the collections will be free in most circumstances. SUM, however, will be required to recover costs for requests that have undue impact on museum resources, or for special exhibitions or programs. SUM will charge for images usage, and also reserves the right to charge a fee for projects with commercial purposes.

8.3 Information Access

8.3.1 Audience

Access to information contained in collection documentation will be available to the public, with the exception of the restrictions outlined in section 8.3.5 below.

In addition to the information made available to the public through publications and exhibitions, SUM will make collection information available to online audiences, and respond to public enquiries and image requests.

8.3.2 Public Enquiries

Written, and/or photographic information on specific objects, specimens, or collections will be made available to the public upon written request, within the following provisions:

- Public access to information held in SUM collection records will be governed by the standards of the University Archives and Records Management Services (ARMS), which ensure University compliance with freedom of information and privacy legislation.
- SUM will endeavour to answer all requests for information about the collections in a timely manner.
- These guidelines shall not be interpreted so as to impose upon SUM a duty to locate and provide detailed information not readily available through its collection management system, other current records, or the resources readily available onsite.

8.3.3 Image Requests

Use of authorised collection images for research, exhibit, publication, programming, and publicity serves to share SUM collections more widely. Images will be made available upon written request, within the following provisions:

- Collection images should not be used in any situation that is without value or merit or which compromises the integrity of SUM.
- The relevant Senior Curator will be responsible for determining whether and how an image of a collection item may be used. Such decisions must be made with due concern for appropriateness of use, security of information, quality of reproduction, and any applicable considerations regarding copyright or moral rights.
- Images may generally be used mainly for research, exhibition, and educational purposes. Requests for use as part of family history research, for use in publication or for commercial purposes will be approved on a case-by-case basis after consideration of the nature of the intended use.
- Written permission in the form of a signed Rights and Reproductions Agreement must be obtained from SUM to use reproductions in any publication or product.
- SUM will only grant reproduction permission for materials in which it is the copyright holder or for which there are no restrictions in terms of intellectual property rights. When copyright is not held by SUM, requesters will be required to seek permission from the copyright holder directly.
- An image usage and reproduction fees will be charged in order to compensate SUM for its cost in processing the request.

8.3.4 Online Access

Digital technology and the network capabilities of the Internet expand the possibilities for the presentation of information about SUM collections. SUM aims to expand audience access to the collections and associated research via the Internet within the following provisions:

- SUM will explore opportunities as resources permit to digitise collection records and information about significant collections in order to make them available online.

- Legal and ethical requirements will be addressed as part of any SUM collection digitisation program, including adherence to laws regulating privacy, copyright, intellectual property, moral rights, and culture-specific sensitivities.
- Digitised material will be accompanied by sufficient information to allow for continuing access, future re-use and ongoing preservation. Accompanying information may include acknowledgements, captioning, metadata, and permissions or restrictions associated with rights management.
- Digitisation procedures will be designed to minimise the risk of damage to collection items or associated documentation.
- SUM will develop strategies to ensure that digitised material is protected from unauthorised duplication and distribution.
- Digitised material will be presented to online audiences in ways that account for different abilities, requirements, and technology access.

8.3.5 Restrictions

SUM will have the discretion to refuse to supply information that would constitute an invasion of the personal privacy to parties associated with the collection, or in any way endanger the safety of the collections. Confidential or sensitive information will be released only in line with University Policy and with approval of the SUM Director, and may include:

- Names of donors and lenders who wish to remain anonymous.
- Personal or contact information for all donors, former owners, and lenders.
- Storage locations of collection material.
- Individual collection values.
- Transport schedules for collection material.
- Information about culturally sensitive objects that has been restricted in consultation with traditional owners, custodians or source communities.

8.3.6 Accountability

Staff will be accountable for facilitating, tracking, and controlling informational access to the collections.

8.4 Physical Access

8.4.1 Audience

Physical access to the collections will be permitted for bona fide research, educational, or traditional cultural purposes. Enquirers will be regarded as bona fide unless there is reason to believe that there is an intention to contravene the law or codes of ethics by which SUM manages its collections.

Members of the public and the press shall not normally be permitted in collection storage areas.

8.4.2 Permission

SUM will endeavour to facilitate reasonable access to exhibited or stored collections, and will regulate physical access using the following guidelines:

- Enquirers requesting physical access to collections must do so in writing and include a reason for requiring access and details of the specific items required for inspection. Students must provide a supporting letter of reference from a faculty supervisor, who will then be responsible for the student.

Collections Guidelines

- Requests to use SUM objects in traditional cultural contexts will be considered on a case-by-case basis.
- Senior Curators will determine what constitutes reasonable access, taking into consideration the nature of the request, the potential risks to objects, the demands on staff time, and the museum resources involved in fulfilling the request.

8.4.3 Controlled and Supervised Access

SUM will maintain controlled, supervised access to the collections using the following guidelines:

- No visitor will be allowed into any of the collection storage areas unsupervised. Visitors, researchers, and students who require access to collection materials shall be accompanied at all times by staff.
- Visitors who need to handle objects and specimens will be advised on how to do so carefully and safely.
- Wherever possible, SUM will make available a secure work area separate from the collection storage areas where visitors will have access only to the objects or specimens requested.
- Tours of collection storage areas will be accompanied by SUM staff members on a ratio of at least one (1) staff member for each ten (10) visitors.

8.4.4 Restrictions

Physical access to the collections will be permitted, subject to the following restrictions:

- Access must not compromise collections' physical integrity, nor violate any associated ethical or confidentiality considerations, nor unduly interfere with the normal operations of SUM.
- Special attention will be given to controlling access to fragile, valuable, or culturally sensitive material.
- Collection items containing hazardous substances must be handled in accordance with the University's OH&S policy.
- Collections items that are categorised as prohibitive weapons must be accessed in line with the NSW Government's Weapons Prohibition Act 1998
- Access to and use of all human biological material in SUM collections will take into the ongoing feelings of the community of origin of such material.
- Sensitive ethical issues will be considered in providing access to Indigenous Australian ancestral remains and secret/sacred objects. Access to such material will be subject to approval of an appropriate Indigenous community representative, consistent with the University's repatriation policy, *Policy and Procedures Concerning the Management of Aboriginal and Torres Strait Islander Ancestral Remains and Culturally Significant Items* (1996).
- Permission to sketch or take reference photos of collection material or storage areas must be sought in advance.

8.4.5 Accountability

Staff will be accountable for facilitating, tracking, and controlling physical access to the collections.

8.5 Research

8.5.1 Audience

Collections research at SUM is vital to the educational and research mission of the University. Legitimate research may be for scholarship, exhibition, education, or other interpretive purpose, or to support cultural traditions.

Interpretive research and scholarly activity may be conducted by members of the SUM staff, University faculty and students, as well as bona fide external researchers.

8.5.2 General Guidelines

SUM supports and encourages collections research and will endeavour to facilitate supervised access to its collection and associated data in every way consistent with their security and safety. Access for research will be guided by the following provisions:

- Requests for research access to collections will be granted at the discretion of the relevant Senior Curator.
- Access to collections for research purposes will be controlled by a research design.
- SUM recognises that collection interpretation and research will benefit from the involvement of source communities, who may improve or add to information about relevant material in the collections. SUM will support efforts to involve source communities in collections research and will ensure that research involving Australian Indigenous collections complies with the Australian Institute of Aboriginal and Torres Strait Islander Studies *Guidelines for Ethical Research in Indigenous Studies* (2000).
- Intellectual property created by University staff, students, or external researchers will be subject to the University's Intellectual Property Rule (2002), as referred to in the University's Code of Conduct.
- SUM must be credited in all publications and interpretive material resulting from research of its collections. SUM will request two (2) copies of any publication for addition to the permanent record of the collection item.
- Research projects of sufficient scope to impact SUM resources or staff time will be subject to a written contract agreement between SUM and the researcher(s) that specifies the scope and timeframe of the project, as well as the level of collection access granted, level of staff time allocated, intellectual property rights, and any compensation arrangements.

8.5.3 Destructive Analysis

This relates to all permanent collection except Macleay Museum's entomology collection.

Research access to collections may involve requests to carry out destructive analysis. Such analysis will only be available to samples already separated from a permanent collection item, or easily accessible without invasion of destruction to the integrity of the object.

- Requests to use destructive analytical techniques will require submission of a research proposal that includes a detailed justification for the necessity of this type of analysis. Requests will be evaluated on the scientific value of the analysis and an assessment of the impact of the analysis on the integrity of the object or specimen.

Collections Guidelines

- Requests for destructive analysis will be considered on a case-by-case basis and permitted only with the written recommendation of the relevant Senior Curator and the approval of the SUM Director.
- Destructive analysis of entomology collection items are only available within guidelines and only for non-type material.

8.5.4 Internal Research

Collections documentation and interpretation, and the publication of research findings are a primary function of SUM. Such activity will be given highest priority by its curatorial staff, who will operate within the following guidelines:

- Collections research by museum staff will relate to SUM's mission and support the identified priorities outlined in the individual collection development plans (referred to in section 2.4 Collecting Priorities).
- In relevant activities relating to collections and exhibition research, SUM staff members will act in accordance with the University of Sydney Research Office established guidelines on animal and human research ethics.
- Collections research conducted by SUM staff while executing their employee responsibilities will be considered the intellectual property of the University. Exceptions intended to insure academic freedom and scholarly opportunities are delineated in the University's Intellectual Property Rule (2002), as referred to in the University's Code of Conduct.

8.5.5 Restrictions

The SUM Director will reserve the right to suspend, modify, or terminate the research or scholarly activities of SUM staff, University staff, or external researchers. Adequate cause for such action includes but is not limited to the following:

- Demonstrated evidence of professional incompetence, supported by documentation.
- Continuing or repeated substantial neglect of professional responsibilities.
- Professionally unacceptable activity in the conduct of scholarly work (eg plagiarism, research fraud).
- Endangerment of collections material beyond professionally acceptable limits.
- Creating a health or safety hazard for SUM staff, volunteers, or visitors.

8.5.6 Accountability

Curatorial staff will be accountable for facilitating, tracking, and documenting collections research in their respective collection areas.

8.6 Exhibition

8.6.1 Audience

An exhibition is the process of presenting one or more objects or specimens with accompanying interpretive and educational materials for the purpose of informing, inspiring, and enlightening a defined audience.

SUM recognises that exhibitions are the most frequent use for objects and specimens from its collection, as well as the most tangible way in which most of its audiences access the collections and associated research.

Through the exhibitions program, SUM aims to retain its core audience, encourage repeat visits, and build new audiences.

8.6.2 General Guidelines

SUM aims to make its collections and associated research accessible through the presentation of a balanced, coordinated exhibition program guided by the following provisions:

- The exhibition program will consist of well-researched and interpreted exhibitions that relate to the SUM mission, promote innovative approaches to their subjects, and address the learning needs of diverse audiences.
- The exhibition program will combine long-term displays with regularly rotating shorter-term exhibitions.
- Exhibitions developed from SUM collections will be augmented by loans from institutions and individuals, collaborative projects with contemporary artists and other practitioners, and travelling exhibitions.
- The program may coordinate exhibitions thematically across the three museums and consider opportunities for exhibition programming as part of University activities or city / state / national events.
- The program will take advantage of the diverse curatorial skills on staff, as well as invite collaboration with community, research, and institutional partners.
- SUM will endeavour to share its research and scholarship with its audiences through production of published material to accompany exhibitions (brochures, catalogues and web-based material). These will enhance audience access and provide a permanent record of the exhibition and associated research investment.
- Appropriate formal and informal educational programs and resources will be developed to support individual exhibitions. See section 8.7 Education and Public Programs.
- SUM exhibitions will not endanger the health and safety of staff, volunteers, or visitors.

8.6.3 Interpretation

Interpretation refers to the many ways in which an exhibition conveys information about the objects and specimens on display to the visitor, including design, thematic structure, text and supporting educational material. The interpretation strategy for each exhibition will be appropriate for the tone, meaning, and target audience of each exhibition, but will be guided by the following:

- SUM will select exhibition themes based on merit and scholarship.
- Exhibitions will reflect SUM research of significant stories, themes and collection areas, from the past and present, and from a range of perspectives.
- SUM will ensure that information in its exhibitions is clear, honest, objective, accurate, non-discriminatory, and reflective of differing points of view and any uncertainty about facts.
- Presentation of information will align with the spirit of the University's Code of Conduct
- All information and interpretation presented in SUM exhibitions will be well researched and appropriately acknowledged (including sources, references, and copyright).

- Objects and specimens on public display will be labelled with at least the following minimum of information: title, maker, origin, , date, and registration number.
- Labels will make clear to visitors that replicas, reproductions and props used in display are not original objects.
- SUM will ensure that interpretation of objects on display shows respect to the wishes of the ethnic group(s) from which that object originates, and sensitivity to any religious or cultural restrictions that may apply.

8.6.4 Design

Design of exhibitions includes the selection of collection material, the overall layout, and the communication of themes through the presentation of collections, images and text.

- Exhibitions will be well designed and enhance the accessibility and clarity of information developed for visitors. Text will be clear, well organised and concise.
- Objects and specimens on display will be arranged to convey significant collection areas, themes, stories, and ideas.
- No object or specimen will be placed on display if, in the opinion of the Conservator or relevant Senior Curator, the condition of that item would be seriously impaired. Similarly, material may be removed from display upon the recommendation of the Conservator or relevant Senior Curator.
- The design, materials, and equipment used in exhibitions will place the highest priority on the preservation of objects and specimens.
- Exhibitions will be designed with consideration toward the requirements of the SUM integrated pest management program.
- Exhibition of art works will respect the installation requirements of artists whose work is on display.

8.6.5 Organisation

The exhibition program will be organised through the following planning processes:

- The SUM exhibition schedule will be established no less than twelve (12) months in advance to accommodate the scheduling of staff resources, loan requirements, and the coordination of three rotating galleries.
- Exhibition proposals will be the formal mechanism through which new exhibition ideas are put forth and selected. Proposals will specify: project description, objectives, relevance to SUM mission, collection list, loan requirements, project personnel and partners, space requirements, timeframe, budget, promotion strategy, and evaluation plan.
- Formal agreements for inward loans will be undertaken in a timely manner, as detailed in section 7.0 Loans.

8.6.6 Accountability

Curatorial and collections staff will cooperate closely to implement the SUM exhibitions program. Staff will be accountable for the following general duties:

- The Senior Curators, with assistance from curatorial staff, will be responsible for originating exhibitions in their respective galleries and producing them within time and budgetary constraints.

- The Exhibitions Officer and Senior Curators will coordinate closely with the Collections Manager will be accountable for maintaining the overall exhibition schedule, ensuring that it is resourced and well-coordinated
- The Exhibitions Officer, with the support of the Collections Manager and curatorial staff, will be responsible for the management and installation of all exhibits.
- The Collections Manager, in consultation with the relevant curatorial and collections staff, will be responsible for monitoring the care, preservation, and security of material on exhibit, whether on inward loan or from SUM collections.
- The Manager of Education and Public Programs with the support of the curatorial staff and the exhibition officer is responsible for supporting public and educational programs.
- The SUM Director will have final approval of the exhibition schedule, related public programs, and budgets.

8.7 Education and Public Programs

8.7.1 Audience

As part of the University, SUM has teaching and learning at the heart of its work and recognises that its collection affords a unique opportunity for students and visitors of all ages to study original objects and specimens.

SUM will facilitate reasonable requests for supervised access to collection material for use in the University's undergraduate and graduate curricula.

As part of its community engagement goals, SUM will offer a wide range of effective and enjoyable educational and public programs that engage, inspire, and interest visitors with a diverse range of backgrounds and abilities.

8.7.2 General Guidelines

SUM education and public programs aim to promote SUM collections and provide gallery and classroom based learning opportunities that are tailored for specific audiences and needs. They will conform to the following provisions:

- Education and public programs will encompass all collection areas (antiquities, art, ethnography, history and natural history), reference material on display, and use the education collection as appropriate.
- Education and public programs will relate to SUM's mission and support the identified themes and priorities outlined in the individual collection development plans (referred to in section 2.4 Collecting Priorities).
- SUM education activities will support the New South Wales school curriculum with appropriate programs for Kindergarten to Year 12 school students. Collaborations will be sought with other University departments to develop collection-based learning opportunities for tertiary students.
- Public programs will aim to encourage wider audience access to SUM collections and associated learning opportunities. A variety of methods will be used to present stories, exhibition themes, and the collection. Diverse audiences will be given opportunities to respond and get involved.
- SUM education and public programs will be developed and implemented through collaboration and consultation with collection stakeholders, including source communities, artists, donors, and researchers. Evaluation with visitors from a diverse

range of backgrounds and abilities will be used to improve programs and inform future planning.

- Education and public programs will be conducted by staff whom are experienced practitioners in their respective fields, and trained to assist audiences in developing their skills of analysis and interpretation.
- SUM will create an environment that supports learning and access for all visitors, removing barriers to physical, intellectual, sensory, economic and cultural access to the collections.

8.7.3 Education Collection

The Education Collection (as defined in section 1.4.4) is used to support SUM teaching functions through its hands-on education and public programs, and will conform to the following provisions:

- The Education Collection is largely comprised of duplicate or unprovenanced material deaccessioned from the permanent collections, or items of lower significance. Considered 'consumable' by virtue of its use, its standard of care is intended to prolong its functional life. Items in the education collection will be clearly identified in a separate register.
- No loan material will be used for hands-on teaching purposes unless specifically loaned for that purpose.

8.7.4 Accountability

The Manager of Education and Public Programs, in cooperation with the relevant Senior Curator, is accountable for coordinating and implementing the education and public programs.

The Education Collection will be maintained by the Manager of Education and Public Programs, in consultation with the relevant Senior Curator and the Collections Manager.

8.8 Photography, Filming, Sketching

8.8.1 Public Photography

Photography of collections on display in public galleries will be allowed under the following circumstances:

- Members of the public may photograph SUM collections on display for non-commercial private purposes only. Visitors who wish to take photographs for educational purposes or other special uses must obtain permission.
- Photographs may be taken using available light the galleries. The use of flashes, extra lighting, tripods or their equivalents, will not be permitted. Display cases will not be opened or objects handled.
- Restriction on photography will be indicated by signage, for example in the case of copyright or loan contract agreements.

8.8.2 Professional Photography and Filming

Photography or filming of collections by professional photographers or media representatives will be allowed under the following circumstances:

- Permission must be obtained to professionally photograph or film in the galleries.

- Flash photography, tripods and video cameras will be allowed only through special arrangement.
- Installation views of the galleries will be permitted. SUM will provide authorised images of individual objects or specimens if needed for publicity purposes.
- Requests to temporarily close galleries to the public during photography or filming will be evaluated on a case-by-case basis. Access to emergency exits must remain open at all times.
- An SUM staff member must be present during professional photography or filming. Collection items may be handled only by SUM staff.
- Fees for special photography or filming may be set on a case-by-case basis, taking into account staff time and the nature of the photography.

8.8.3 Sketching

Sketching of collections will be allowed under the following circumstances:

- Visitors, artists, or researchers who wish to sketch individual items for educational purposes or other special uses must obtain permission.
- No equipment, including drawing horses, may be left unattended at any time.
- Additional restrictions may be placed on materials on loan, or sensitive items.

8.8.4 Accountability

Curatorial staff will be accountable for facilitating and tracking photography, filming, and sketching requests and permissions:

- Permission must be obtained for publishing, professional reproduction or any other commercial use. Refer to section 8.3.2 for information about providing access to SUM authorised collection images.
- SUM staff will be mindful of the legal and moral rights of original makers of collection material in assessing requests for permission to sketch, photograph or film.

8.9 Implementation

8.9.1 Responsibilities

All staff will cooperate closely to provide appropriate access to SUM collections and associated information. Accountability for specific types of access is referenced in individual sections above. In general:

- The SUM Director is responsible for ensuring that the SUM collections access program meets the highest ethical and professional standards. Final approval of costs associated with providing collection access is by the authority of the SUM Director.
- Senior Curators will approve, facilitate, monitor, and document all access and use of collections within their areas of responsibility, in consultation where necessary with the collections management and education program staff.
- All senior staff will be responsible for training collections management and curatorial staff in activities pertaining to collections use and access.

8.9.2 Documentation

Complete records must be kept regarding the use of and access to SUM collections in order to maintain collection documentation, meet University reporting requirements, track fees charged for certain services, and continually improve museum operations. Documentation of collection use and access activity will proceed in accordance with the University's Recordkeeping Policy and the SPECTRUM Documentation Standard.

8.9.3 Reporting

In accordance with University formal reporting requirements, SUM reports on its collection access and use activities to:

- Office of the Provost on a regular basis regarding statistics on visitation, teaching use of collections, research enquiries, internship and other student participation, loan activity, and new acquisitions.

8.9.4 Review

The SUM Collections Access and Use guidelines will be reviewed every five years.

8.10 Related Documentation

8.10.1 University References

Archives and Record Management Services. (2000). University Recordkeeping Policy. Sydney: University of Sydney.

Human Resources Department. (2008). Code of Conduct. Sydney: University of Sydney.

Macleay Museum. (1996). Policy and Procedures Concerning the Management of Aboriginal and Torres Strait Islander Ancestral Remains and Culturally Significant Items. Sydney: University of Sydney.

Research Office. (no date). Ethics (Human Research Ethics and Animal Ethics). Sydney: University of Sydney.

Student and Staff Equal Opportunity Unit. (2000). Discrimination Prevention Policy. Sydney: University of Sydney.

University Senate. (2006). University of Sydney (Intellectual Property) Rule 2002 (as amended). Sydney: University of Sydney.

8.10.2 External References

Aboriginal and Torres Strait Islander Library and Information Resources Network. (1995). Aboriginal and Torres Strait Islander Protocols for Libraries, Archives and Information Services. Canberra: ATSILIRN.

Australian Copyright Council. (2005). Galleries & Museums: A Copyright Guide. Redfern: Australian Copyright Council

Australian Institute of Aboriginal and Torres Strait Islander Studies. (2000). Guidelines for Ethical Research in Indigenous Studies. Canberra: AIATSIS.

Commonwealth of Australia. (1968). Australian Copyright Act 1968 (No. 28, as amended 2007). Canberra: Office of Legislative Drafting and Publishing.

International Council of Museums. (2006). ICOM Code of Ethics for Museums. Paris: ICOM.

McKenna, Gordon and Patsatzi, Efthymia, eds. (2009). SPECTRUM: The UK Museum Documentation Standard (version 3.2). Cambridge, UK: Collections Trust.

Museums Australia. (1999). Code of Ethics. Canberra: Museums Australia (national office).

Museums Australia. (2005). Continuous Cultures, Ongoing Responsibilities: Principles and guidelines for Australian museums working with Aboriginal and Torres Strait Islander cultural heritage. Canberra: Museums Australia (national office).

National Association for the Visual Arts, Ltd. (2004). The Code of Practice for the Australian Visual Arts and Craft Sector. (2nd ed.). Potts Point: NAVA. (<http://www.visualarts.net.au>)

National Standards Taskforce. (2008). National Standards for Australian Museums and Galleries (version 1.0). Melbourne: Museums Australia (Victoria office). Retrieved 7/5/2009, from http://www.collectionsaustralia.net/sector_info_item/107