

**Curatorial Facility
Certification Program**
Benchmarking Excellence

Handbook

January 25, 2007

Table of Contents

About the Texas Historical Commission and the Curatorial Facility Certification Program	4
Curatorial Facility Certification Program Process Overview	6
Certification Required Elements	8
Certification Required Elements.....	8
Annual Reporting Form.....	8
Agreement for Approved Categories of Objects	8
Certification Benefits	10
Characteristics of a Certified Facility	14
Frequently Asked Questions	18
Certification Criteria and Standards	24
How the Criteria and Standards are Used.....	27
Disabling Factors.....	28
Deficiency Factors.....	28
Criteria and Standards	31
Application.....	68
Required Application Documents.....	70
Collections Management Policy Checklist.....	71
Collections Management Policy Sample Outline	72
Self-Evaluation	76
Introduction to Self-Evaluation	78
Tips for completing the Self-Evaluation.....	80
Self-Evaluation Benefits.....	82
Field Review	84
Field Review process.....	86
Field Review visit.....	88
Concepts, Terms and Glossary	90
Bibliography with Online Resources.....	100
Bibliography	102
Bibliography – Online Resources.....	108

Appendices..... 110
Appendix One – Texas Administrative Code Title 13, Part II, Chapter 29.....112
Appendix Two – Texas Historical Commission Collections Management Policy.....130

About the Texas Historical Commission and the Curatorial Facility Certification Program

Established in 1953, the Texas Historical Commission (THC) is a preservation, education and cultural agency of the State of Texas. The mission of the THC is to protect and preserve the state's historic and prehistoric resources for the use, education, economic benefit and enjoyment of present and future generations. The THC is dedicated to acting as a responsible partner with the state and nation's preservation communities.

The Texas Antiquities Committee was established by the Texas Antiquities Code, passed in 1969 by the state legislature for the protection, preservation, and interpretation of the publicly owned archeological and cultural resources, antiquities, and historic buildings of Texas. With the passage of the code, it became "public policy to locate, protect, and preserve all sites, objects, buildings, pre-twentieth century shipwrecks, and locations of historical, archeological, educational or scientific interest . . . in, on, or under any of the land in the State, including the tidelands, submerged land, and the bed of the sea within the jurisdiction of the state." (Antiquities Code of Texas, Title 9, Chapter 191(2)). The THC acts as legal custodian of all recovered and retained Texas archeological resources collections; maintains an inventory of items recovered; considers requests and issues permits for excavation and investigation of sites; and recovers information and specimens threatened with destruction. The THC has the responsibility for preservation of the collections that are generated thus.

The THC's state-associated held-in-trust collections focus on the history of Texas in its broadest sense. These collections are generated in a number of ways for scholarly and public use for research, exhibitions, interpretive and educational programming and heritage tourism. In accordance with its mission and diverse nature of its constituency, the THC maintains five main categories of state-associated held-in-trust collections based on the way they were generated. These are: permitted collections; non-permitted collections; purchased collections; donated collections and court-action collections.

These state-associated held-in-trust collections may be entrusted to and housed in a designated curatorial facility in the State of Texas. They are accessioned, documented, and cataloged objects, documents, and samples of cultural, scientific or historical significance that are representative of the diversity within the state. These collections are given a high level of care and protection. To this end and as directed by the Texas Administrative Code Title 13, Part II, Chapter 29 Section 29.6a, a Certification Program for curatorial facilities holding state-associated held-in-trust collections has been established. The Curatorial Facility Certification Program (CFCP) is the means by which the THC will identify appropriate curatorial facilities to

house state-associated held-in-trust collections. The certification process considers the management and care of all state-associated held-in-trust collections at the curatorial facility and its focus is with collections generated off public lands since 1969.

The purpose of this handbook is to guide the applicant curatorial facility through the entire CFCP process, from Application through to Self Evaluation and Field Review. It includes a detailed description of each part of the certification process. All forms that are completed by the curatorial facility during the CFCP process can be found online at the THC-website. Two other essential documents, the Texas Administrative Code Title 13, Part II, Chapter 29 and the THC Collections Management Policy, are included as appendices.

Curatorial Facility Certification Program Process Overview

Becoming a certified curatorial facility in the Curatorial Facility Certification Program is a four-part process. The curatorial facility is involved in the first three parts, these being Application, Self-Evaluation and Field Review. Consideration by the Commission is the fourth and final part of the process.

Application – A curatorial facility seeking certification applies to the program on the CFCP application form provided by the THC.

The Application part of the process requires that CFCP eligibility criteria be met through submission of written documents and other information at the time of application. These criteria are as follows:

1. Fit the definition of a museum or repository
2. Have a written Mission Statement, Statement of Purpose and Scope-of- Collections
3. Have a written Collections Management Policy

Self-Evaluation – On approval of the application by the Commission staff, the curatorial facility proceeds to the Self-Evaluation part of the certification process. The Self-Evaluation consists of an in-depth assessment by the applicant curatorial facility of its governance, collections, resources, policies, procedures and plans. A questionnaire guides the curatorial facility through the self-evaluation process. The applicant has six months to complete and return the Self-Evaluation questionnaire along with other documents required at this time. The Commission staff next reviews the Self-Evaluation and additional documents. The curatorial facility has 30 days to provide any additional material that might be required.

Field Review – A Field Review visit is conducted by qualified Commission staff after satisfactory review of the Self-Evaluation by the Commission. The field reviewer completes a written report of the Field Review visit and submits a recommendation on certification to the THC's executive director for review. The executive director approves, disapproves or amends the staff recommendation and forwards this to the Commission for deliberation.

Consideration by the Commission – The Commission reviews all information and makes a final decision on the certification of the curatorial facility. The curatorial facility is notified of the decision in writing. Opportunity to appeal the decision at each part of the process, including the final decision, is provided.

Full details of the Curatorial Facility Certification Program process can be found in the Texas Administrative Code Title 13, Part 11, Chapter 29.6. The full text of this document is available in this *Handbook* in Appendix One, p. 112. For your convenience, all documents are available in electronic (Word) format so that they can be completed electronically and printed out for submission when finalized.

Certification Required Elements

To implement the Curatorial Facility Certification Program, the Commission has developed and adopted objective criteria for the evaluation of curatorial facilities. Becoming a certified curatorial facility through the CFCP indicates that the facility is acting responsibly toward its collections and has demonstrated a professional level of achievement in the following certification criteria:

- Governance
- Finance
- Policies
- Procedures
- Physical Facilities
- Staff
- Visiting scholars and researchers
- Records Management
- Collections Care

Complete details concerning each of these criteria can be found in the Texas Administrative Code Title 13, Part 11, Chapter 29.6.d., (Appendix One, pp. 120 - 121) and in the section *Certification Criteria and Standards* of this *Handbook*, starting on p. 24.

Annual Reporting Form -- A certified curatorial facility uses the Annual Reporting Form to report collections management activities undertaken for state-associated held-in-trust collections in the following areas: acquisitions, accessioning, deaccessioning, loans, inventory and conservation. The CFCP Annual Reporting Form is submitted to the CFCP coordinator by January 31st of each year and may be submitted electronically. The form is available online at the THC website.

Agreement for Approved Categories of Objects -- The Agreement for Approved Categories of Objects outlines the responsibilities of the curatorial facility regarding the CFCP Annual Reporting Form, deaccessions, missing and stolen objects, loans and conservation. The agreement also explains the categories of objects approved to undergo certain types of collection management activities without prior approval from the THC. It is a written agreement executed between the THC and the certified curatorial facility and is specific to each curatorial facility. If a curatorial facility wishes to have the benefit of performing in-house stabilization or conservation of objects, a written treatment plan for each category of objects (e.g., metals, bone, textiles) must be submitted and approved by the THC prior to the Field Review.

Certification Benefits

Certification Benefits

The THC's Curatorial Facility Certification Program recognizes and supports the current professional standards achieved by curatorial facilities that hold state-associated held-in-trust collections and those wishing to demonstrate attainment of this high standard. In turn, certification benefits the curatorial facility and all the various collections that it holds.

Certification Benefits

- **Allows the curatorial facility to continue to receive and hold state-associated collections**
No collection or any component of a collection may be placed in a curatorial facility that is not certified through the Curatorial Facility Certification Program after December 31, 2005.
- **Provides the curatorial facility with enhanced discretionary control concerning state-associated held-in-trust collections**
Certified curatorial facilities are delegated responsibility by the THC to deal with loan requests, certain destructive analysis, conservation, and deaccession requests and dealing with objects determined by inventory to be missing or stolen. Curatorial facilities not certified must submit written requests to the THC.
- **Demonstrates accountability and increases prestige of the curatorial facility**
Certification of a curatorial facility illustrates to others that the facility has met professional standards set by the state. As a result, the willingness of the facility to hold itself accountable becomes more visible and boosts its reputation.
- **Recognizes that the curatorial facility has achieved current professional standards as defined by the state government**
The THC is specifically empowered to adopt reasonable rules and regulations concerning the care and curation of artifacts, objects and collections under the authority of the Commission and those recovered under the jurisdiction the Antiquities Code of Texas. The certification program provides a method to select appropriate facilities through an orderly, objective process and for the management of state state-associated held-in-trust collections that are within the legal authority of the Commission.
- **Projects a positive image to staff, researchers and the public**
Certification expresses the commitment of a curatorial facility to collections preservation to staff, fellow curatorial facilities and the public.

- **Assists in the creation and sustaining of professional relationships with other curatorial facilities**

Certification enhances a curatorial facility's professional image to other curatorial facilities. This assists in collaborative activities such as loans and research, obtaining objects on loan for research, as well as opening doors for new relationships with other facilities. Continued certified status also demonstrates an ongoing commitment to meeting professional standards.
- **Focuses the curatorial facility on its mission and scope-of-collections**

In order to become certified, the curatorial facility is required to submit a complete and focused mission statement and scope-of-collections.
- **Creates unified goals**

Staff and board must all do their part to achieve certification. As a result of completing the certification program, individual goals are focused and unified to become the goals of the curatorial facility.
- **Promotes the review of policies, procedures and practices**

The Certification Program requires an in-depth study of policies, procedures and practices. These then are created, reviewed and revised as necessary on a regular basis.
- **Enhances teamwork**

The Curatorial Facility Certification Program is a comprehensive program calling on the entire facility to cooperate in the process. Requiring such participation creates an atmosphere of solidarity and teamwork.
- **Provides a benchmark for performance**

Completing the Certification Program produces a measure of how a facility should and is expected to perform. This is a valuable tool for the facility by which to assess future process, policy and procedure.
- **Promotes leadership and professional development**

The Certification Program generates a need for a thorough discussion of standards and practices. Individuals participating are called upon to teach and lead fellow colleagues through these standards and practices.
- **Facilitates fundraising endeavors**

Enhanced credibility strengthens the standing of the curatorial facility. In turn, public and private funding sources are encouraged in their support of a facility that proves its level of responsibility and accountability.

Characteristics of a Certified Curatorial Facility

Characteristics of a Certified Curatorial Facility

A certified curatorial facility has a number of important characteristics that it shares with all other certified curatorial facilities. These are:

- Is a museum or repository
- Is a non-profit, institutional organization
- Has a mission statement, statement of purpose, and scope of collections statement that guides its collecting
- Has a clear fiscal plan with sufficient funding to properly care for collections
- Has a written, integrated Collections Management Policy that guides collections activities and addresses acquisitions, scope of collections, legal title, held-in-trust agreements, contract of gift, accessioning, deaccessioning and disposal, cataloging, loans, destructive loans, inventory, insurance, appraisals, access to collections, record keeping, collections care, conservation, emergency preparedness, integrated pest management and security
- Has written, integrated Collections Management Procedures that guide the implementation of policy and address acquisitions, scope of collections, legal title, held-in-trust agreements, contract of gift, accessioning, deaccessioning and disposal, cataloging, loans, destructive loans, inventory, insurance, appraisals, access to collections, record keeping, collections care, conservation, emergency preparedness, integrated pest management and security
- Has a well maintained facility with environmental controls and security and fire protection systems
- Has a staff trained in collections objects care that abides by an institutional code of ethics
- Provides safe, supervised access to collections to visiting scholars and researchers
- Has a functional accession, catalog, inventory and photo documentation system
- Has an updated and current list of state-associated held-in-trust collections that it curates
- Has a baseline inventory of each held-in-trust collection
- Provides collections housing with archival housing units and packaging materials and with sufficient space to house collections safely
- Has a complete and signed Held-in-Trust agreement for a minimum of 80% of the state-associated held-in-trust collections at the facility
- Has a minimum of 80% of its state-associated held-in-trust collections accessioned
- Has a minimum of 65% of its state-associated held-in-trust collections cataloged
- Has insurance or an insurance waiver from the THC for its state-associated held-in trust collections and facility

Frequently Asked Questions

Frequently Asked Questions

What is the purpose of the certification program?

The purpose of the Texas Historical Commission Curatorial Facility Certification Program is to recognize and support current professional standards for the care and management of state-associated held-in-trust collections held-in-trust by curatorial facilities in the State of Texas.

What does the program address?

The program addresses all collections placed in curatorial facilities by the THC, all collections generated under antiquities permits on public lands and all curatorial facilities seeking to *continue* to receive state-associated held-in-trust collections after December 31, 2005. The program also is open to any curatorial facility that simply wishes to demonstrate its level of professional achievement.

What collections does the program apply to?

(1) Permitted-collections that are the result of work governed by the Antiquities Code on land or under waters belonging to the State of Texas or a political subdivision of the State necessitating the issuance of a permit by the Commission. This work can be conducted by an outside researcher, other state agency, cultural resources management firm or by Commission personnel. Permitted-collections form the bulk of the Commission's state-associated held-in-trust collections.

(2) Commission non-permitted collections are the result of work governed by the Antiquities Code on land or under waters belonging to the State of Texas or a political subdivision of the State conducted by Commission personnel without the issuance of a permit.

(3) Purchased-collections are the result of acquisition of significant historical items by the Commission through the Texas Historical Artifacts Acquisition Program or use of other state funds.

(4) Donated-collections are the result of a material gift transaction by a private landowner, individual, corporation, organization, or through a bequest to the Commission. A major component of this category of collections is the consequence of work conducted by or under the direction of Commission personnel on private lands in Texas whereby the landowner transfers ownership of the generated collection through a deed-of-gift or donation form to the State of Texas and its agent, the Texas Historical Commission.

(5) Court action-collections are the result of rulings by a court concerning confiscated, illegally-held archeological or historical materials from public lands to be given to the Commission for care and protection.

Which curatorial facilities are eligible to apply for certification?

Eligibility requirements are as follows:

1. Fit the definition of a museum or repository
2. Have a written Mission Statement, Statement of Purpose and Scope-of Collections
3. Have a written Collections Management Policy

If the curatorial facility does not meet all of these requirements, it will not proceed further with the certification process.

How is "repository" defined?

A repository is a permanent, not-for-profit educational or research-oriented agency or institution, having a professionally trained staff that provides in-perpetuity legal housing and curation of collections.

How is "museum" defined?

A museum is a legally organized not-for-profit institution, essentially educational in nature; having a formally stated mission; with a professionally trained staff that uses and interprets objects for the public through regularly scheduled programs and exhibits; with a program of documentation, care and use of collection or tangible objects; and having a program of maintenance and presentation of exhibits.

What are the costs of certification?

There is no cost to the curatorial facility to participate in the certification process.

What happens if the curatorial facility cannot complete the Self-Evaluation in the six months allowed?

A one time extension of six months may be granted by the Commission staff upon request.

What are the standards by which the THC grants certification?

The commission grants certification based on an evaluation of how the curatorial facility meets certification criteria and standards as set out in the Texas Administrative Code Title 13, Part II, Chapter 29.6, and the supporting documentation submitted by the curatorial facility.

What are disabling and deficiency factors?

Disabling and deficiency factors are factors that affect certification of a curatorial facility. Potential disabling and deficiency factors may become apparent to the THC when the curatorial facility's Self Evaluation is reviewed or during the Field Review visit. **Disabling factors are factors that may prevent certification.** They are the absence of required documents or adequate facilities required for certification. These factors are detailed in full in the Texas Administrative Code Title 13, Part II, Chapter 29.6 (e) (1) (A-M).

Deficiency factors are factors that may delay or prevent certification. They include incomplete or substandard policies, procedures, plans, documents and facilities that are lacking in some essential requirements for maintaining professional standards required for certification. These factors are listed in full in the Texas Administrative Code Title 13, Part II, Chapter 29.6 (e) (2) (A-N).

How Disabling and Deficiency Factors affect certification

- Three or fewer disabling factors and no more than four deficiency factors - certification granted;
- Three or fewer disabling factors and five or six deficiency factors - provisional status granted;
- Three or fewer disabling factors and seven or more deficiency factors - certification denied;
- Four or more disabling factors - certification denied.

What is provisional status?

If provisional status is granted, the curatorial facility must submit a plan and schedule for resolving any disabling and deficiency problems to the THC within 90 days of the approval of provisional status. The process of revising the plan continues until approved by the Commission. Provisional status is granted for a period of three years. While the facility may be allowed to continue to receive state-associated held-in-trust collections through this time, it has the three-year period plus a maximum of three one-year extensions to resolve its problems and become fully certified.

How long is certification valid?

Certification is for a 10-year period. At the end of this time, the curatorial facility is invited by THC to apply for renewal of certification.

What happens if a curatorial facility is not certified?

There are provisions for appeal at every step in the certification process. If certification is denied prior to the Field Review, the curatorial facility may appeal that decision to the Commission by requesting a review. The curatorial facility and its Director may submit arguments in writing to the Commission concerning the appeal. This provision appears in the Texas Administrative Code Title 13, Part II, Chapter 29. 6 (c) (1).

If a recommendation is given to deny certification after the Field Review, the facility may respond in writing to this recommendation. An opportunity to appeal the decision is provided. **A curatorial facility that is not certified will no longer be able to receive state-associated held-in-trust collections. They may retain such collections already in their holdings.**

May the curatorial facility that is not certified reapply?

A facility may reapply for certification no earlier than one year of the denial of its application.

What is the alternative to certification?

Within seven years of November 2003, curatorial facilities that do not wish to become certified must either submit a plan for the care and management of state-associated held-in-trust collections to the Commission for approval, or consider transferring state-associated held-in-trust collections to a certified curatorial facility.

Certification Criteria and Standards

Curatorial Facility Certification Program Criteria and Standards

The THC recognizes that each curatorial facility is unique in character and no "one-size-fits-all" plan governs how each operates. It is for this reason that objective certification criteria and standards for the evaluation of curatorial facilities have been developed and adopted. The criteria and standards are based on current professional philosophy and practice within the museum preservation and curation field. Since philosophy and professional practice are constantly evolving, the criteria and standards periodically will be reviewed and updated. Each curatorial facility is evaluated, not against other curatorial facilities, but in terms of how well it alone meets or exceeds these criteria and standards.

The curatorial facility self-evaluation process focuses on the care and management of all state-associated held-in-trust collections present at the facility. The certification criteria are listed in Title 13, Part II, Chapter 29.6(d)(4)(A)-(I) and are explained below. **Certification standards express the Certification Program's expectation for each criterion and state the standard that is expected of the curatorial facility for each of the criteria.** They are based on Title 13, Part II, Chapter 29.9 *Expectations for drafting a Collections Management Policy for managing state-associated held-in-trust collections* and are explained below. The standards also are used by the THC Field Reviewer to ensure that all applicant facilities are evaluated in a uniform manner and that all applicant facilities meet the same standard. The criteria and standards state specific policies and procedures related to the care and management of state-associated held-in-trust collections. For this reason AAM accreditation cannot be substituted for certification.

These certification criteria and standards can greatly assist in the drafting of the required policies, procedures and documents as they explain specifically what is required and expected to be addressed for each of the nine areas of concern. **Each criterion and standard must be addressed.** Use the criteria and standards as a checklist to make sure that every requirement is addressed. For example, a statement addressing who approves destructive analysis loans is required in the Collections Management Policy. Make sure that such a statement is made in *your* Collections Management Policy. The criteria and standards also may assist in completing the Self Evaluation as they contain examples of what particular kind of information is required in response to the more complex questions.

For questions and assistance with any part of the CFCP process, please contact the Curatorial Facility Certification Program Coordinator at ph. (512) 463-6096.

How the Criteria and Standards are Used

The criteria and standards are used throughout the CFCP at every part of the process to ensure consistency of evaluation of curatorial facilities.

Application Part of CFCP

All criteria listed in the Texas Administrative Code Title 13, Part II, Chapter 29.6 (d) (4) are considered. At the application phase, the curatorial facility must:

- Fit the definition of a museum or repository
- Have a written Mission Statement, Statement of Purpose and Scope of Collections
- Have a written Collections Management Policy that addresses all CFCP required criteria

If the curatorial facility does not meet these basic criteria, then certification is denied and the process goes no further.

Self- Evaluation Part of CFCP

The curatorial facility should become familiar with the CFCP criteria and standards because they define the standard against which the responses to the Self Evaluation are evaluated. The disabling and deficiency factors also provide the curatorial facility insight into how the criteria and standards are utilized to evaluate the responses to the Self Evaluation. The Self-Evaluation is returned to the THC for review by CFCP staff members upon its completion.

Review of Self-Evaluation by the Commission

A lack of **any** of the required criteria constitutes a disabling factor. Four or more disabling factors cause certification to be denied.

Several key words used to define disabling and deficiency factors are explained here (definitions from *Merriam-Webster Online*). These are:

<i>Inappropriate:</i>	unsuitable
<i>Inadequate:</i>	insufficient
<i>Substandard:</i>	falling short of, deviating from, of lower quality than the standard
<i>Incomplete:</i>	lacking a part, unfinished, not complete

Disabling Factors

Disabling Factor means: curatorial facility is unable or fails to produce essential documents or adequate facilities.

Disabling factors are a lack of:

- **Written procedures and plans**
- **Written held-in-trust agreements signed by the THC for state-associated held-in-trust collections**
- **List of state-associated held-in-trust collections at the facility**
- **Baseline inventory for each state-associated held-in-trust collection**
- **Record keeping system**
- **Accession system**
- **Catalog system**
- **Inventory system**
- **Environmental controls (temperature, relative humidity, air particulates)**
- **Fire prevention, detection and suppression programs**
- **Full-time employee trained in collections care**
- **Appropriate physical facilities**

Physical facilities that are unsuitable for housing of collections because they do not protect collections against damage or loss due to lack of security, structural or mechanical damage or failure, or lack, damage or failure of building systems

- **Appropriate housing or housing conditions**

Housing furniture and materials or environmental conditions in collections housing areas that are unsuitable for collections housing because they interact with collections in ways that cause their deterioration, damage and loss.

Deficiency Factors

A deficient criterion constitutes a deficiency factor. Deficiency factors, either alone or in combination with disabling factors, causes the following to occur:

- Three or fewer disabling factors and no more than four deficiency factors cause certification to be granted.
- Three or fewer disabling factors and no more than five or six deficiency factors cause provisional status to be granted.
- Three or fewer disabling factors and seven or more deficiency factors cause certification to be denied.

Both disabling and deficiency factors must be corrected within a THC-approved plan and timetable in order for certification to remain in effect. This applies to both certification and provisional status.

Deficiency Factor means: curatorial facility does not meet some essential requirement for maintaining standard, complete, adequate, and appropriate curatorial practices.

Deficiency factors are:

▪ **Substandard policies**

Policies that do not address all criteria as specified in the Texas Administrative Code Title 13, Part II, Chapter 29.6 (d)(4)

▪ **Substandard procedures and plans**

Procedures and plans that do not address all criteria as specified in the Texas Administrative Code Title 13, Part II, Chapter 29.6 (d)(4)

▪ **Incomplete Held-in-Trust Agreements for state-associated held-in-trust collections**

Held-in-Trust Agreements that are missing information or signatures on individual agreements and/or not having held-in-trust agreements for a minimum of 80% of state-associated held-in-trust collections curated at the facility

▪ **Incomplete list of state-associated held-in-trust collections**

List of state-associated held-in-trust collections that does not have an entry for all state associated collections curated at the facility

▪ **Incomplete baseline inventory for each state-associated held-in-trust collection**

Baseline inventory for each state-associated held-in-trust collection that is missing information and/or not having a baseline inventory for each

▪ **Inadequate record keeping system**

Record keeping system that does not contain sufficient information and/or that cannot be used in such a way as to access, cross-reference, or manage objects, collections and their associated documentation

▪ **Inadequate accession system**

Accession system that does not demonstrate formal acceptance of a collection, legal status of a collection and that does not contain sufficient information to allow for collections to be accessed, cross-referenced or managed

▪ **Inadequate catalog system**

Catalog system that does not identify objects and that does not contain sufficient information to allow for collections to be accessed, cross-referenced or managed

▪ **Incomplete cataloging of held-in-trust state associated collections**

Less than 65% of held-in-trust state associated collections are cataloged.

- **Inadequate inventory system**
Inventory system that does not include accessions, spot-check inventories, and relocation inventories and that does not contain sufficient information to allow for collections to be located, accessed and cross-referenced
- **Substandard environmental controls (temperature, relative humidity, air particulates)**
Environmental controls that cannot maintain the climate in the collection housing area within the standard range of 68-70+2°F in temperature and 50-60+5% in relative humidity
- **Substandard fire prevention, detection, and suppression programs**
Fire prevention, detection, and suppression programs that do not provide protection throughout the curatorial facility or that do not operate to required capacity
- **Substandard physical facilities**
Physical facilities that do not protect collections against damage or loss due to their poor security and problems with their structure and/or mechanical and building systems
- **Substandard housing or housing conditions**
Housing furniture and materials that are not archivally sound or that are reactive or environmental conditions in collections housing areas that interact with collections in ways that cause their deterioration, damage and loss
- **Substandard packaging**
Packaging materials that are reactive in composition and that interact with collections in ways that cause their deterioration, damage and loss

Potential disabling and deficiency factors are investigated during the Field review visit so that they can be explained by the curatorial facility and confirmed or eliminated.

Field Review Part of CFCP

After the Self-Evaluation has been reviewed by the THC staff, a Field Review is conducted. The field reviewer follows up on any areas of concern as illustrated by the responses to the Self Evaluation and/or collects additional information that is required. The field reviewer then completes a Written Narrative Report of the Field Review and submits it along with the Self-Evaluation to the Commission for consideration. At this point, the Self-Evaluation and the Written Narrative Report are compared against the CFCP criteria and standards and any disabling and deficiency factors as described on pp. 28 - 30 of the *Handbook* are totaled to determine the decision.

Criteria and Standards

A. Governance

- All certified curatorial facilities have a formally stated mission, as well as an organized governance structure and not-for-profit status, to support the mission.
- Certified curatorial facilities use their mission, governance structure, and non-profit status to guide who they are, what they do, and why they do it, in order to function most effectively.

Specific Mission Statement

Criterion

Having a written Mission Statement articulating the specific and fundamental reasons why the curatorial facility exists.

Standard

- Required elements for the mission statement are:
- Identification of the audience that the curatorial facility serves
- Enumeration of what "activities" the curatorial facility provides
- Expression of the goal to which "activities" are delivered

Institutional organizational document

Criterion

Having a written document explaining how the institution is organized.

Standard

One of the following institutional organizational documents is required:

- By-laws
- Founding charter
- Articles of incorporation

(If the curatorial facility is part of a parent organization or agency, the document that identifies the facility as a part of the parent whole is all that is required. This information should be available from the parent body administration.)

Evidence of not-for-profit status

Criterion

Having a written document showing that the curatorial facility has not-for-profit status.

Standard

A document showing IRS not-for-profit status is required.

(The type of document will depend on the type of not-for-profit status that the curatorial facility holds. For example, curatorial facilities that are part of an educational institution will have 170(c)(3) status. It is the responsibility of the curatorial facility to determine its not-for-profit status. This information should be available from parent body administration.)

B. Finance

- All certified curatorial facilities have formally stated financial plans and systems to support the mission, operations, and activities.
- Certified curatorial facilities use financial planning and resources responsibly to meet operational and activity needs that advance the mission and sustain financial viability.

Clear fiscal plan

Criterion

Having a written plan explaining how the financial business of the curatorial facility is managed and planned.

Standard

A summary of the operating budget for each year of the past five years is required. (This information should be available from the financial office of the parent body administration.)

C. Collections Management Policy

(Make sure your Collections Management Policy addresses all the standards by including statements that address all the requirements. **Failure to do this will incur a deficiency factor for incomplete or sub-standard policies.**)

- All certified curatorial facilities have a written integrated Collections Management Policy to support the mission. To this end, certified curatorial facilities acquire, hold-in-trust, accession, deaccession and dispose of, catalog, inventory, loan, insure, preserve, conserve and provide access to state-associated held-in-trust collections. They also provide record keeping, emergency preparedness, integrated pest management and security for these collections.

- Certified curatorial facilities use their Collections Management Policy to guide their every day decision-making. The following subjects are required to be addressed.

Acquisitions

Criterion

How and under what conditions and terms the curatorial facility acquires collections; Authority to approve acquisitions

Standard

Acquisition policy requires that:

- Collections are acquired through gift, bequest, fieldwork, transfer, exchange, held-in-trust agreement, purchase;
- Acquisitions are evaluated in terms of the objectives, purpose, mission, and scope of the curatorial facility and its ability to care for the acquisition;
- Only collections for which clear title or held-in-trust status is established are acquired;
- Restrictive or conditional acquisitions are discouraged;
- Responsibility to approve acquisitions is assigned;
- Acquisition is a necessary prerequisite for accessioning;
- An annual report of acquisitions activities is made to THC regarding state-associated held-in-trust collections.

Scope-of-collections

Criterion

Defining the range of object types the curatorial facility accepts including other specifications such as regional or temporal foci.

Standard

The scope-of-collections is required to specify:

- the range of single objects, collections of objects, specimens, samples, and their associated documentation that are accepted;
- any additional focus, where appropriate.

Legal title

Criterion

The transfer of legal title (ownership) of collections that are not state-associated held-in-trust collections from donor to curatorial facility.

Standard

Transfer of legal title to collections that are not state-associated held-in-trust collections is made by a signed, written document such as receipt or will, that addresses authority of donor to transfer title and identifies the objects/collections/documents for which title is transferred.

(If a curatorial facility curates only state-associated held-in-trust collections and no other gift, purchase, transfer, exchange, or bequest collections, then it is not required to address legal title.)

Held-in-Trust Agreements

Criterion

The agreement document that transfers stewardship of state-associated held-in-trust collections.

Standard

- Transfer of stewardship of state-associated held-in-trust collections is made through a signed, written Held-in-Trust Agreement that identifies agency, institution, and the objects/collections/documents for which stewardship is transferred. This document is executed between the THC and the curatorial facility.
- A separate Held-in-Trust Agreement is completed and maintained by the curatorial facility and forwarded to the THC for **each** held-in-trust collection.
- A Held-in-Trust Agreement **requires** an accessions or baseline inventory of counts of objects by material type and total linear feet of documentation.

Contract of gift

Criterion

The agreement document to transfer ownership of collections that are not state-associated held-in-trust collections, including any restrictions, from a donor to a curatorial facility.

Standard

Transfer of ownership of collections by gift/donation is made by a signed document that identifies donor, curatorial facility and objects/collections/documents for which ownership is transferred.

(If a curatorial facility curates only state-associated held-in-trust collections and no other gift collections, then it is not required to have a contract of gift document.)

Accessioning

Criterion

Collections are formally accepted and recorded into the holdings of the curatorial facility.

Standard

Accessioning policy for state-associated held-in-trust collections requires:

- an accessioning system (see *Records Management* section, pp. 56 - 57);
- curation/housing agreement or Artifact Curation Form;
- accessions inventory;
- signed Held-in-Trust Agreement;
- An annual report of accessioning activities to the THC regarding state-associated held-in-trust collections.
- (The accessioning system that is utilized at the curatorial facility is all that need be explained in the Self-Evaluation.)

Deaccessioning and disposal of collections or collection items

Criterion

Objects and collections are permanently removed and disposed of from the holdings of the curatorial facility.

Standard

Deaccessioning policy for state-associated held-in-trust collections requires:

- Only the THC has authority to deaccession entire collections and must concur with the curatorial facility's recommendation.
- Authority to deal with deaccessioning of approved categories of objects and samples from state-associated held-in-trust collections is delegated to a certified curatorial facility through the Agreement for Approved Categories of Objects.
- A statement on how deaccessions are evaluated in terms of:
 - redundancy and lack of additional merit;
 - lack of historical, cultural, or scientific value;
 - damage beyond reasonable use and repair;
 - being subject to deaccessions as required by federal law;
 - being noted as missing or stolen.
- A statement on disposal methods.
- A statement that state-associated held-in-trust collections are never disposed of by sale.
- An annual report of deaccessioning activities to the THC regarding state-associated held-in-trust collections.

Cataloging

Criterion

Objects are assigned to an established classification system and have a record made of their unique physical attributes and provenience.

Standard

Cataloging policy for state-associated held-in-trust collections requires:

- A cataloging system (see *Records Management* section, pp. 62 - 64)
- That objects are cataloged to make a record of their physical attributes and provenience to make them accessible;
- That identifying catalog numbers are assigned and applied to objects;
- That objects are cataloged before they are loaned.

(The cataloging system that is utilized at the curatorial facility is all that need be explained in the Self-Evaluation.)

Loans

Criterion

Objects temporarily are assigned from one curatorial facility to another institution involving a change of physical location but not of title or held-in-trust status.

Outgoing loans: collections loaned out from the curatorial facility to another institution.

Incoming loans: collections borrowed into the curatorial facility from another institution or other lender.

Standard

Loan policy for collections requires that:

- loans are for the purpose of research, education, exhibition, conservation, or inspection;
- loans are for a specified period of time;
- loan documents should state any special requirements for the loan;
- outgoing loans are made between institutions;
- incoming loans are made between institutions and may be made from individuals;
- loans are insured for the duration of the loan;
- loans are insured commensurate with the evaluation of the objects as determined by the curatorial facility;
- collections that are not accessioned and/or cataloged are not loaned;
- commercial use of loaned collections is prohibited;

- An annual report of loan activities is made to the THC regarding state-associated held-in-trust collections.

Destructive loans of state-associated held-in-trust collections

Criterion

Objects are loaned for the purpose of destructive analysis where all or part of the object will be destroyed to gain specialized information.

Standard

Destructive loan policy for state-associated held-in-trust collections requires that:

- Decisions regarding the destructive analysis of state-associated held-in-trust collections are the legal responsibility of the THC and all destructive analysis requests except those in approved categories are forwarded to the THC;
- Authority to approve certain types of destructive analysis requests as outlined in the Agreement for Approved Categories of Objects is delegated to a certified curatorial facility;
- Submission of a written research proposal to the curatorial facility for evaluation and approval is required;
- The state does not relinquish title, nor is the object deaccessioned;
- Information gained substitutes for the altered or destroyed object/sample;
- Information gained is provided to the lending curatorial facility;
- Unused portions of objects/samples are returned to the lending curatorial facility;
- An annual report of destructive loan activities is made to the THC regarding state-associated held-in-trust collections.

Inventory

Criterion

Objects are located, categorized, itemized and listed.

Standard

Inventory policy for state-associated held-in-trust collections requires:

- An inventory system (see *Records Management* section, pp. 62 - 64);
- An accessions inventory during the accessioning process;
- A periodic spot-check inventory;
- A relocation inventory during any relocation;

- An annual report of inventory activities to the THC regarding state-associated held-in-trust collections.

(The inventory system that is utilized at the curatorial facility is all that need be explained in the Self-Evaluation.)

Adequate and appropriate insurance

Criterion

The purchase of insurance that would provide compensation to the curatorial facility in the event of damage or loss of objects and collections. (THC and curatorial facility would be co-beneficiaries.)

Standard

Insurance policy for state-associated held-in-trust collections requires that fine arts insurance (appropriate for all collections, not just art) is purchased that would provide sufficient monetary compensation theoretically to repair or replace the collections in the event of their damage or loss. (For curatorial facilities that self-insure, there is a process through the THC for obtaining a waiver from the insurance requirement. See pp. 47 - 48 for the procedure to obtain a waiver.)

Appraisals

Criterion

The process of estimating the monetary value of an object by an independent appraiser.

Standard

Appraisal policy for collections requires that:

- Curatorial facilities may not provide appraisals to prospective donors or the public in general;
- Donors requiring appraisals must obtain these at their own expense from an independent appraiser prior to donation.

Access to collections

Criterion

To whom, when and for what purposes physical access to the collections is granted.

Standard

Access policy to state-associated held-in-trust collections requires that:

- Physical access is restricted by locked, secured location and controlled entry;
- Collections staff supervises access by others (e.g., non-collections staff, visiting scholars and researchers, volunteers);
- Research access is controlled by a written and approved research design.

Record keeping

Criterion

The systematic creation, maintenance, use and disposition of object and collection records.

Standard

Record keeping policy requires the following documents for state-associated held-in-trust collections:

- Held-in-Trust Agreement
- Curation agreement
- Accession record
- Accession inventory
- Deaccession record (as necessary)
- Condition report (as necessary)
- Catalog record
- Loan agreement (as necessary)
- Relocation inventory (as necessary)
- Spot-check inventory
- Conservation report (as necessary)
- Infestation report (as necessary)
- An up to date list of the state-associated held-in-trust collections at the curatorial facility.
- Annual report to the THC of acquisitions, accessioning, deaccessioning and disposals, site inventory, inventory and security issues, incoming and outgoing non-destructive loans, destructive analysis loans, and conservation actions.

Records are paper and/or electronic and are in a format conducive to their preservation, such as archival papers and cards and electronic formats that easily can be transferred to new formats/technologies.

Records are kept in a secure location at the curatorial facility.

Records are organized in such a way as to be retrievable easily (within 30 minutes).

A duplicate copy of the held-in-trust records is kept in a secure location off site and is updated on a scheduled basis.

Collections care

Criterion

Collections holistically are cared for with particular emphasis on their long-term preservation and safety.

Standard

Collections care policy for state-associated held-in-trust collections requires:

- Regulated and monitored temperature, relative humidity and atmospheric pollutants;
- Low and/or filtered light levels;
- Integrated pest management;
- Archival housing units that provide a buffer between collections and the environment;
- Archival packaging materials that provide a buffer between collections and the environment;
- Utilization of preventive conservation strategies;
- Utilization of routine preventive maintenance;
- Safe handling and moving of objects/collections.

Conservation

Criterion

Objects/collections/documents may require specific conservation treatment to further their preservation.

Standard

Conservation policy for state-associated held-in-trust collections requires that:

- The THC approves conservation treatments prior to their commencement, unless the THC has delegated this authority in writing to the curatorial facility through the Agreement for Approved Categories of Objects;
- Conservation treatments are performed only by trained conservators;
- Conservation treatments are reversible in nature and are carried out with compatible materials;
- Conservation treatments are documented prior to, during and after completion;
- Annual reports are made to the THC on conservation treatments regarding state-associated held-in-trust collections.

Emergency preparedness

Criterion

Preventive and protective actions are taken prior to, during, and while recovering from a disaster and these are formalized into written policy.

Standard

Emergency preparedness policy for state-associated held-in-trust collections requires that:

- Disasters are prevented as far as possible through the practice of emergency preparedness measures such as routine building and systems inspections and preventive maintenance;
- Emergency preparedness is based on knowledge of local hazard and risk analysis;
- Emergency preparedness is based on a written plan that is tested and evaluated annually;
- Plans address measures to be taken before, during and after an emergency.

Integrated pest management

Criterion

Non- and least-toxic mechanisms for preventing and controlling pest infestations are utilized within the curatorial facility.

Standard

Integrated pest management policy for state-associated held-in-trust collections requires that integrated pest management is practiced to prevent infestations from occurring and to allow them effectively to be ended with least-toxic and / or non-toxic solutions. These solutions are:

- exclusion of pests from the curatorial facility
- monitoring and detection
- habitat modification
- identification and isolation
- treatment/suppression
- evaluation of success of integrated pest management program
- continued education of staff regarding integrated pest management

Security

Criterion

The curatorial facility utilizes systems and devices for deterring and detecting intruders.

Standard

Security policy for state-associated held-in-trust collections requires:

- alarms
- key controlled/restricted access

D. Collections Management Procedures

(Make sure your written procedures address all the standards by including statements that address all the requirements. **Failure to do this will incur a deficiency factor for incomplete or sub-standard procedures.**)

- All certified curatorial facilities have written integrated Collections Management Procedures to support the mission.
- Certified curatorial facilities use their Collections Management Procedures in conjunction with their Collections Management Policy to guide their every-day activities as they relate to acquisitions, accessioning, deaccessioning and disposal, documentation, cataloging, loans, inventory, preservation, conservation and access to state-associated held-in-trust collections. Certified curatorial facilities also use procedures to guide housekeeping, cleaning, packaging and housing, packing and shipping, environmental controls, emergency preparedness, integrated pest management and security activities that further the mission.

Acquisitions

Criterion

Procedure by which objects and collections are acquired.

Standard

Procedure for acquiring state-associated held-in-trust collections requires that:

- Acquired collections placed at a curatorial facility are recommended for accessioning through the process governed by the Collections Management Policy of that curatorial facility;
- Acquisitions are processed by the curatorial facility after approval and upon receipt of collections and required documentation:
 - curator agreement or Artifact Curation Form
 - Held-in-Trust Agreement with THC

Held-in-Trust Agreements

Criterion

Procedure for enacting Held-in-Trust Agreements.

Standard

Procedures for completing Held-in-Trust Agreements require that:

- A separate Held-in-Trust Agreement document available from the THC is completed for each collection;
- An accessions or baseline inventory of counts of objects by materials types and total linear feet of documentation is completed for each collection and attached to each Held-in-Trust Agreement;
- A Held-in-Trust Agreement is signed by an authorized representative of the curatorial facility and is forwarded to the THC;
- An authorized representative of the THC signs the Held-in-Trust Agreement and returns a copy of it to the curatorial facility, and the original is maintained by the THC.
- A minimum of 80% of state-associated held-in-trust collections have signed and completed Held-in-Trust Agreements.

Accessioning

Criterion

Procedure by which newly acquired objects and collections are accessioned into the holdings of the curatorial facility.

Standard

Procedure for accessioning state-associated held-in-trust collections requires that:

- When, where, and by whom accessioning is carried out is identified;
- Collections placed at a curatorial facility are accessioned through the process governed by the Collections Management Policy of that curatorial facility;
- The current accession numbering system identifies the curatorial facility's accessions from accessions of other curatorial facilities;
- Accessioning is completed by receipt of document transferring title or stewardship;
- At least 80% of state-associated held-in-trust collections are accessioned.

Deaccessioning and disposal of collections or collection items

Criterion

Procedure by which objects and collections are permanently removed and disposed of from the holdings of the curatorial facility.

Standard

Procedure for deaccessioning and disposal of state-associated held-in-trust collections requires that:

- Only the THC has authority to deaccession entire collections and must concur with the curatorial facility's recommendation;
- Authority to deal with deaccessioning of approved categories of objects and samples from state-associated held-in-trust collections is delegated to a certified curatorial facility through the Agreement for Approved Categories of Objects;
- The decision to deaccession and dispose of an object/collection is based on the policy as defined in the written Collections Management Policy of the curatorial facility;
- Reasons for deaccessioning are made part of the collections records and are retained by the curatorial facility;
- When, where, by whom and under what authority deaccessioning and disposal is carried out is identified;
- Deaccession records include:
 - Written evaluation and justification for deaccession. Justifications include:
 - objects lacking provenience and significance;
 - objects not related to the mission of the curatorial facility;
 - objects being transferred to another curatorial facility;
 - objects that have deteriorated or been damaged beyond repair;
 - objects noted as missing beyond the time of the next inventory;
 - objects suspected as being stolen;
 - objects that are subject to deaccessioning as required by federal law.
 - Date of deaccession;
 - Inventory of objects/collections deaccessioned (relocation inventory);
 - Method of disposal;
 - Additional documentation, where appropriate.
- All records are maintained but are marked as "Deaccessioned."

Cataloging

Criterion

Procedure for processing objects by assigning them to an established classification system and making a record of their unique attributes.

Standard

Procedure for cataloging state-associated held-in-trust collections requires that:

- Cataloging is carried out prior to or as soon after accessioning as possible to avoid backlog;
- A complete catalog record contains:
 - identification/classification
 - provenience
 - accession number cross-reference
 - housing location
 - may also include a photograph or sketch
- At least 65% of state-associated held-in-trust collections are cataloged.

Loans

Criterion

Procedure for assigning objects/collections temporarily from one curatorial facility to another institution involving a change of physical location but not of title or held-in-trust status.

Standard

Procedure for loaning state-associated held-in-trust collections requires that:

- The decision to borrow or lend an object/collection is based on the policy as defined in the written Collections Management Policy of the curatorial facility;
- Upon approval, the loan is made to the institution with which the researcher is affiliated;
- A complete loan record includes:
 - A loan number for tracking purposes;
 - Start date for the loan;
 - Due date for the loan;
 - Purpose of loan;
 - Inventory of loaned objects/collections (relocation inventory);
 - Insurance value of loan;
 - Insurance certificate/rider;
 - Method of shipment;

Approval of loan;

Special conditions (such as exhibit requirements, special handling or packing instructions);

- Loan due dates are tracked and extended or recalled/returned as appropriate at the end of the loan period.

Destructive loans of state-associated held-in-trust collections

Criterion

Procedure for loaning objects for the purpose of destructive analysis where all or part of the object will be destroyed to gain specialized information.

Standard

Procedure for destructive loans of state-associated held-in-trust collections requires that:

- Authority to deal with destructive analysis requests of approved categories of objects and samples from state-associated held-in-trust collections is delegated to a certified curatorial facility. All other requests are forwarded to the THC for approval.
- A written research proposal is submitted to the curatorial facility that includes:
 - research goals and objectives
 - qualifications of researcher
 - specific samples or objects to be destroyed
- The decision to approve the loan is based on:
 - qualifications of researcher
 - uniqueness of the project
 - value of knowledge to be gained
 - size, condition, and importance of collection
- Upon approval, the loan is made to the institution with which the researcher is affiliated.
- If the request is not approved, the decision can be appealed through the THC.
- Information gained from the analysis is provided to the curatorial facility, along with two copies of any publication.
- Any unused portions of the sample/object are returned to the curatorial facility.
- Destructive analysis loan due dates are tracked and extended or recalled/returned as appropriate at the end of the loan period.

Inventory

Criterion

Procedures for categorizing, itemizing and listing objects.

Standard

Inventory procedure for state-associated held-in-trust collections requires that:

- Accessions inventory made when a collection is accessioned (if no baseline inventory is provided by permittee/firm). Required information is:
 - Accession number;
 - Categories of objects/samples/documents represented in the accession;
 - Counts of objects/samples/documents represented in the accession;
 - Linear feet of associated documentation.
- Spot-check inventory carried out on a regularly scheduled basis. Required information is:
 - Catalog and accession numbers
 - Location of object/sample/document
- Relocation inventory made every time the collection is moved. Required information is:
 - Catalog and accession numbers
 - Description of object/sample/document
 - Location of object/sample/document
 - Condition of object/sample/document
 - Reason for relocation
- An annual report of inventory activities to the THC regarding state-associated held-in-trust collections.

Insurance

Criterion

Procedures for obtaining an insurance waiver or insurance.

Standard

Procedures for obtaining an insurance waiver from the THC require that:

- The curatorial facility submits a letter of request for an insurance waiver, including documentation supporting self-insured status from the parent body, to the CFCP Coordinator at the THC;
- The letter of request and accompanying documentation is reviewed and a waiver is granted by the Executive Director of the THC;

- The written permission from the THC granting an insurance waiver is submitted with the Self-Evaluation.

Procedures for obtaining insurance require that:

- The curatorial facility contacts an insurance broker to obtain fine arts and property insurance adequate to compensate the curatorial facility in the event of damage or loss of objects, collections, and physical facilities.
- Insurance coverage is evaluated and updated on a yearly basis to ensure it is adequate.

Access to collections

Criterion

Procedures for regulating and controlling physical access to objects and collections.

Standard

Procedures for access to state-associated held-in-trust collections require that:

- Physical access is restricted by locked, secured location and controlled entry;
- Records of staff having key access or key check-out permission are kept;
- Research access is controlled by a written and approved research design;
- Researchers abide by the handling policies and procedures of the curatorial facility;
- Research is carried out in an area separate from the collections housing area;
- If research is carried out in collections housing areas, researchers are supervised at all times.

Record keeping

Criterion

Procedure by which object and collection records are created, maintained, used and stored and by whom.

Standard

Procedure for documenting state-associated held-in-trust collections requires that:

- A complete Held-in-Trust Agreement is made when stewardship of a collection is transferred from THC to curatorial facility (a complete Held-in-Trust Agreement is a document signed by the THC that requires an inventory of counts of objects by materials types and total linear feet of documentation, see pp. 34 and 43);
- Curation agreement made when curatorial facility accepts collection from whomever generates it;
- Accession record made when collection is accessioned;
- Accession inventory made when collection is accessioned (or baseline inventory provided by submitting permittee/firm);

- Deaccession record made when an object/collection is deaccessioned and disposed of;
- Catalog record made when collection is cataloged (or catalog record submitted by permittee/firm);
- Loan agreement made any time object/collection is loaned;
- Relocation inventory made any time object/collection is loaned;
- Listing of all state-associated held-in-trust collections updated as collections are acquired;
- Spot-check inventory made on a portion of the collection on a regularly scheduled basis;
- Conservation report made any time object/collection is conserved;
- Infestation report made any time object/collection is infested by pests.

Records are created by those given authority in the curatorial facility's Collections Management Policy as soon as needed to avoid backlog, and are updated regularly.

Records are stored in a secure location providing access for persons who utilize them.

A duplicate copy of the records is kept in a secure location off site and is updated on a regular schedule.

Collections care

Criterion

Procedure by which environmental control, housekeeping, cleaning and housing of collections, and packaging and shipping of collections is achieved.

Standard

Collections care procedures require that environmental control, housekeeping, cleaning and housing of collections and packaging and shipping of collections are carried out as follows:

Environmental control (lighting, temperature, relative humidity, air particulates)

Criterion

Procedures for controlling environmental factors that contribute to the deterioration of objects and collections.

Standard

Environmental control procedure for state-associated held-in-trust collections requires that:

- Lighting, temperature, relative humidity, and atmospheric pollutants are monitored and regulated on an ongoing basis;
- Visible light levels are measured with a light meter and readings are documented;
- Light levels are:

no more than 50 lux/5 foot candles for light-sensitive organic objects;

150 lux/15 foot candles for less light-sensitive objects;

no more than 300 lux/30 foot candles for more light-stable inorganic objects;

UV levels do not exceed 75 microwatts per lumen.

- Light levels are monitored / checked every time the lighting situation changes;
- UV light is controlled by UV filters or UV free bulbs;
- Temperature and relative humidity are measured with thermometers/hygrometers, psychrometers, thermohygrometers, hygrothermographs or dataloggers;
- The preferred temperature is 68-72 \pm 2°F;
- The preferred relative humidity is 50%-60% \pm 5% with daily fluctuations of no more than 5%;
- Temperature and relative humidity are controlled by one or a combination of the following:
HVAC system(s); or
Air conditioner(s), heater(s), humidifier(s), dehumidifier(s), and fan(s).
- Temperature and relative humidity are monitored on a regularly scheduled basis.
- Atmospheric pollutants are measured by one of the following:
active sampling devices such as collection and lab analysis of gas samples; passive sampling devices such as metal foils that discolor in polluted atmospheres,
- Particulate pollution (e.g., soot, dust) and gaseous pollution (e.g., SO₂, NO₂, O₃) is controlled by one of the following:
filters in HVAC systems;
filters in freestanding filter devices.
- Particulate pollution also is controlled by regular vacuum cleaning of the building.

Housekeeping

Criterion

Procedures for the routine cleaning and preventive maintenance of the curatorial facility's structure and equipment are addressed.

Standard

Housekeeping procedure for state-associated held-in-trust collections requires that:

- Food preparation and eating/drinking areas are separate from collections storage and processing areas and are checked for cleanliness and/or cleaned daily;
- Trash is emptied and disposed of daily;
- Collections areas are checked for cleanliness and/or swept or vacuumed daily;
- Soiled packaging materials are disposed of properly;

- Equipment is kept in good order and is cleaned when necessary after use;
- Building and systems are inspected regularly, are maintained in good order and repairs are made in a timely manner.

Cleaning, packaging and housing of collections

Criterion

Procedures for cleaning, packaging, and housing the curatorial facility's objects and collections.

Standard

Procedures for cleaning, packaging and housing state-associated held-in-trust collections require that:

- Objects/samples/documents are evaluated for cleanliness during accessioning;
- Objects/samples/documents that require cleaning are evaluated to determine if they can withstand the cleaning process and use of any solvents;
- Cleaning is not undertaken if it will remove any evidence or material that may be of research value or compromise the life history or aesthetic integrity of the objects/samples/documents;
- Cleaning and use of solvents is not undertaken if it will damage or destroy the objects/samples/documents;
- Dirty objects that cannot be cleaned are encapsulated in stable, inert, archival packaging material before being placed in the collections housing area;
- Archival materials are used. Examples are:
 - Acid-free, lignin-free tags, labels, papers, folders, envelopes, boards, boxes and tubes that are calcium carbonate buffered or unbuffered;
 - Cotton and linen fabrics, tapes, cords and threads;
 - Polyester fabrics, threads, tapes, cords, batting and films;
 - Polyethylene self-closing bags, microfoam, boxes and boards;
 - Polypropylene self-closing bags, boards and boxes;
 - Cellulose adhesive;
 - Gelatin gelcaps;
 - Polyvinyl acetate and acetone adhesive;
 - Tyvek®;
 - Mylar®;
 - Marvelseal®;
 - Glass jars and vials with polypropylene or polyethylene caps.
- Stable, inert, archival housing units and packaging materials are used to provide a buffer between collections and the environment;

- Archival housing units are:
Electrostatically-applied powder-coated steel cabinets and shelves; or
Unscratched, unruled baked enamel steel cabinets and shelves;
- Objects are wrapped, bagged, boxed or otherwise containerized in archival materials before being placed in the collections housing area;
- Objects that cannot be wrapped or boxed in archival materials preferably are housed in self-enclosed housing units (enclosed cabinetry and shelving).

Packing and shipping of collections

Criterion

Procedures for how the curatorial facility packs and ships objects and collections.

Standard

Procedures for packing and shipping state-associated held-in-trust collections require that:

- Objects/samples/documents are evaluated individually to determine if they can withstand shipping;
- Packaging and shipping methods are chosen based on the individual requirements of the objects/samples/documents;
- Packaging materials protect the object/samples/documents from all reasonably anticipated risks associated with a particular shipping method;
- Clean cushioning material (foam, fabric, tissue paper) is used based on the individual needs of the object/samples/documents but materials that have direct contact with the objects/samples/documents are archival (see *Cleaning, packaging and housing of collections* section, pp. 51 - 52).
- The shipping method chosen provides best protection for the objects/samples/documents and shortest en route time.

Conservation Survey

Criterion

Procedures for assessing and improving all elements of operations that impact care and preservation of collections.

Standard

Procedure for conservation surveys of state associated collections requires the following are examined on a regularly scheduled basis and improvements made when necessary:

- collections management policies
- collections management procedures

- prevailing environmental conditions
- condition of objects is inspected and documented to prioritize conservation needs.

Emergency preparedness

Criterion

Procedures are addressed for how a curatorial facility prevents, responds to, and recovers from accidents, fire, flood and other man-made or natural disasters.

Standard

Procedure for emergency preparedness of state-associated held-in-trust collections require that:

- Routine emergency preparedness measures (e.g., building and systems inspections, preventive maintenance) are carried out on a regularly scheduled basis;
- Analysis of local hazards and risks forms the basis for the plan;
- The written plan addresses measures taken before, during and after an emergency and is tested and evaluated through drills and reviews on a regularly scheduled basis.

Accidents:

- The curatorial facility is inspected regularly to detect and correct any situation that might cause an accident to occur (e.g., faulty equipment, slippery floors);
- Staff is trained how to respond to an accident in accordance with the curatorial facility's emergency preparedness plan (e.g., when to call emergency services);
- Staff is trained how to recover from an accident in accordance with the curatorial facility's emergency preparedness plan (e.g., clean-up procedures, how to make an accident report, correcting the situation that caused the accident).

Fire:

- The curatorial facility is inspected regularly to detect and correct any situation that might cause a fire to occur (e.g., frayed electrical cord, flammable materials not properly stored);
- Staff is trained in how to respond to fire in accordance with the curatorial facility's emergency preparedness plan (e.g., how to operate fire extinguishers, how to evacuate the curatorial facility);
- Staff is trained in how to recover from a fire in accordance with the curatorial facility's emergency preparedness plan (e.g., how to salvage smoked or waterlogged objects, how to prioritize conservation treatment of such material).

Flood:

- The curatorial facility is inspected regularly to detect and correct any situation that might cause a flood to occur (e.g., leaky pipes, broken roof, rising flood waters);

- Staff is trained in how to respond to a flood in accordance with the curatorial facility's emergency preparedness plan (e.g., how to shut off water and electricity, how to operate a wet vac);
- Staff is trained in how to recover from a flood in accordance with the curatorial facility's emergency preparedness plan (e.g., how to salvage soiled and waterlogged objects, how to dry such material).

Other natural disasters:

- The curatorial facility is inspected regularly to detect and correct any situation that might cause a natural disaster to become a problem inside the curatorial facility (e.g., blocked storm drains);
- Staff is trained in how to respond to a natural disaster in accordance with the curatorial facility's emergency preparedness plan (e.g., closing storm shutters, relocating to emergency shelters);
- Staff is trained in how to recover from a natural disaster in accordance with the curatorial facility's emergency preparedness plan (e.g., clean-up and salvage procedures, returning to normal work routine).

Integrated pest management

Criterion

Procedures for how integrated pest management is used to exclude pests, monitor and modify the internal environment to make it inhospitable to pests, isolate and treat an infestation should one occur, and utilize non-toxic and / or least-toxic methods of control.

Standard

Procedures for pest management for state-associated held-in-trust collections require that the written Pest Management Plan address all elements of integrated pest management. These elements are:

- **Exclusion:**
The curatorial facility building is the initial barrier between collections and pests;
Internal walls are used as an internal barrier between collections and pests;
Cleanliness and good housekeeping are used to exclude pests.
- **Monitoring and detection:**
Passive trapping is used as a pest monitoring method;
Regular visual inspection of the curatorial facility is used to assist in detection of pests.
- **Habitat modification:**
Controlling relative humidity, removing sources of food and nesting material, and keeping the curatorial facility clean is used to modify the environment to make it less attractive to pests.
- **Identification and isolation:**
Identification of infesting organism;

Establishing maximum extent of the infestation and isolating infested material from the rest of the collections.

- Treatment/suppression:

Application of treatment to suppress the infestation. Acceptable treatments are:

Trapping

Vacuuming

Exposure to low temperatures

Exposure to low oxygen levels

Least-toxic chemical controls (general use pesticides) and non-toxic chemicals (restricted use pesticides are used only as a last resort)

Infested objects are cleaned of debris and dead organisms before they are returned to the collections housing area

- Evaluation:

Treatment method is evaluated for effectiveness

Security

Criterion

Procedures for how the curatorial facility provides security for objects and collections by utilizing traditional and non-traditional security.

Standard

Procedures for providing security for state-associated held-in-trust collections require that the following be addressed:

- General:

Authority;

Control of food and drink;

Control of firearms and other dangerous objects;

Control of photography;

Requirements to conform to instructions and signage.

- Key/card swipe control:

Key/card/swipe issue, loss, and replacement;

Key/card swipe sign-out, turn-in, and accidental removal from building of key/card swipe.

- Locks:

High security locking procedures (exterior doors, collections storage);

Procedures for any specialized locks and padlocks.

- Access:
 - Access during public hours;
 - Access during non-public hours;
 - Loading dock access;
 - Contractor access;
 - Visitor/researcher access;
 - Controlled area access;
 - Alarmed area access.
- Property control:
 - Institutional property removal;
 - Personal property removal;
 - Shipping, receiving, and delivery procedures;
 - Found property.
- Disaster protection:
 - Fire/Flood protection;
 - Regular/periodic maintenance;
 - Inspection/control of systems;
 - Hazardous materials procedures;
 - Disaster notification and response;
 - Evacuation, decision-making, and response.
- Investigation:
 - Incident reporting;
 - Situation investigation;
 - Reporting suspicious activities.
- Alarms:
 - Procedures for arming and disarming alarms;
 - Control of alarm maintenance;
 - Responding to/investigating alarms;
 - Reporting problems with alarms.

(If the curatorial facility has security provided by a parent body, then all it need do is reference the security plan for the parent body in the Self-Evaluation.)

E. Physical Facilities

- All certified curatorial facilities are housed in structure(s) that provide security and protection for their collections. Certified curatorial facilities are housed in structure(s) that are in good repair with fully operational internal building, security, and fire prevention, detection, and suppression systems, and environmental controls for temperature, relative humidity, and atmospheric pollutants.
- Curatorial facilities use their physical facilities to support preservation activities necessary to the mission.

Sound appropriate structure

Criterion

Housing objects and collections in a building or buildings that are in good repair and which provide security and protection from the external environment.

Standard

Practice of the following is required:

- Preventive maintenance is practiced regularly so that the physical facility and its systems are kept functioning and in good repair;
- The physical facility utilizes security and environmental monitoring and control to provide protection for collections against the external environment.

Adequate and appropriate insurance

Criterion

Purchasing insurance to provide monetary compensation in the event of damage or loss of the building(s).

Standard

Adequate insurance is that which would provide sufficient monetary compensation theoretically to repair or replace the building(s) in the event of its damage or loss.

(For those curatorial facilities that self-insure, there is a THC process to obtain a waiver from the insurance requirement. The written permission from the THC granting an insurance waiver must be submitted with the Self-Evaluation. See pp. 47 - 48 for procedure to obtain a waiver.)

Security system

Criterion

Utilizing a system of security devices to provide an environment where objects and collections are protected from damage or loss by whatever cause.

Standard

The following security devices are required:

- alarms
- key controlled/restricted access

Fire prevention, detection and suppression program

Criterion

Utilizing a program of mechanical and/or manual systems and equipment to prevent, detect and suppress outbreaks of fire.

Standard

The following fire prevention, detection, and suppression programs are required:

- Prevention:
Routine inspections of fire hazards (electrical equipment, storage of hazardous materials, storage of other combustible materials).
- Detection:
Smoke detectors
Heat detectors
- Suppression:
Fire Marshall approved suppression systems, as per National Fire Protection Association *Codes and Standards*.

Environmental controls (temperature, relative humidity, air particulates)

Criterion

Utilizing a program of mechanical and/or manual systems to monitor and regulate temperature, relative humidity and particulate and gaseous pollutants.

Standard

Environmental control procedure for state-associated held-in-trust collections requires that:

- Lighting, temperature, relative humidity, and atmospheric pollutants are monitored and regulated on an ongoing basis

F. Staff

- All certified curatorial facilities have a written code of ethics and trained staff to support the mission.
- Certified curatorial facilities have staff who act ethically, are guided by written personnel policies and job descriptions and are supported by the curatorial facility so that they may function most effectively.

Written code of ethics

Criterion

Having a written code of ethics governing all aspects of operations and activities to which all staff (paid and unpaid) and volunteers are expected to abide.

Standard

The following elements should be addressed:

- Individuals having an affiliation with the curatorial facility are familiar with and abide by the code of ethics adopted by the curatorial facility;
- Individuals having an affiliation with the curatorial facility fulfill all duties and responsibilities of their designated position and written job description, in a timely and professional manner;
- All resources of the curatorial facility are used only to serve the interests and purposes of the curatorial facility;
- Individuals affiliated with the curatorial facility have responsibilities related to maintaining the curatorial facility's image, trust and credibility to its public and academic audiences;
- Individuals properly represent the curatorial facility and its position when interacting with others;
- Individuals exercise professional discretion about activities and concerns of the curatorial facility and hold in confidence relevant information concerning matters such as collections, personnel, and security;
- Individuals having an affiliation with the curatorial facility avoid situations that may be construed as a conflict of interest.

Written job descriptions

Criterion

Having a written document that lists the requirements, duties and expectations of each position in the facility (including volunteers) and an organizational chart showing channels of authority.

Standard

The following elements should be addressed:

- Requirements:
Special abilities required;
Special training required;
Academic qualifications required.
- Duties:
Listing of tasks that are performed regularly;
Listing of tasks that are performed occasionally;
Listing of potential tasks.
- Expectations:
Where tasks are completed;
When tasks are completed;
Reporting/supervisory authority;
Work hours;
Dress code.
- Organizational chart.

(If the curatorial facility is a state agency or part of a parent body, it may reference the agency or parent body job descriptions in the Self Evaluation.)

Minimum one full-time staff member trained in collections care

Criterion

Having at least one full-time staff member who is trained in collections care.

Standard

Three years of collections management experience and Masters in Anthropology or Masters in area of the curatorial facility's collections focus with professional development and training in collections objects care, or Masters in Museum Science/Studies is required.

Support for staff training programs in collections care and memberships to collections-related organizations

Criterion

Having sufficient funding to support ongoing staff training initiatives and allowing time off for staff to participate in such initiatives and encouraging individual or institutional memberships in professional collections care and management organizations.

Standard

Employees are encouraged to participate in training programs that are funded by the curatorial facility and are allowed time off from normal work hours to participate.

The curatorial facility encourages staff membership in professional collections care and management organizations such as:

- American Association of Museums
- American Institute for Conservation
- Registrar's Committee of the American Association of Museums
- Collections Managers Committee of the Texas Association of Museums
- International Council of Museums
- Mountain-Plains Museum Association
- Natural Science Collections Alliance
- Registrars Committee of the Mountain-Plains Museum Association
- Society for the Preservation of Natural History Collections
- Texas Association of Museums

G. Visiting Scholars and Researchers

- All certified curatorial facilities have written policies for security, access to and handling of collections by visiting scholars and researchers.
- Certified curatorial facilities promote use of their collections by visiting scholars and researchers while providing for the security, protection and safe handling of those collections.

Written policy concerning access to collections

Criterion

Having a written policy relating to staff addressing who enters or leaves a secure collections area, and what they may do while in a secure area.

Standard

Only employees who work directly with collections have access to collections housing areas.

Collections staff supervises access by others (e.g., non-collections staff, researchers).

Research access is controlled by a written and approved research design.

Written procedures concerning security, access, and handling of collections

Criterion

Having written procedures addressing matters of security, access to a secure collections area and safe handling procedures.

Standard

Researchers abide by the handling policies and procedures of the curatorial facility.

Research is carried out in an area separate from the collections housing area.

If research is carried out in collections housing areas, researchers are supervised at all times.

H. Records Management

- All certified curatorial facilities have a records management system that allows collections and their associated documents to be accessed easily. Certified curatorial facilities have functional accession, catalog, inventory, and photodocumentation systems, an updated and current list of state-associated held-in-trust collections and a baseline inventory of all state-associated held-in-trust collections in their holdings.
- Certified curatorial facilities use their records management systems to produce and update records for all state-associated held-in-trust collections in their holdings.

Functional accession, catalog, inventory and photodocumentation systems

Criterion

Having a records management system for accessions, cataloging, inventory, and photo-documentation that allows for objects, collections and records to be retrieved and referenced.

Standard

The following is required to be accomplished within 30 minutes:

- Accession records are organized in such a way as to be accessed easily, to allow for objects to be matched to accession records, to be located physically, to be associated with other objects in the accession, and to be cross-referenced with catalog, inventory, and photo records;
- Catalog records are organized in such a way as to be accessed easily, to allow for objects to be identified, to be located physically, and to be cross-referenced with accession, inventory, and photo records;
- Inventory records are organized in such a way as to be accessed easily, to allow for objects to be located physically, and to be cross-referenced with accession, catalog, and photo records;
- Photodocumentation records are organized in such a way as to be accessed easily, to allow for objects to be identified, and to be cross-referenced with accession, catalog, and inventory records.

Updated and current list of state-associated held-in-trust collections

Criterion

Having a list of state-associated held-in-trust collections curated at the curatorial facility that is updated and kept current as collections are acquired and new information concerning existing collections becomes available.

Standard

The following is required:

- The curatorial facility has a complete list of all state-associated held-in-trust collections at the curatorial facility;
- The list is updated as information relating to new collections is added when the collections are acquired and accessioned for curation at the curatorial facility;
- The list is kept current as new information relating to existing collections is added to the list when it becomes available (such as after cataloging or as a result of research);
- Annual submission of updated list to the THC;

- A minimum of 80% of Held-in-Trust Agreements are signed and complete. A complete held-in-Trust agreement is a document signed by the THC that includes the curatorial facility accession number and requires an inventory of counts of objects by materials types and total linear feet of documentation.

Baseline inventory of state-associated held-in-trust collections

Criterion

Having a baseline inventory for each state-associated held-in-trust collection curated at the curatorial facility.

Standard

The curatorial facility is required to:

- Have a baseline inventory for each state-associated held-in-trust collection curated at the curatorial facility;
- Utilize the baseline inventory to record information on summary counts of objects/samples/documents within general categories;
- Include the baseline inventory as part of the Held-in-Trust Agreement.

I. Collections Care

- All certified curatorial facilities provide care and protection for collections that they curate in support of the mission.
- Certified curatorial facilities plan, layout and organize their collections housing area; space and organize collections and use archivally stable housing and packaging materials to provide a collections care environment that supports in-perpetuity preservation of state-associated held-in-trust collections.

Appropriate housing units with adequate and appropriate space

Criterion

Having housing units constructed from non-reactive materials that provide protection from environmental fluctuations and in which objects/samples/documents can be housed without crowding and safely accessed.

Standard

The following is required for the housing of state-associated held-in-trust collections:

- Housing units are constructed from non-reactive materials, that are steel with electrostatically applied powder coating or steel with non-scratched, non-rusted baked enamel coating;

- Housing units constructed from reactive materials (e.g., wood) have a barrier coating (e.g., latex paint) or barrier material (e.g., Marvelseal®) placed between their surface and objects/samples/documents, and have a maintenance schedule for resealing and replacement;
- Housing units are self-enclosing (cabinets with doors and gaskets);
- Housing units that are not self-enclosing use other methods of protection (dust covers, wrapping/boxing/bagging objects);
- Space is allowed between objects to allow for handling for retrieval.

Accessible and organized collections

Criterion

Having collections housing areas that are accessed and organized.

Standard

The following is required for organizing state-associated held-in-trust collections:

- Collections housing areas are protected by controlled access yet allow access by curatorial facility approved means (e.g., key access) to authorized staff;
- Collections housing areas are organized in such a way as to allow physical access by persons and any moving equipment (e.g., dolly, pallet jack);
- Collections housing areas are organized in such a way as to allow for closed cabinetry to be opened fully for safe access.

Packaging

Appropriate materials

Criterion

Using packaging materials that provide protection and will not react with the objects or housing environment.

Standard

Packaging materials for state-associated held-in-trust collections are required to:

- be free from acids;
- be free from lignin;
- be free from chlorides;
- be free from sulfides;
- be free from formaldehydes;
- be chemically inert to not react with objects/samples/documents, one another, or the environment;
- provide a buffer/barrier and/or padding between the object/samples/documents and the environment.

Appropriate object spacing

Criterion

Packaging objects/samples/documents for housing in such a way that they are protected from damage due to overcrowding.

Standard

The following is required for physically spacing state-associated held-in-trust collections:

- Fragile objects are placed inside containers or separated by padding material to provide support;
- Small durable objects are bagged and/or boxed with other like objects according to organization of collection;
- Space is allowed between objects to allow for handling for retrieval;
- Shelves or drawers are not loaded beyond their load-bearing capacity.

Appropriate organization of collections

Criterion

Having the housing of collections organized by provenience in a systematic manner that facilitates ease of retrieval.

Standard

The following is required:

- Collections are marked with accession or catalog numbers that allow them to be organized and accessed physically and intellectually;
- Collections are organized, housed, and inventoried with location information so that they may be accessed physically;
- Housing furniture is numbered and/or named as appropriate and location of furniture unit appears on the floor plan.

Application

Required Application Documents

Four documents are required to be submitted to the THC along with the Curatorial Facility Certification Program application form. These are:

Mission Statement

The Mission Statement is a written statement that articulates the fundamental reasons why the curatorial facility exists.

Statement of Purpose

The Statement of Purpose is a written statement comprising a concise definition of the curatorial facility's overall aims and objectives.

Scope of Collections

The Scope of Collections is a written statement that specifies the range of object types the curatorial facility will accept, along with other specifications such as regional or temporal foci.

Collections Management Policy

The Collections Management Policy is a comprehensive written integrated document that describes what, why, and how a curatorial facility collects. It is a public document that articulates an individual curatorial facility's professional standards about collecting and care of collections.

Some curatorial facilities may have a Mission Statement, a Statement of Purpose and a Scope of Collections statement as stand-alone documents. Others may incorporate them into the facility's Collections Management Policy. This is a matter of institutional preference and for the purpose of certification either format is appropriate. **What is most important is that all four documents are included and submitted with the application form. If they are not, the application process will be delayed.**

When completed, please return the application form and support documents to:

**Texas Historical Commission
Curatorial Facility Certification Program Coordinator
P.O. Box 12276
Austin, TX 78711-2276**

Collections Management Policy Checklist

The following checklist is provided to aid the curatorial facility in drafting or reviewing/revising a Collections Management Policy. It does not have to be returned with the application form. **Each item on the checklist is a required criterion that must be addressed in the Collections Management Policy of a curatorial facility wishing to become certified, as defined in the Texas Administrative Code Title 13, Part II, Chapter 29.6(d)(4)(C) (see *Handbook*, pp. 120 - 121).** If any item is not addressed (or not addressed adequately) in the Collections Management Policy, its lack may count as a disabling or deficiency factor at the Self-Evaluation stage of the process. Specific information on what must be addressed under each required criterion can be found in the “CFCP Criteria and Standards” section of this *Handbook*.

Written Collections Management Policies are required to address:

- _____ Acquisitions
- _____ Scope of Collections
- _____ Legal title
- _____ Held-in-Trust Agreements
- _____ Contract of Gift
- _____ Accessioning
- _____ Deaccessioning and disposal
- _____ Cataloging
- _____ Loans
- _____ Destructive loans
- _____ Inventory
- _____ Insurance
- _____ Appraisals
- _____ Access to collections
- _____ Record keeping
- _____ Collections care
- _____ Conservation
- _____ Emergency preparedness
- _____ Integrated pest management
- _____ Security

Collections Management Policy Sample Outline

The following Collections Management Policy sample outline is provided to aid in the drafting of or reviewing/revising the curatorial facility's own Collections Management Policy so that it meets the criteria defined in the Texas Administrative Code Title 13, Part II, Chapter 29.6. The sample outline contains examples of the required criteria and can be customized for each individual facility. A facility also should reference state-associated held-in-trust collections specifically wherever applicable in the Collections Management Policy.

Detailed criteria and standards for the Collections Management Policy and the specific expectations of the CFCP can be found in the *Criteria and Standards* section of this *Handbook*, starting on p. 24.

Sample Collections Management Policy Outline

- I. Acquisitions: The process of acquiring an object or collection for the curatorial facility. Objects and collections are acquired by purchase, gift, bequest, field research, exchange or any other method that transfers title to the curatorial facility. State-associated held-in-trust collections are acquired through their designation to a curatorial facility by the Commission. Stewardship is transferred but not title.
 - A. Appropriateness to mission and scope of collections
 - B. How acquisition is documented with a contract of gift or other document transferring title or stewardship of state-associated held-in-trust collections.
 - C. Resource considerations - having adequate resources to care for objects and collections appropriately
 - D. Conditions of acceptance
 1. Contract of Gift (*also known as deed of gift, gift form, instrument of gift*) includes any conditions of gift.
 2. Held-in-Trust agreement: The document signed by the commission and the designated curatorial facility that provides for the transfer of stewardship to the curatorial facility for the state-associated held-in-trust collection, provides the state-associated held-in-trust collection's accession number and accessions inventory, and notes any conditions or restrictions.
 3. Other documents such as bill of sale or will, that transfers title
- II. Accessions: The formal acceptance of a collection and its recording into the holdings of a curatorial facility and generally includes a transfer of title. For state-associated held-in-trust collections, stewardship but not title is transferred to the curatorial facility.
- III. Deaccession and Disposal
 - A. Deaccession: The permanent removal of an object or collection from the holdings of a curatorial facility
 1. Criteria-what to cull from collection
 2. Legal and ethical considerations - having legal title and being free from restrictions
 3. Deaccessioning of state-associated held-in-trust objects/collections

- B. Disposal: The mechanism for the discard of an object, collection or sample
 - 1. How does the facility dispose of the object?
 - 2. Does facility employ the method of sale? If yes, then state how facility uses the proceeds (proceeds must go back into the collections and not be used for daily operations).

- IV. Cataloging: Assigning an object to an established classification system and having a record containing identification, provenience, accession and catalog numbers, and location of that object in the collection storage area.

- V. Loans: must address incoming, outgoing loans and destructive loans.
 - A. Who has the authority for accepting/granting loans?
 - B. The decision to grant a loan request is based on the condition of the object and if it can withstand the rigors of being loaned. Other considerations are:
 - 1. Insurance – insurance is required on all outgoing loans of state-associated held-in-trust collections
 - 2. Exhibit conditions such as lighting, temperature and relative humidity.
 - 3. Housing, handling and shipping policies
 - 4. Other considerations unique to the object
 - C. Destructive Loans/Destructive Analysis: Destroying all or a portion of an object or sample to gain specialized information.
 - 1. Incoming/outgoing loans
 - 2. State-associated held-in-trust collections - implications for stewardship issues

- VI. Collections Care
 - A. Preventive Conservation: To maintain the collections in stable condition through preventive maintenance, condition surveys, environmental controls, and pest management.
 - B. Housing
 - C. Handling, moving and shipping

- VII. Conservation: Scientific laboratory process for cleaning, stabilizing, restoring and preserving artifacts.

- VIII. Record Keeping: System curatorial facility uses for the preservation of the information of a collection.
 - A. Registration
 - 1. Accessions
 - 2. Loans
 - 3. Other
 - B. Curation
 - 1. Cataloging
 - 2. Inventory

System should provide easy retrieval of object, information and location.

- IX. Insurance: Transfer of risks by means of a two-party contract between the insurance company and the curatorial facility. A promise by an insurance company to indemnify or make whole a loss.
 - A. Does the facility insure?
 - B. Are items loaned to the facility for identification or consideration for acquisition covered?

- C. Other liability issues
- X. Appraisals: An estimate of the monetary value of an object or collection carried out by an independent appraiser.
- A. Curatorial facility does not provide appraisals for the general public
 1. For in-house insurance purposes - in house professional evaluation
 2. For donor or public - must contract an independent appraiser
 - B. Staff makes professional evaluations of collections for in-house purposes only. These are not appraisals.
- XI. Inventory: A physically checked, itemized list of the objects in a curatorial facility's holdings.
- A. Purpose of inventory
 - B. Frequency of inventory
 - C. Types of inventories
- XII. Access to the collections
- A. Who has access and for what purpose?
 - B. Fees for services, if applicable.
 - C. What is done about scholar's notes?
Scholar's notes are not the same as field notes but rather notes from research on the collections. Policy should address scholar's notes as important information that should be retained with information on the collections. Providing the curatorial facility with access to a scholar's notes does not limit the scholar's publication rights.
 - D. Allow reproductions?
 1. If yes, how? Photography, photocopying, etc.
 2. Is there a cost?
 3. Acknowledgment/credit in publication?
 - E. Public's right to access by
 1. Exhibits
 2. Public programming
 3. Dissemination of information (publications)
- XIII. Emergency Preparedness (*also Disaster Management*): The advance effort by a collecting institution to ensure the safety of personnel, facilities and collections in the event of a natural disaster (flood, earthquake) or institution-specific emergency (e.g. fire, broken water pipe, bomb threat).
- XIV. Integrated Pest Management: (*also Pest Management or IPM*): A program to reduce pest access to collections and to remove the factors that pests require for survival.
- XV. Security: A way to monitor employees, researchers and the public to limit the opportunities for theft and destruction to objects, samples, documentation and historical items.

Self-Evaluation

Introduction to Self-Evaluation

After a successful application to the Curatorial Facility Certification Program, the curatorial facility moves on to the second part of the certification process, the Self-Evaluation. The Self-Evaluation consists of an in-depth assessment by the applicant curatorial facility of its governance, collections, resources, policies, procedures and plans. The curatorial facility has six months to complete the Self-Evaluation.

The Self-Evaluation questionnaire guides the curatorial facility through the self-evaluation process. It is included with this *Handbook*, and is available online at the THC website. When complete, the questionnaire serves as the baseline record of the facility's current circumstances and operations. The completed Self-Evaluation questionnaire is returned to the THC along with the Required Documents Checklist and the required documents. The THC evaluates the Self-Evaluation questionnaire and required documents and gives the applicant 30 days to provide any additional material that may be required. A successful examination of the questionnaire and the required documents by the THC provides the impetus for the curatorial facility to move on to the third part of the certification process, the Field Review.

The Self-Evaluation is extensive and includes examination into nine areas of concern:

Governance	Staff
Finance	Visiting Scholars & Researchers
Policies	Records Management
Procedures	Collections Care
Physical Facilities	

Completion of the Self-Evaluation requires input from both the staff and the governing body of the curatorial facility. It is most effectively completed when all staff and board members are given the opportunity to provide input. All questions must be answered, even if the response is completed as “not applicable”. It does not matter if one person completes the questionnaire or if several people complete the different areas of concern. It is important, however, that the questionnaire be reviewed and approved by the director of the curatorial facility (or designated representative) and chair of the board (or equivalent). Their signatures are required on the completed questionnaire before it is submitted to the THC.

Problems may be detected by the curatorial facility while conducting the Self-Evaluation that previously were not obvious. To avoid incurring a disabling or deficiency factor, these problems should be addressed and corrected during the Self-Evaluation process prior to submitting the completed questionnaire and supporting documents.

An occasion may arise in which problems that cannot be corrected in the allotted six-months may be viewed as a disabling factor when the Self-Evaluation is reviewed. The curatorial facility should decide whether to continue in the certification process by submitting the Self-Evaluation, or withdraw and reapply at a later date. A facility that voluntarily withdraws, upon written notification to the THC before submitting the Self-Evaluation, may continue the certification process by submitting the Self-Evaluation at a later date.

The completed Self-Evaluation also functions to allow the Commission staff to become better acquainted with the curatorial facility and prepare accordingly for the Field Review. Information supplied in the Self-Evaluation and the required documents provide the basis for what is followed up on during the Field Review.

The CFCP Self Evaluation, Required Documents Checklist and instructions for their completion are included with this *Handbook* as separate documents.

When completed, please return the Self Evaluation, Required Documents Checklist, and required documents to:

**Texas Historical Commission
Curatorial Facility Certification Program Coordinator
P.O. Box 12276
Austin, TX 78711-2276**

Tips for completing the Self-Evaluation

Although there is no single “correct” way to proceed, there are many ways in which you can prepare to complete the Self-Evaluation. These tools may be more useful for some curatorial facilities than for others and include:

- **Getting started.** Read all the materials and questions carefully before you begin to answer questions or assemble documents.
- **Assembling a team.** It may be helpful to divide responsibility among a team with a coordinator who completes and correlates the Self-Evaluation questions and documents once assembled.
- **Establishing a timetable.** You have six months to complete the Self-Evaluation. If you seem to be running out of time, be sure to apply for an extension before the six months have expired.
- **Asking questions.** If you have any questions, please contact the CFCP Coordinator for assistance.

The Self-Evaluation questions were field-tested and evaluated for clarity and were written to be as straightforward as possible, given that they have to be relevant and applicable to a wide variety of curatorial facilities. However, please contact the CFCP Coordinator if clarification is needed.

The Self-Evaluation is the primary representation of your curatorial facility to the THC. Its appreciation of your facility and the ease with which it is able to review the Self-Evaluation will be enhanced if the following guidelines are kept in mind while answering the questions.

- **Be transparent.** Answer the questions to highlight the strengths of the curatorial facility, but be honest about addressing weaknesses. No facility is perfect and the THC will appreciate your thoughtful analysis of your own particular situation.
- **Provide current information.** Answers to questions should reflect the current situation at the facility. If a project is in process, or if any other major changes occur, you may address these during the Field Review.
- **Be thorough.** Answers to questions should be as thorough as possible. Use all the space you need on the questionnaire to provide a complete description of the matter of concern.

- **Be consistent.** Make sure that the information provided in answers to the questions and in the attached documents agree with one another. If they do not, the Field Reviewer will have to ask for clarification during the Field Review visit.
- **Convey a positive and professional tone.** A positive and professional tone that is projected throughout the Self-Evaluation reflects well on your facility.
- **Make the Self-Evaluation presentable.** Make the Self-Evaluation document as neat, tidy, and professional in content and presentation as possible.

Self-Evaluation Benefits

The Self-Evaluation assists the curatorial facility in preparing for the Field Review and provides a forum for internal review and discussion of current operating and professional standards and practices. Completing the Self-Evaluation benefits the curatorial facility in several ways.

- **Promotes foundation for future planning**

The curatorial facility has an indication of its current circumstances, thus creating a starting point for future operations and planning.

- **Assists in reviewing and revising governance structure of curatorial facility**

Well-defined governance guides all aspects of a curatorial facility's activities.

- **Guides facility through a thorough investigation of its mission and priorities**

The comprehensive nature of the Self-Evaluation provides a clearer understanding of how well the facility upholds its mission. Priorities then are focused closely on the mission.

- **Provides an opportunity to create/review/revise the Collections Management Policy as the principal document of the curatorial facility**

At the application stage, the curatorial facility submits a written Collections Management Policy that is reviewed by the Commission staff as part of the certification process.

- **Stimulates discussion of change and clarification of roles and practices**

The revised Collections Management Policy and revised job descriptions support effective operations.

- **Inclusion of staff and board in process helps in improving internal communication**

The Self-Evaluation functions to ready a facility for the Field Review while providing a forum for assessment, debate and dialogue of operating and professional standards and practices among its staff.

- **Educates staff and board**

Participation of staff and board in the certification process allows both parties to become familiar with the policy and procedures of all aspects of curatorial facility operations.

- **Provides opportunity to identify strengths and weaknesses**

Questions in the Self-Evaluation are far-reaching and allow a facility to become aware of areas that are in need of improvement. Conversely, areas of strength also become evident.

- **Motivates change and improvement**

An understanding of strengths and weaknesses allows the curatorial facility to support and foster progress in line with certification program criteria and standards.

- **Provides the opportunity to enhance the protection and preservation of the collections for future generations of Texans**

The THC state-associated held-in-trust collections focus on the history of Texas in its broadest sense. These collections are generated in a number of ways for scholarly and public use for research, exhibitions, interpretive and educational programming, and heritage tourism. A certified curatorial facility specifically is focused on protection and preservation of these collections

- **Creates a measure for evaluating future operations**

The Self-Evaluation can become an in-house guide for planning and review of various areas in the curatorial facility as needed. It also assists the curatorial facility in preparing for future certifications.

Field Review

Field Review process

The Field Review is the third part of the certification process and the final part in which the curatorial facility directly participates. A curatorial facility that has submitted its Self-Evaluation and been approved to proceed in the certification process by the THC executive director will be contacted by THC staff to arrange for the Field Review visit at a mutually convenient time. The THC makes the travel and accommodation arrangements, but may consult with the curatorial facility on such things as locally convenient hotels. The CFCP covers the field reviewer's costs relating to the Field Review visit.

Prior to the Field Review visit, the field reviewer becomes familiar with the curatorial facility by thoroughly reviewing the completed Application, Self-Evaluation and required documents submitted. The field reviewer then completes the Self-Evaluation and Required Documents Assessment form based on an assessment of the curatorial facility's responses to the Self-Evaluation questionnaire and documents submitted so that any unresolved issues may be addressed and any necessary questions may be asked during the Field Review visit. For example, if a document is not received, or if a document is received but does not meet the certification standard, the field reviewer notes this in the questions and comments section for each area of focus and follows up on the issue by asking specific follow-up questions during the Field Review visit. The field reviewer also will ask specific follow-up questions if issues are raised in the responses to the Self-Evaluation that cannot be resolved prior to the Field Review. The areas of focus for the Self-Evaluation and Required Documents Assessment are the same as those for the Self-Evaluation: governance, finance, policies, procedures, physical facilities, staff, visiting scholars and researchers, records management and collections care.

During the visit, the field reviewer will ask questions and make notes of the responses on the Field Review Questions form. The purpose of the Field Review Questions form is to guide the field reviewer in the on-site evaluation. The areas of focus for the Field Review Questions are the same as those for the Self-Evaluation and the Self-Evaluation and Required Documents Assessment as noted above. The field reviewer will not necessarily ask all of the questions on the Field Review Questions form directly, as some questions may already have been answered by the responses to the Self-Evaluation, and some questions can be answered by observations made during the visit. The field reviewer, however, will ask questions that relate to a specific circumstance at the curatorial facility, as revealed by the responses to the Self-Evaluation. The field reviewer also will ask any questions to clarify issues of concern identified during the Self-Evaluation and Required Documents Assessment or that come up during the Field Review from observation or responses by curatorial facility personnel. If the curatorial facility has addressed and resolved any situation that was a matter of

concern when the Self-Evaluation was submitted, the field reviewer will welcome this being pointed out. In this way, the specific set of the Field Review questions asked is customized to reflect the unique situation at each curatorial facility.

Responses to the questions on the Field Review Questions form assist the field reviewer in evaluating how the curatorial facility is meeting its own stated purposes with the resources at hand. The field reviewer uses the responses to the Field Review Questions and the responses to the Self-Evaluation in completing the final document in the certification process, the Written Narrative Report and Certification Recommendation.

Immediately after the Field Review visit, the field reviewer completes the Written Narrative Report and Certification Recommendation that summarizes the findings of the field reviewer based on the responses to the Self-Evaluation, the Field Review Questions and the Field review visit. It also is divided into the same nine areas of focus as the Self-Evaluation as noted above.

When completed by the field reviewer, the Written Narrative Report and Certification Recommendation contains observations and comments regarding both issues raised and recognition of areas of operation that meet or exceed expectations as stated in the CFCP criteria and standards. The field reviewer also makes a recommendation either for awarding certification, awarding provisional certification for a period of three years, or for denying certification. The recommendation is made in light of the facility's own stated purposes and resources, and the field reviewer cites specific reasons for the recommendation. The Written Narrative Report and Certification Recommendation then is submitted to the THC's executive director who may approve, disapprove, or amend the recommendation.

The applicant curatorial facility is given no less than 30 days notice of the commissioners meeting when its application will be considered. It also is provided with a copy of the Written Narrative Report and Certification Recommendation, the THC's executive director's recommendation and any other relevant documents. The applicant also has the opportunity to present written and oral information in support of its application to the staff, the Commission, and any committees thereof. The curatorial facility will be notified about the decision of the Commission in writing. If certification is denied, the Commission will provide reasons for the denial to the facility.

Field Review visit

The Field Review visit takes place over a period of two days. This timeframe is necessary so that the field reviewer can fully and accurately understand the situation at the facility and represent it faithfully to the THC. The curatorial facility is asked to provide a small, undisturbed workspace with a table and chair where the field reviewer may retire to write and review the visit as it progresses. The field reviewer may need to do this several times throughout the visit due to the amount of information that will be gathered and transcribed.

The field reviewer will ask to meet with the collections staff so that questions may be directly asked and discussed. The answers need only address state-associated held-in-trust collections, so if the curatorial facility has other types of collections, these do not need to be addressed. The field reviewer also will ask to be taken on a tour of the state-associated held-in-trust collections housing, documents, workspace and any other related areas, and will expect to be accompanied at all times. During the tour, the field reviewer will ask to see inside examples of cabinets, shelving units and flat files that house state-associated held-in-trust collections and documentation. The field reviewer also will ask to see inside examples of packaging materials that are used to package state-associated held-in-trust collections, such as boxes, bags, vials and folders. It is not necessary to take the field reviewer on a tour of any other areas of the curatorial facility that do not relate directly to state-associated held-in-trust collections, such as exhibit or special programming areas. The field reviewer, however, will ask to be taken on a tour of the outside of the facility.

The field reviewer will spend much time during the question and answer session and the tours taking notes, and may not be able to engage in much additional conversation. This is not intended to be rude or imply disinterest. The field reviewer is making his or her best effort to verify and represent the situation at the curatorial facility accurately and impartially while making the staff as comfortable as possible throughout the process. The field reviewer also will reassure the staff that the process is confidential and any information will not be discussed outside the CFCP process. The field reviewer may answer any question from the staff relating to the CFCP process and clarification thereof, but not, for example, relating to a positive or negative evaluation or likely recommendation. The field reviewer will conduct him or herself professionally and treat the curatorial staff with courtesy and respect throughout the entire visit so that all involved feel they have benefited from the process.

Concepts, Terms and Glossary

Concepts, Terms and Glossary

Access The process of controlling who enters or leaves a secure collections area, when they may enter and leave, and where they may go and what they may do after they are inside.

Accession The formal acceptance of a collection and its recording into the holdings of a curatorial facility and generally includes a transfer of title. For state-associated held-in-trust collections, stewardship but not title is transferred to the curatorial facility. Title remains with the State.

Accession Number A unique identifying number assigned to an object or collection as it is entered into the curatorial facility's register.

Accessions inventory An inventory conducted at the time of accessioning when a collection or historical item is placed at the designated curatorial facility. It is similar to a baseline inventory in that it is comprised of the categories represented in the collection, quantities and linear feet of documentation as appropriate.

Acid-free A pH of 7.0 (neutral) or higher (alkaline), a requirement for archival housing and storage materials as acids can weaken cellulose in paper, cloth and board and lead to embrittlement. Acids also weaken proteinaceous material.

Acid migration The movement of acid from an acidic material to another lesser or non-acidic material. This can occur as a result of direct contact or through exposure to acidic vapors.

Acquisition of state-associated held-in-trust collections The process of acquiring a collection or historical item owned by the State of Texas through designation of a curatorial facility by the Texas Historical Commission. Collections or historical items usually are acquired through fieldwork or research, donation, bequest or purchase.

Acquisition Policy An official statement issued by a curatorial facility identifying the kinds of materials it accepts and the conditions or terms that affect their acquisition. It serves as a basic document for the guidance of staff and organizations and persons interested in depositing their collections. Part of the overall Collections Management Policy.

Adequate Sufficient

Air Particulates Atmospheric pollutants that are solid particles that coat and abrade collection objects, such as soot and dust.

Air Pollutants Airborne pollution that is particulate or gaseous in nature.

Antiquities The tangible aspects of the past, which relate to human life and culture. Some examples include objects, written histories, architectural significance, cultural traditions and patterns, art forms and technologies.

Appraisal An estimate of the monetary value of a particular object, collection or piece of property for the purposes of income tax deduction, insurance or sale, carried out by an independent appraiser.

Appropriate Suitable

Archival quality The term used to imply that products are suitable for preservation purposes.

Articles of incorporation The document that outlines the fundamental principles upon which the curatorial facility is established and governed.

Artifact An object that has been removed from an archeological site.

Associated documentation Documents produced at the same time the objects/samples are generated (e.g., field notes, analysis records).

Baseline inventory The most basic inventory done by summary count within general categories (similar to an entry or accessions inventory).

Buffer A substance with an alkaline reserve added, used to restrain the acid migration of a material. Acid-free paper products used in collections packaging and housing often are buffered.

Cataloging Assigning an object to an established classification system and having a record containing identification, provenience, accession and catalog numbers and location of that object in the collection storage area.

Certification The process through which a curatorial facility establishes that it has achieved certain standards and follows acceptable practices with respect to its collections.

Certified curatorial facility A museum or repository that has been certified by the Commission for the purposes of curating state-associated held-in-trust collections.

Code of Ethics A formal statement of the body of moral precepts or rules of conduct considered to be the standards for a profession. Examples of the American Association of Museums and the International Council of Museums code of ethics may be found online at www.aam-us.org and www.icom.museum.

Collection An associated set of objects, samples, records or documents or an associated set of documents only.

Collections Management Administration and care of collections with concern for their long-term physical well being and safety. Includes issues of conservation, access and use, inventory and record keeping as well as administration of the overall composition of the collection(s) in relation to the curatorial facility's mission and goals.

Collection Management Policy A comprehensive written statement that describes what, why and how a curatorial facility collects. It is a public document that articulates an individual curatorial facility's professional standards about collecting and care of collections.

Collections Manager A trained professional who is responsible for any and all aspects of collections care. Specific responsibilities vary by facility, but can include day-to-day care of and access to collections, inventory, cataloging and information management.

Collections Care An holistic approach to the preservation and conservation of collections that involves all aspects of the curatorial facility, from the facilities in which collections are housed and used to basic policies and practices and the education and training of staff; collections care is the responsibility of all staff, administrators and trustees and many collections care activities are carried out by collections staff other than conservators.

Commission The Texas Historical Commission and its staff.

Condition Report An accurate, written, and photographic description of an object that documents its state of preservation at a moment in time and is updated each time the object is involved in any activity, such as going on loan or put on exhibit. Assists in planning for conservation treatment.

Conservation Scientific laboratory process for cleaning, stabilizing, restoring and preserving artifacts.

Conservation Survey Inspection and documentation of condition of collections objects carried out by facility staff on an ongoing basis as part of routine collections management work.

Conservation Report Statement describing the physical condition of an object, including proposed or executed treatment, based on an examination using appropriate scientific techniques.

Conservator A professional trained in the theoretical and practical aspects of preventive conservation and in performing conservation treatments to prolong the lives of objects and documents. Often specializes in a particular class of objects or materials.

Consolidant A non-reactive chemical used to strengthen the internal structural material of an object.

Contract-of-gift A document that transfers ownership of an object or collection from a donor to a curatorial facility. It should include all conditions of the gift. A contract of gift also is known as a deed of gift, instrument of gift or gift form.

Court-action collections Collections that are awarded to the THC by a court through confiscation of illegally-obtained archeological artifacts or any other material that may be awarded to the commission by a court of law.

Curation The process of acquiring, managing, researching and preserving a collection according to professional practices.

Curation agreement Document/contract between two parties (one usually a curatorial facility) detailing the curation of a collection(s). It includes details on the state of the collection when given to the facility, work to be done at the facility, responsibilities to the collection for both parties, costs, ownership and details concerning access and use of the collection.

Curator A trained professional who is usually responsible for the care, exhibition, research, and enhancement of a curatorial facility's collections. Specific duties vary between facilities.

Curatorial facility A museum or repository.

Deaccession The permanent removal of an object or collection from the holdings of a curatorial facility.

Deficiency Factors Factors that may delay or prevent certification. Deficiency factors are incomplete policies, procedures, plans, systems, documents, facilities, and materials. They are inadequate or substandard, lacking in some essential requirement for maintaining professional curatorial practices required for certification. Deficiency factors are listed in full in Chapter 29.6 (e) (2) (A-N).

Designated curatorial facility Any curatorial facility that is holding or seeking to hold any state-associated held-in-trust collection on behalf of the Commission.

Destructive analysis Destroying all or a portion of an object or sample to gain specialized information. For purposes of Chapter 29, it does not include analysis of objects or samples prior to their being accessioned by a curatorial facility.

Disabling Factors Factors that may prevent certification. Disabling factors are the absence of essential policies, procedures, systems, documents or adequate facilities required for certification. Disabling factors are listed in full in Chapter 29.6 (e) (1) (A-m).

Disaster Management (*Also Emergency Preparedness*) The advance effort by a curatorial facility to ensure the safety of personnel, facilities and collections in the event of a natural disaster, e.g. flood, tornado, earthquake or other emergency or accident (e.g., fire, broken water pipe, bomb threat, vandalism). Guidelines for action usually are formalized in writing in a Disaster Management or Emergency Preparedness Plan.

Documentation All physical paper or electronic records of information relating to an object or collection; the process of creating records pertaining to each object in a collection

Donated Collections Collections that are the result of a gift, donation or bequest to the Commission.

Emergency Preparedness (*Also Disaster Management*) The advance effort by a curatorial facility to ensure the safety of personnel, facilities and collections in the event of a natural disaster, e.g. flood, tornado, earthquake or other emergency or accident (e.g., fire, broken water pipe, bomb threat, vandalism). Guidelines for action usually are formalized in writing in a Disaster Management or Emergency Preparedness Plan.

Environmental Control The creation and maintenance of an environment in curatorial facilities conducive to their long-term preservation of collections. Environmental control encompasses temperature, relative humidity, air quality, lighting, freedom from biological infestation, housekeeping procedures, security and protection from fire and water damage and other accidents or disasters.

Field Review The final part of the certification process where a qualified Commission staff member visits the applicant curatorial facility to verify and clarify the facility's situation and operations.

Facility Report Prepared by a curatorial facility that outlines its facilities, environmental controls and monitoring, and collections management procedures. Lending institutions often use these reports to decide whether a borrowing institution is able to care for and manage loaned objects properly. The Standard Facility Report can be obtained from the American Association of Museums bookstore catalog.

Gaseous Pollution Airborne pollution in the form of gases that react with collections objects and cause deterioration. Those that pose the greatest potential threat to objects and collections are Sulfur Dioxide (SO₂), Nitrogen Dioxide (NO₂), and Ozone (O₃).

Held-in-Trust Agreement The document signed by the Commission and the designated curatorial facility that provides for the transfer of stewardship to the curatorial facility for the state-associated held-in-trust collection, provides the state-associated held-in-trust collection's accession number and accessions inventory, and notes any conditions or restrictions.

Held-in-Trust collection (state-associated) Those state-associated held-in-trust collections under the authority of the THC that are placed in a curatorial facility for care and management; stewardship is transferred to that curatorial facility but not ownership.

Inadequate Insufficient

Inappropriate Unsuitable, incompatible

Incomplete Lacking a part, unfinished, not complete

Incoming loan The temporary reassignment of an artifact or collection into the curatorial facility involving a change of physical location but not of title or held-in-trust status.

Infrared Light The portion of light beyond 760nm that is not visible but which can be felt as heat. It can cause heating of objects that leads to deterioration.

In-perpetuity Literally means continuing forever. Used in reference to the curation of objects and documents by a curatorial facility for the entire length of an item's life.

Institutional Organizational Document A written document explaining how the curatorial facility is organized.

Insurance Coverage by contract whereby one party undertakes to indemnify or guarantee another against loss by a specified contingency or peril.

Inventory A physically checked, itemized list of the objects in a curatorial facility's holdings. Itemized refers to having some sort of categorization, whether it be object-by-object or some type of grouping. Inventory is usually performed by numerical count, but weight may be considered in addition to or instead of a count, where it may be appropriate.

Legal Title The possession of rights of ownership in personal property; questions of completeness and quality of title apply.

Loan The temporary reassignment of an artifact or collection from one curatorial facility to another involving a change of physical location but not of title or held-in-trust status.

Mission Statement A written statement that articulates the fundamental reasons why the curatorial facility exists

Museum A legally organized not-for-profit institution, essentially educational in nature; having a formally stated mission; with a professionally trained staff that uses and interprets objects for the public through regularly scheduled programs and exhibits; with a program of documentation, care and use of collection or tangible objects; and having a program of maintenance and presentation of exhibits.

Non-permitted collections Collections that are the result of work governed by the Texas Antiquities Code on land or under waters belonging to the State of Texas or any political subdivision of the State conducted by commission personnel without the issuance of a permit.

Not-for-profit status Has form 1023 or 990 on file as evidence of being exempt from federal taxes.

Outgoing loan The temporary reassignment of an artifact or collection from the curatorial facility to another institution involving a change of physical location but not of title or held-in-trust status.

Permit A document that grants an institution the right to do something not forbidden by law but not allowable without such authority.

Permitted collections Collections that are the result of work governed by the Texas Antiquities Code on land or under waters belonging to the State of Texas or any political subdivision of the State requiring the issuance of a permit by the Commission.

Pest Management (*Also Integrated Pest Management or IPM*) A program of controls designed to reduce pest access to collections and to remove the factors that pests require for survival.

Policy A governing principle, plan or course of action involving conduct or management. It is a written governing document that provides an over-arching umbrella for a plan or program of how business is conducted.

Political subdivision A local government entity created and operating under the laws of this state, including a city, county, school district, or special district created under the Texas Constitution, Article III, Section 52(b)(1) or (2), or Article XVI, Section 59.

Preventive conservation To maintain the collections in stable condition through preventive maintenance, condition surveys, environmental controls and pest management.

Procedure Statement of how a governing principle will be implemented; rules and regulations applied to a framework; a definition of how a policy is to be carried out.

Provenience The location from which an object comes.

Provisional status Temporary standing for a maximum period of three years in which the curatorial facility must submit a plan and schedule for correcting disabling and deficiency factors within 90 days of being assigned provisional status.

Public lands Non-federal public lands that are owned or controlled by the State of Texas or any of its political subdivisions, including the tidelands, submerged land, and the bed of the sea within the jurisdiction of the State of Texas.

Purchased collections Collections that are the result of the acquisition of significant historical items by the Commission through the Texas Historical Artifacts Acquisition Program or use of other state funds.

Records Management Responsibility for the systematic control of the creation, maintenance, use, and disposition of records.

Registrar A trained professional responsible for the development and implementation of procedures and policies affecting the acquisition, management and disposition of collections. A registrar also usually maintains all collection documentation, including inventory and loans.

Relative Humidity The amount of water vapor in the air, expressed as a percentage of the maximum that the air could hold at a given temperature. Relative humidity (RH) is temperature dependent; if no additional moisture is added to the air, as the temperature increases, the RH decreases. Fluctuations and extremes in relative humidity can damage collections objects.

Relocation inventory A physically checked, itemized list of a specific subset of objects that have been moved from their permanent location within the holdings of the curatorial facility.

Repository A permanent, not-for-profit educational or research-oriented agency or institution, having a professionally trained staff, that provides in-perpetuity legal housing and curation of collections.

Risk Management The planning and use of available resources to minimize overall threat to collections. Involves identifying threat, identifying strategies to eliminate or manage threat, and setting priorities for threat elimination and management. In curatorial facilities, risk management involves measures for security, fire control, pests, disaster planning, and insurance.

Sample A portion of the whole. For collections, samples generally are of sediments, shells, burned rocks or other such bulk materials

Scope of Collections A written document that specifies the range of object types the curatorial facility will accept, along with other specifications such as regional or temporal foci.

Security Controlled access to collections area of employees, researchers and the public to limit the opportunities for theft and destruction to objects, samples and documentation. Strict collections access aids in the control of human traffic in collections areas. Collections areas should be in locked, secured locations with restricted access and controlled entry.

Self-Evaluation An in-depth assessment by a curatorial facility of its governance, collections, resources, policies, purposes and plans. It involves the completion of a questionnaire and is the second part of the certification process.

Significance A trait attributable to sites, buildings, structures and objects of historical, architectural and archeological (cultural) value which are eligible for designation to State Archeological Landmark status and protection under the Antiquities Code of Texas. Similarly, a trait attributable to properties included in or determined eligible for inclusion in the National Register of Historic Places.

Site Any place or location containing physical evidence of human activity. Examples of sites include: the location of prehistoric or historic occupations or activities, a group or district of buildings or structures that share a common historical context or period of significance, and designed landscapes such as parks and gardens.

Spot-check inventory An organized location search to produce a physically checked, itemized list of a predetermined subset of objects for which the curatorial facility is responsible.

Stabilization Treatment of an object or its environment in a manner intended to reduce the probability or rate of deterioration and of damage.

State-associated held-in-trust collections Collections owned by the State and under the authority of the Texas Historical Commission. These include: permitted collections, non-permitted collections, purchased collections, donated collections and court-action collections.

State Archeological Landmark Any cultural resource or site located in, on, or under the surface of any lands belonging to the State of Texas or any county, city, or other political subdivision of the state, or a site officially designated as a landmark at an open public hearing before the commission.

Statement of Purpose A written document comprising a concise definition of a curatorial facility's overall aims and objectives and defines the nature and scope of collections and programs. It forms the basis for a strategic direction and plan, and acts as a tool for communicating goals. A document that defines the curatorial facility's basic goals; the master directive from which policies are derived.

Statutory Enacted, created or regulated by statute

Stewardship The careful and responsible management of objects and collections entrusted to a curatorial facility's care; conducting, supervising or managing of something.

Substandard Falling short of, deviating from, of lower quality than the standard

Support Includes federal grants, individual contributions, private foundation contributions and grants, cash, corporate and business contributions and grants, state and local aid (including federal funds administered by states), parent or sponsoring organization aid, including third-party cash payments made to the producers of goods or services provided to the facility without cost. Can also include indirect cost allocations for maintenance, utilities or services provided by the parent organization.

Temperature The degree of hotness and coldness. Extremes of temperature can damage objects. Fluctuation in temperature can cause fluctuations in relative humidity (RH) that can cause damage to objects.

Ultraviolet light (UV) The portion of the light in the 300nm to 400nm range, not visible to the human eye, that can cause permanent damage through fast color degradation, structural weakening, and embrittlement of collections objects. UV light is found in natural sunlight and in some artificial light sources (such as fluorescent lamps).

Visible light The portion of light in the 400nm to 700nm range that is perceptible to the human eye. Visible light is found in both natural and artificial light. Exposure to light at high intensities or for long periods of time can cause fading, bleaching, weakening and embrittlement of collections objects.

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Museum Handbook Part I: Museum Collections

Museum Handbook Part II: Museum Records

Disaster Plan

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Accreditation

Appendices

Appendix One – Texas Administrative Code Title 13, Part II, Chapter 29

Texas Administrative Code
Title 13. Cultural Resources
Part II. Texas Historical Commission

Rules of Management and Care of Artifacts and Collections

29.1. Object. The Texas Historical Commission (here after referred to as the Commission) is specifically empowered to adopt reasonable rules and regulations concerning the care and curation of artifacts, objects, and collections owned by Commission and those recovered under the jurisdiction the Antiquities Code of Texas.

29.2. Purpose. The purpose of this chapter is to provide a method to select appropriate facilities through an orderly, objective certification process and for the management of state held-in-trust collections that are within the legal authority of the Commission.

29.3. Scope. (a) Pursuant to Texas Natural Resources Code, Sections 191.091-092, all antiquities found on land or under waters belonging to the State of Texas or any political subdivision of the State belong to the State of Texas. The Commission is charged with the administration of the Antiquities Code and exercises the authority of the State in matters related to these state-associated collections. Under Texas Government Code, Section 442.007(d)(7), the Commission, through the authority of the State Archeologist, may preserve the historic and archeological heritage of the State.

(b) Pursuant to Texas Government Code, Section 442.0145, the Commission has the authority to acquire historical documents, records, or historical artifacts for the State of Texas to ensure their protection and use by the people of Texas.

(c) State-associated collections generally are placed in curatorial facilities in Texas. The relationship between the Commission and the curatorial facility is an express trust. Ownership of these collections is not transferred but the Commission has the authority to transfer stewardship of the collections through a held-in-trust agreement with the designated curatorial facility.

(d) All state-associated collections held in curatorial facilities are subject to the statutory authority of the Commission, and these rules supersede the collections management policy of the curatorial facility to the extent of any conflict.

29.4. Definitions. The following words and terms, when used in this chapter and the Antiquities Code of Texas, shall have the following meanings unless the context clearly indicates otherwise.

(1) Accession--means the formal acceptance of a collection and it's recording into the holdings of a curatorial facility and generally includes a transfer of title. For held-in-trust collections, stewardship but not title is transferred to the curatorial facility.

(2) Accessions inventory--means an inventory conducted at the time of accessioning when a collection or historical item is placed at the designated curatorial facility. It is similar to a baseline inventory in that it is comprised of the categories represented in the collection, quantities, and linear feet of documentation as appropriate.

- (3) Antiquities--means the tangible aspects of the past, which relate to human life and culture. Some examples include objects, written histories, architectural significance, cultural traditions and patterns, art forms, and technologies.
- (4) Artifact--means an object that has been removed from an archeological site.
- (5) Baseline inventory--means the most basic inventory done by summary count within general categories (similar to an entry or accessions inventory).
- (6) Cataloging--means assigning an object to an established classification system and having a record containing identification, provenience, accession and catalog numbers, and location of that object in the collection storage area.
- (7) Certification--means a process through which a curatorial facility establishes that it has achieved certain standards and follows acceptable practices with respect to its collections.
- (8) Certified curatorial facility--means a museum or repository that has been certified by the Commission for the purposes of curating state-associated collections.
- (9) Collection--means an associated set of objects, samples, records, or documents or an associated set of documents only.
- (10) Commission--means the Texas Historical Commission and its staff.
- (11) Conservation--means scientific laboratory process for cleaning, stabilizing, restoring, and preserving artifacts.
- (12) Conservation Survey--means inspection and documentation by facility staff, of condition of collection objects on an ongoing basis as part of routine collections management work.
- (13) Cultural resource--means any building, site, district, structure, object, pre-twentieth century shipwreck, data, and locations of historical, archeological, educational, or scientific interest, including, but not limited to, prehistoric and historic Native American or aboriginal campsites, dwellings, and habitation sites, archeological sites of every character, treasure embedded in the earth, sunken or abandoned ships and wrecks of the sea or any part of the contents thereof, maps, records, documents, books, artifacts, and implements of culture in any way related to the inhabitants' prehistory, history, natural history, government, or culture. Examples of cultural resources include Native American mounds and campgrounds, aboriginal lithic resource areas, early industrial and engineering sites, rock art, early cottage, and craft industry sites, bison kill sites, cemeteries, battlegrounds, all manner of historical structures, local historical records, etc.
- (14) Curatorial facility--means a museum or repository.
- (15) Deaccession--means the permanent removal of an object or collection from the holdings of a curatorial facility.
- (16) Designated curatorial facility--means any curatorial facility that is holding or seeking to hold any state associated collection on behalf of the Commission.
- (17) Destructive analysis--means destroying all or a portion of an object or sample to gain specialized information. For purposes of these rules, it does not include analysis of objects or samples prior to their being accessioned by a curatorial facility.
- (18) Disposal--means the discard of an object or sample after being recovered and prior to accession, or after deaccession.
- (19) Held-in-trust agreement--means the document signed by the Commission and the designated curatorial facility that provides for the transfer of stewardship to the curatorial facility for the state-associated collection, provides the state-associated collection's accession number and accessions inventory, and notes any conditions or restrictions.
- (20) Held-in-trust collection--means those state-associated collections under the authority of the Texas Historical Commission that are placed in a curatorial facility for care and management; stewardship is transferred to that curatorial facility but not ownership.
- (21) Inventory--means a physically-checked, itemized list of the objects in a curatorial facility's holdings. Itemized refers to having some sort of categorization, whether it be object-by-object or some type of grouping. Inventory is usually performed by numerical count, but weight may be considered in addition to or instead of a count, where it may be appropriate.

- (22) Museum--means a legally organized not-for-profit institution, essentially educational in nature; having a formally stated mission; with a professionally trained staff that uses and interprets objects for the public through regularly scheduled programs and exhibits; with a program of documentation, care, and use of collection or tangible objects; and having a program of maintenance and presentation of exhibits.
- (23) Political subdivision--means a local government entity created and operating under the laws of this state, including a city, county, school district, or special district created under the Texas Constitution, Article III, Section 52(b)(1) or (2), or Article XVI, Section 59.
- (24) Preventive conservation--means to maintain the collections in stable condition through preventive maintenance, condition surveys, environmental controls, and pest management.
- (25) Public lands--means non-federal public lands that are owned or controlled by the State of Texas or any of its political subdivisions, including the tidelands, submerged land, and the bed of the sea within the jurisdiction of the State of Texas.
- (26) Relocation inventory--means a physically-checked, itemized list of a specific subset of objects that have been moved from their permanent location within the holdings of the curatorial facility.
- (27) Repository--means a permanent, not-for-profit educational or research-oriented agency or institution, having a professionally trained staff, that provides in-perpetuity legal housing and curation of collections.
- (28) Significance--means a trait attributable to sites, buildings, structures and objects of historical, architectural, and archeological (cultural) value which are eligible for designation to State Archeological Landmark status and protection under the Antiquities Code of Texas. Similarly, a trait attributable to properties included in or determined eligible for inclusion in the National Register of Historic Places.
- (29) Site--means any place or location containing physical evidence of human activity. Examples of sites include: the location of prehistoric or historic occupations or activities, a group or district of buildings or structures that share a common historical context or period of significance, and designed landscapes such as parks and gardens.
- (30) Spot-check inventory--means an organized location search to produce a physically checked, itemized list of a predetermined subset of objects for which the curatorial facility is responsible. (31) State-associated collections--means the collections owned by the State and under the authority of the Texas Historical Commission. This includes the following:
- (A) Permitted collections--means collections that are the result of work governed by the Texas Antiquities Code of Texas on land or under waters belonging to the State of Texas or any political subdivision of the State requiring the issuance of a permit by the Commission.
- (B) Non-permitted collections--means collections that are the result of work governed by the Antiquities Code on land or under waters belonging to the State of Texas or any political subdivision of the State conducted by Commission personnel without the issuance of a permit.
- (C) Purchased collections--means collections that are the result of the acquisition of significant historical items by the Commission through Texas Historical Artifacts Acquisition Program or use of other State funds.
- (D) Donated collections--means collections that are the result of a gift, donation, or bequest to the Commission.
- (E) Court-action collections--means collections that are awarded to the Commission by a court through confiscation of illegally-obtained archeological artifacts or any other material that may be awarded to the Commission by a court of law.
- (32) State Archeological Landmark--means any cultural resource or site located in, on, or under the surface of any lands belonging to the State of Texas or any county, city, or other political subdivision of the state, or a site officially designated as a landmark at an open public hearing before the Commission.

29.5. Disposition of Archeological Collections. (a) Ownership. All specimens, artifacts, materials, and samples plus original field notes, maps, drawings, photographs, and standard state site survey forms, resulting from the investigations remain the property of the State of Texas. Certain exceptions left to the discretion of the Commission are contained in the Texas Natural Resources Code, Section 191.052(b). The Commission will determine the final disposition of all artifacts, specimens, materials, and data recovered by investigations on State Archeological Landmarks or potential landmarks, which remain the property of the State. Antiquities

from State Archeological Landmarks are of inestimable historical and scientific value and should be preserved and utilized in such a way as to benefit all the citizens of Texas. It is the rule of the Commission that such antiquities shall never be used for commercial exploitation. (see also 13 TAC, Section 26.27)

(b) Housing, conserving, and exhibiting antiquities from State Archeological Landmarks. (see also 13 TAC, Section 26.27)

(1) After investigation of a State Archeological Landmark has culminated in the reporting of results, the antiquities will be permanently preserved in research collections at a curatorial facility certified by the Commission. Prior to the expiration of a permit, proof that archeological collections and related field notes are housed in a curatorial facility is required. Failure to demonstrate proof before the permit expiration date may result in the principal investigator and co-principal investigator falling into default status. (see also 13 TAC, Section 26.27)

(2) Institutions housing antiquities from State Archeological Landmarks will also be responsible for adequate security of the collections, continued conservation, periodic inventory, and for making the collections available to qualified institutions, individuals, or corporations for research purposes. (see also 13 TAC, Section 26.27)

(3) Exhibits of materials recovered from State Archeological Landmarks will be made in such a way as to provide the maximum amount of historical, scientific, archeological, and educational information to all the citizens of Texas. First preference will be given to traveling exhibits following guidelines provided by the Commission and originating at an adequate facility nearest to the point of recovery. Permanent exhibits of antiquities may be prepared by institutions maintaining such collections following guidelines provided by the Commission. A variety of special, short-term exhibits may also be authorized by the Commission. (see also 13 TAC, Section 26.27)

(c) Access to antiquities for research purposes--antiquities retained under direct supervision of the Commission will be available under the following conditions:

(1) Request for access to collections must be made in writing to the curatorial facility holding the collections indicating to which collection and what part of the collection access is desired; nature of research and special requirements during access; who will have access, when, and for how long; type of report which will result; and expected date of report.

(2) Access will be granted during regular working hours to qualified institutions or individuals for research culminating in non-permit reporting. A copy of the report will be provided to the Commission.

(3) Data such as descriptions or photos when available will be provided to institutions or individuals on a limited basis for research culminating in nonprofit reporting. A copy of the report will be provided to the Commission.

(4) Access will be granted to corporations or individuals preparing articles or books to be published on a profit-making basis only if there will be no interference with conservation activities or regular research projects; photos are made and data collected in the facility housing the collection; arrangements for access are made in writing at least one month in advance; cost of photos and data and a reasonable charge of or supervision by responsible personnel are paid by the corporation or individual desiring access; planned article or publication does not encourage or condone treasure hunting activity on public lands, State Archeological Landmarks, or National Register sites, or other activities which damage, alter, or destroy cultural resources; proper credit for photos and data are indicated in the report; a copy of the report will be provided to the Commission.

(5) The Commission may maintain a file of standard photographs and captions available for purchase by the public.

(6) A written agreement containing the appropriate stipulations will be prepared and executed prior to the access.

(7) Curatorial facilities certified by the Commission shall promulgate reasonable procedures governing access to those collections under their stewardship.

(d) Deaccession. The Commission's rules for deaccession recognize the special responsibility associated with the receipt and maintenance of objects of cultural, historical, and scientific significance in the public trust. Although curatorial facilities become stewards of held-in-trust collections, title is retained by the Commission

for the State. Thus, the decision to deaccession held-in-trust objects or collections is the responsibility of the Commission. The Commission recognizes the need for periodic reevaluations and thoughtful selection necessary for the growth and proper care of collections. The practice of deaccessioning under well-defined guidelines provides this opportunity.

(1) Deaccessioning may be through voluntary or involuntary means. The transfer, exchange, or deterioration beyond repair or stabilization or other voluntary removal from a collection in a curatorial facility is subject to the limitations of this rule.

(2) Involuntary removal from collections occurs when objects, samples, or records are lost through theft, disappearance, or natural disaster. If the whereabouts of the object, sample, or record is unknown, it may be removed from the responsibility of the curatorial facility, but the Commission will not relinquish title in case the object, sample, or record subsequently is returned.

(e) Certified curatorial facilities. Authority to deal with deaccessioning of limited categories of objects and samples from held-in-trust collections is delegated to a curatorial facility certified by the Commission to hold state held-in-trust collections through a contractual agreement between the curatorial facility and the Commission. Annual reports will be submitted to the Commission on these deaccessioning actions.

(1) If the Commission determines that a curatorial facility has acted in violation of the contractual agreement and this rule, the contractual agreement will be terminated. From that date forward, the Commission will review and decide on all deaccession actions of that curatorial facility concerning held-in-trust objects and samples. A new contractual agreement may be executed at such time as the Commission determines that the curatorial facility has come into compliance with this rule.

(2) Curatorial facilities not yet certified by the Commission to hold state held-in-trust collections shall submit written deaccession requests of objects and samples from held-in-trust collections to the Commission.

(3) Requests to deaccession a held-in-trust collection in its entirety must be submitted to the Commission.

(4) The reasons for deaccessioning all or part of held-in-trust collections include, but are not limited to, the following:

(A) Objects lacking provenience that are not significant or useful for research, exhibit, or educational purposes in and of themselves;

(B) Objects or collections that do not relate to the stated mission of the curatorial facility. Objects or collections that are relevant to the stated mission of the curatorial facility may not be deaccessioned on the grounds that they are not relevant to the research interests of current staff or faculty;

(C) Objects that have decayed or decomposed beyond reasonable use or repair or that by their condition constitute a hazard in the collections;

(D) Objects that have been noted as missing from a collection beyond the time of the next collections-wide inventory are determined irretrievable and subject to be deaccessioned as lost;

(E) Objects suspected as stolen from the collections must be reported to the Commission in writing immediately for notification to similar curatorial facilities, appropriate organizations, and law enforcement agencies. Objects suspected as stolen and not recovered after a period of three years or until the time of the next collections-wide inventory are determined irretrievable and subject to being deaccessioned as stolen;

(F) Objects that have been stolen and for which an insurance claim has been paid to the curatorial facility;

(G) Objects that may be subject to deaccessioning as required by federal laws; and

(H) Deaccession for reasons not listed above must be approved on a case-by-case basis by the Commission.

(f) Title to Objects or Collections Deaccessioned. If deaccessioning is for the purpose of transfer or exchange, Commission retains title for the State to the object or collection. A new held-in-trust agreement must be executed between the receiving curatorial facility and the THC.

(1) If deaccessioning is due to theft or loss, the Commission will retain title for the State to the object or collection in case it is ever recovered, but the curatorial facility will no longer be responsible for the object or collection.

(2) If deaccessioning is due to deterioration or damage beyond repair or stabilization, the Commission relinquishes title for the State to the object or collection and the object or collection must be discarded in a suitable manner.

(g) Destructive Analysis. The Commission's rules for destructive analysis apply only to samples and objects from held-in-trust collections accessioned into the holdings of a curatorial facility. Destructive analysis of samples or objects prior to placement in a curatorial facility is covered by the research design approved for the Antiquities Permit. Authority to deal with destructive analysis requests of categories of objects and samples from held-in-trust collections is delegated to a curatorial facility certified by the Commission to hold state held-in-trust collections through a contractual agreement between the curatorial facility and the Commission. Annual reports will be submitted to the Commission on these destructive analysis actions.

(1) A written research proposal must be submitted to the curatorial facility stating research goals, specific samples or objects from a held-in-trust collection to be destroyed, and research credentials in order for the curatorial facility to establish whether the destructive analysis is warranted.

(2) If the Commission determines that a curatorial facility has acted in violation of the contractual agreement and this rule, the contractual agreement will be terminated. From that date forward, the Commission will review and decide on all destructive analysis actions of that curatorial facility concerning held-in-trust objects and samples. A new contractual agreement may be executed at such time as the Commission determines that the curatorial facility has come into compliance with these rules.

(3) Curatorial facilities not yet certified by the Commission to hold state held-in-trust collections shall submit destructive analysis requests of objects and samples from held-in-trust collections to the Commission.

(4) Conditions for approval of destructive analysis may include qualifications of the researcher, uniqueness of the project, scientific value of the knowledge sought to be gained, and the importance, size, and condition of the object or sample.

(5) Objects and samples from held-in-trust collections approved for destructive analysis purposes are loaned to the institution where the researcher is affiliated. Objects and samples will not be loaned to individuals for destructive analysis.

(6) If the curatorial facility denies a request for destructive analysis of a sample or object from a held-in-trust collection, appeal of the decision is through the Commission.

(7) Information gained from the analysis must be provided to the curatorial facility as a condition of all loans for destructive analysis purposes. After completion of destructive analysis, the researcher must return the information (usually in the form of a research report) in order for the loan to be closed. Two copies of any publications resulting from the analysis must be sent to the curatorial facility. If the object or sample is not completely destroyed by the destructive analysis, the remainder must be returned to the curatorial facility.

(8) It is the responsibility of the curatorial facility to monitor materials on loan for destructive analysis, to assure their correct use, and to note the returned data in the records.

(9) The Commission does not relinquish title for the State to an object or sample that has undergone destructive analysis and the object or sample is not deaccessioned.

29.6. Certification of Curatorial Facilities for State-Associated Held-in-Trust Collections.

(a) Establishment of certification program.

(1) The Commission shall determine through the program established by this subchapter appropriate facilities to house state-associated held-in-trust collections generated or purchased by the Commission, generated through antiquities permits issued under the authority of the Commission as provided by the Texas Natural Resources Code, Chapter 191, donated to the Commission, or placed with the Commission through the order of a court.

(2) The certification process shall consider the management and care of all state-associated collections at the curatorial facility.

(3) The requirements of this subchapter related to the placement of state-associated collections in certified curatorial facilities shall apply to the following:

(A) All collections placed in curatorial facilities by the Commission after December 31, 2005; and,

(B) All collections generated under antiquities permits on public lands after December 31, 2005.

(4) Except as provided in paragraph (9) of this subsection, no collection or any component of a collection as described under the jurisdiction of this subchapter may be placed in a curatorial facility that is not certified through the process established by this section.

(5) This section does not apply to the placement of collections in curatorial facilities prior to the effective date of this requirement as specified in subsection (a)(3), above. It does apply to any subsequent transfer of collections or a component of a collection taking place after the effective date of this requirement as specified in subsection (a)(3)(A) - (B), above.

(6) This section does not apply to the loan of a collection or a component of a collection to a facility not certified by the Commission.

(7) Certification shall be effective for a period of ten years, after which time, the curatorial facility must apply for renewal through the procedures provided in this subchapter. Renewal will be based upon the standards for certification in place at the time renewal is requested.

(8) The certification process shall be implemented upon the effective date of these rules, and the staff of the Commission shall develop procedures to begin the review of applicants at the earliest possible date. The requirement that all new collections shall be placed only in certified curatorial facilities shall be effective as specified in subsection (a)(3)(A) - (B), above.

(9) A curatorial facility that has submitted the application for certification provided by subsection (b)(1) of this section by the date provided in subsection (a)(3) of this section may continue to accept held-in-trust collections after that date so long as its application is pending and the application process has not been terminated or its application rejected by the commission.

(b) Procedures for Certification.

(1) Application. A curatorial facility seeking certification from the Commission shall apply to the Commission on a form provided by the Commission.

(A) The form shall require the applicant to provide essential information and documentation to allow the Commission to determine whether the facility is a curatorial facility within the definition of that term.

(B) Staff of the Commission shall evaluate the application and make a recommendation to the executive director on whether the facility should be allowed to proceed with the certification process.

(C) The executive director may determine that the certification review should be terminated at this point in the process. Such termination would be due to a clear failure of the curatorial facility to meet the criteria for certification developed under this subchapter.

(2) Submission of written materials for certification.

(A) The form shall require the applicant to provide essential information and documentation to allow the Commission to determine whether the facility is a curatorial facility within the definition of that term.

(B) The self-evaluation and other materials must be submitted to the Commission within six months after the certification review packet is mailed. A one time extension not to exceed six months may be granted by the Commission staff upon request.

(C) The completed documentation shall be reviewed by the Commission. If clarification or additional information is requested by the Commission, the facility shall have 30 days to furnish the information required.

(D) Failure to provide the requested information or inadequacy of the materials provided may lead to the termination of the review process.

(E) Staff of the Commission shall review the self-evaluation and other written materials provided and make a recommendation to the executive director on whether the facility should be allowed to proceed with the certification process.

(F) The executive director may determine that the review should be terminated at this point in the process.

(3) Field review.

(A) A curatorial facility that has submitted its self-evaluation and other written materials and approved to proceed with the certification process shall be contacted to arrange for a field review.

(B) At a time to be agreed upon by the Commission staff and the facility, an on-site evaluation of the facility shall be conducted by the Commission.

(C) Field review of the curatorial facility will be conducted by qualified staff of the Commission.

Confidentiality will be maintained within the limits of the Public Information Act.

(D) An applicant for certification must make their facilities and records freely available to the field reviewers of the Commission in order to be considered for certification.

(E) Upon completion of the on-site evaluation, the persons performing the evaluation shall complete a written report of the on-site evaluation.

(F) The written report and recommendation shall be submitted to the executive director for his review. The executive director may approve, disapprove, or amend the recommendation.

(G) The applicant shall be provided not less than 30 days notice of the Commission meeting when its application will be considered and provided a copy of the executive director's recommendation, the report of the on-site evaluation, and any other relevant documents.

(H) The applicant shall have the opportunity to present written and oral information in support of its application to the staff and the Commission or committees thereof.

(4) Consideration by the Commission.

(A) The Commission may direct that this matter be considered in a committee of the Commission prior to consideration by the full Commission.

(B) The Commission shall consider the recommendations of the staff and/or executive director and all other matters submitted or prepared in connection with the application and shall make a decision on the certification of the curatorial facility. The decision of the Commission shall be provided in writing to the curatorial facility. If certification is denied, the Commission shall provide reasons for the denial to the curatorial facility.

(C) The decision of the Commission shall be based on the matters properly submitted in the certification process, and the decision shall measure the qualifications, stated objectives, and resources of the curatorial facility against the standards for certification established by the Commission.

(i) The Commission shall consider the evaluation of the curatorial facility and determine which, if any, disabling and deficiency factors may be present in the curatorial facility.

(ii) The Commission shall grant certification of the curatorial facility based on the disabling and deficiency factors by the following standards:

(I) Four or more disabling factors, certification denied;

(II) Three or fewer disabling factors and no more than four deficiency factors, certification granted;

(III) Three or fewer disabling factors and five or six deficiency factors, provisional status granted; or

(IV) Three or fewer disabling factors and seven or more deficiency factors, certification denied.

(D) If a curatorial facility is certified with existing disabling factors or deficiencies, these factors must be addressed before subsequent certification can take place. The curatorial facility must submit a plan and schedule for correcting the factors to the Commission within 90 days of the notice of certification. The Commission shall consider the plan and schedule and either approve it or return it to the curatorial facility with suggested revisions. The curatorial facility shall resubmit the plan and schedule until approved by the Commission. If these factors have not been addressed by the end of its certification period, then the curatorial facility will be decertified at the end of the certification period. The curatorial facility must wait two years before reapplying for certification, at which time it will be certified only if it has addressed all prior deficiency and disabling factors.

(E) Provisional status.

(i) If the Commission determines that the curatorial facility does not meet all of the qualifications for certification, but should be granted provisional status, the curatorial facility must submit a plan and schedule for correcting the factors to the Commission within 90 days of the approval of provisional status. The Commission shall consider the plan and schedule and either approve it or return it to the curatorial facility with suggested revisions. The curatorial facility shall resubmit the plan and schedule until approved by the Commission. If such factors are addressed and appropriate evidence of such measures is presented to the Commission, the Commission may grant certification to the curatorial facility at the next succeeding quarterly meeting of the Commission.

(ii) A curatorial facility that is granted provisional status shall be considered as a certified curatorial facility unless it subsequently fails to address the disabling and deficiency factors within the time allotted, at which time the Commission may vote to deny certification.

(iii) Provisional status shall initially be granted for a period of three years. The period may be extended for up to three one-year increments by the Commission if the curatorial facility is determined to be making progress

in remedying the disabling and deficiency factors. Provisional status may not be extended beyond the six-year limit. Each extension will require justification and a vote of the Commission.

(F) Except as provided by this subchapter, a curatorial facility that is denied certification by the Commission may not reapply for certification within one year of the denial of its application.

(c) Appeal.

(1) If the executive director has determined that the review of an application for certification of a curatorial facility should be terminated prior to field review, the curatorial facility may appeal that decision to the Commission by requesting in writing a review of the decision at the next succeeding quarterly Commission meeting, provided that such request must be received not less than 30 days prior to the meeting. The curatorial facility and the executive director may submit arguments in writing to the Commission concerning the appeal.

(2) If the executive director and/or staff recommend against certification of a curatorial facility, the facility may respond in writing to such recommendation. If the curatorial facility determines that it needs additional time to respond to the staff and/or executive director's recommendation, it may request that the consideration of the certification be delayed until the next succeeding quarterly meeting, and shall submit its response not less than 30 days prior to the next succeeding quarterly meeting. Only one such delay in the consideration of certification shall be granted, except on vote of the Commission.

(3) The staff or the executive director may comment on any response of the curatorial facility.

(4) Except as may otherwise be provided by law, the decision of the Commission on certification of a curatorial facility is final.

(d) Criteria for Certification. Each applicant for certification must meet the following criteria to be certified.

(1) The Commission shall develop and adopt objective criteria for the evaluation of curatorial facilities.

(2) The criteria shall be in writing and shall be made available to any person requesting them.

(3) The evaluation shall focus on the care and management of all state-associated held-in-trust collections present at the facility.

(4) The following certification criteria will be used to evaluate curatorial facilities:

(A) Governance.

(i) specific mission statement;

(ii) institutional organization document; and

(iii) evidence of not-for-profit status.

(B) Clear Fiscal Plan.

(C) Policy. Written, integrated collections management policy addressing:

(i) acquisitions;

(ii) scope of collections;

(iii) legal title;

(iv) held-in-trust agreements;

(v) contract of gift;

(vi) accessioning;

(vii) deaccessioning and disposal of collections or collection items;

(viii) cataloging;

(ix) loans;

(x) destructive loans of held-in-trust collections;

(xi) inventory;

(xii) adequate and appropriate insurance;

(xiii) appraisals;

(xiv) access to collections;

(xv) record keeping;

(xvi) collections care;

(xvii) conservation;

(xviii) emergency preparedness;

(xix) integrated pest management; and

(xx) security.

(D) Procedures. Written, integrated collections management procedures addressing:

- (i) acquisitions;
- (ii) held-in-trust agreement;
- (iii) accessioning;
- (iv) deaccessioning and disposal of collections or collection items;
- (v) cataloging;
- (vi) loans;
- (vii) destructive loans of held-in-trust collections;
- (viii) inventory;
- (ix) insurance;
- (x) access to collections;
- (xi) record keeping;
- (xii) collections care;
- (xiii) conservation;
- (xiv) emergency preparedness;
- (xv) integrated pest management; and
- (xvi) security.

(E) Physical Facilities.

- (i) sound, appropriate structure;
- (ii) adequate and appropriate insurance;
- (iii) security system;
- (iv) fire prevention, detection, and suppression programs; and
- (v) environmental controls (temperature, relative humidity, air particulates).

(F) Staff.

- (i) written code of ethics;
- (ii) written job descriptions;
- (iii) minimum one full-time staff member trained in collections care; and
- (iv) support for staff training programs in collections care and memberships to museum-related organizations.

(G) Visiting scholars and researchers.

- (i) written policy concerning access to collections; and
- (ii) written procedures concerning security, access, and handling of collections.

(H) Records management.

- (i) functional accession, catalog, inventory, and photo documentation system;
- (ii) updated and current list of held-in-trust state-associated collections; and
- (iii) baseline inventory of each held-in-trust state-associated collection.

(I) Collections care.

- (i) housing;
- (I) appropriate housing units with adequate and appropriate space; and
- (II) accessible and organized collections.

(ii) packaging;

- (I) appropriate materials;
- (II) appropriate object spacing; and
- (III) appropriate organization of collections.

(e) Application of criteria. In making the determination of certification status, all of the above criteria are considered. In particular, at the Application stage, the curatorial facility must fit the definition; have a mission statement, a statement of purpose, and a scope-of-collections statement; and have a written integrated collections management policy. If the curatorial facility does not meet these three basic criteria, then certification is denied and the process goes no further. At the Commission level, disabling factors could prevent certification. Deficiency factors could result in provisional status or denial. Where appropriate, the criteria for evaluation for curatorial facilities to be developed by the commission will contain objective standards against which disabling and deficiency factors are measured.

- (1) Disabling factors are the absence of any of the following:
 - (A) written procedures and plans;
 - (B) written held-in-trust agreements for state-associated collections;
 - (C) list of held-in-trust state-associated collections;
 - (D) baseline inventory for each held-in-trust state-associated collection;
 - (E) record keeping system;
 - (F) accession system;
 - (G) catalog system;
 - (H) inventory system;
 - (I) environmental controls (temperature, relative humidity, air particulates);
 - (J) fire prevention, detection, and suppression programs;
 - (K) full-time employee trained in collections care;
 - (L) appropriate physical facilities; and
 - (M) appropriate housing or housing conditions.
- (2) Deficiency factors are the following:
 - (A) substandard policies;
 - (B) substandard procedures and plans;
 - (C) incomplete held-in-trust agreements for state-associated collections;
 - (D) incomplete list of held-in-trust state-associated collections;
 - (E) incomplete baseline inventory for each held-in-trust state-associated collection;
 - (F) inadequate record keeping system;
 - (G) inadequate accession system;
 - (H) inadequate catalog system;
 - (I) incomplete cataloging of held-in-trust state associated collections;
 - (J) inadequate inventory system;
 - (K) substandard environmental controls (temperature, relative humidity, air particulates);
 - (L) substandard fire prevention, detection, or suppression programs;
 - (M) substandard physical facilities;
 - (N) substandard housing or housing conditions; and
 - (O) substandard packaging.

29.7 State Associated Collections. (a) The Commission has authority over state-associated collections in five categories based on the way they were generated. They are as follows:

- (1) Permitted-collections that are the result of work governed by the Antiquities Code on land or under waters belonging to the State of Texas or a political subdivision of the State necessitating the issuance of a permit by the Commission. This work can be conducted by an outside researcher, other state agency, cultural resources management firm or by Commission personnel. Permitted-collections form the bulk of the Commission's state-associated collections.
- (2) Commission non-permitted collections are the result of work governed by the Antiquities Code on land or under waters belonging to the State of Texas or a political subdivision of the State conducted by Commission personnel without the issuance of a permit.
- (3) Purchased-collections are the result of acquisition of significant historical items by the Commission through the Texas Historical Artifacts Acquisition Program or use of other state funds.
- (4) Donated-collections are the result of a material gift transaction by a private landowner, individual, corporation, organization, or through a bequest to the Commission. A major component of this category of collections is the consequence of work conducted by or under the direction of Commission personnel on private lands in Texas whereby the landowner transfers ownership of the generated collection through a deed-of-gift or donation form to the State of Texas and its agent, the Texas Historical Commission.
- (5) Court action-collections are the result of rulings by a court concerning confiscated, illegally-held archeological or historical materials from public lands to be given to the Commission for care and protection.

(b) Any or all of these state-associated collections may be entrusted to and housed in a designated curatorial facility in the State of Texas. They are accessioned, documented, and cataloged objects, documents, and samples of cultural, scientific, or historical significance that are representative of the diversity within the state. These collections should be given a high level of care.

29.8 Requirements for Curatorial Facilities. (a) In recognition of the authority of the Commission over the state-associated collections, the Commission establishes different levels of collection management requirements for curatorial facilities holding state-associated collections and having different capacities and goals.

(b) Curatorial facilities that are certified to receive state-associated collections under Section 29.6 of this chapter must adopt, as a part of the certification process, a collections management policy that meets or exceeds the minimum requirements of this subchapter. Curatorial practices evolve over time, and these rules may be amended to reflect changes in accepted professional practices. Certified curatorial facilities will be expected to meet the requirements of such amendments within a reasonable time after their adoption. Limitations on authority to manage state-associated collections will be determined through an agreement between the Commission and the certified curatorial facility.

(c) Curatorial facilities that intend to become certified to receive state-associated collections under Section 29.6 of this chapter in the future should meet or exceed the minimum standards established under this subchapter while working toward certification.

(d) Curatorial facilities that do not intend to become certified under Section 29.6 of this chapter should nonetheless attempt to provide the highest possible level of care to state-associated collections maintained in their facilities. At a minimum, a level of care that prevents deterioration of, damage to, or loss of items in the collections should be maintained. Within seven years of the effective date of this section, curatorial facilities should either submit a plan for Commission approval on the care and management of the state-associated collections or consider the transfer of state-associated collections to a curatorial facility certified under Section 29.6 of this chapter.

29.9 Expectations for Drafting a Collections Management Policy for Managing State-Associated Collections

(a) Acquisition of Collections. (1) Acquisition of state associated collections is the process of acquiring a collection or historical item owned by the State of Texas through designation of a curatorial facility by the Commission. Collections or historical items usually are acquired through field work or research, donation, bequest, or purchase. Although exchange with or transfer from another curatorial facility normally is not practiced, it is not excluded. Acquisition does not imply accessioning, but is a necessary prerequisite for accessions. Acquired collections or historical items placed at a designated curatorial facility are recommended for accessioning through the process governed by the written Collections Management Policy of the curatorial facility.

(2) Responsibility for the physical safety of the collection or historical item begins with acquisition. While the Commission has oversight, physical safety responsibility is delegated to the permittee during recovery and analysis of permitted-collections, and the designated curatorial facility upon receiving a state-associated collection.

(b) Accessions.

(1) Accessioning by the curatorial facility is the procedure that registers state-associated collections as held-in-trust for the State of Texas at the designated curatorial facility.

(A) Title will remain with the State and under the custody of the Commission.

(B) The curatorial facility will execute a held-in-trust agreement for each state-associated collection and forward it to the Commission. Stewardship and held-in-trust status are conferred when the Commission receives the signed held-in-trust agreement.

(C) State-associated collections placed at designated curatorial facilities are not incorporated into the holdings of a designated curatorial facility until they are accessioned by that institution.

(D) Upon accessioning of state-associated collections placed at the curatorial facility, the facility assumes the obligation of proper daily management and protection of those collections. The Commission retains oversight of the placed state-associated collections.

(E) Accessioning provides an inventory of collections and historical items owned by the State of Texas under the authority of the Commission. Accession numbers document curatorial facility stewardship and are an inventory control device.

(2) For collections or historical items placed at a designated curatorial facility, the following requirements apply:

(A) All collections or historical items will be accessioned and accessioned in a timely manner by the designated curatorial facility. Stewardship but not ownership is transferred to the designated curatorial facility.

(B) The curatorial facility will use a consistent accession system that readily identifies or distinguishes an accession of that curatorial facility from accessions of other curatorial facilities holding state-associated collections.

(C) A signed held-in-trust agreement must be executed for each accession with copies retained by the Commission and designated curatorial facility. Each held-in-trust agreement is accompanied by an accessions inventory.

(D) Accession records must be maintained by the designated curatorial facility, including the copy of the signed held-in-trust agreement, accessions inventory, and as appropriate, the housing agreement between the curatorial facility and cultural resource management firm or researcher for permitted-collections.

(E) Copies of correspondence and transactions involving state-associated collections donated to or purchased by the Commission will be provided to the designated curatorial facility as part of their accession records.

(c) Deaccession.

(1) The decision to deaccession state-associated held-in-trust objects or collections is ultimately the responsibility of the Commission. Deaccessioning may affect a range of objects from a single object to an entire collection. The curatorial facility will deaccession state-associated collections only in accordance with Commission requirements.

(2) If deaccessioning is for the purpose of transfer or exchange, the State retains title to the object or collection. A new held-in-trust agreement will be executed between the curatorial facility and the Commission. If deaccessioning is due to theft or loss, the State will retain title to the object or collection in case it is ever recovered, but the curatorial facility will no longer be responsible for the object or collection. If deaccessioning is due to deterioration or damage beyond repair or stabilization, the State relinquishes title to the object or collection and the object or collection must be divested in a suitable manner.

(3) Authority to deal with deaccessioning of approved categories of objects and samples from state-associated held-in-trust collections is delegated to a curatorial facility certified by the Commission through an agreement between the Commission and the curatorial facility.

(A) Annual reports will be submitted to the Commission on these deaccessioning actions.

(B) If the Commission determines that the curatorial facility is not in compliance with the agreement and this chapter, the agreement may be terminated. If the agreement is terminated, the Commission will review and decide on all deaccession actions of that curatorial facility concerning state-associated held-in-trust objects and samples. A new agreement may be executed at such time as the Commission determines that the curatorial facility has come into compliance with this chapter. During the period the agreement is terminated, the curatorial facility may not accept new state-associated collections.

(4) Curatorial facilities not certified by the Commission shall submit written deaccession requests of objects and samples from held-in-trust collections to the Commission.

(5) Requests to deaccession a state-associated collection in its entirety must be submitted to the Commission.

(6) Under no circumstances will state-associated collections be deaccessioned through sale.

(d) Inventory.

(1) Purpose of inventories.

(A) An inventory is an important practice for the curatorial facility.

(B) Inventories will be conducted to provide a measure of accountability.

(C) An inventory updates collection records and documentation; gives the opportunity to check the condition of the collections; and aids in maintaining the security of the collections.

(D) Inventories allow the curatorial facilities to examine, evaluate, and provide appropriate conditions for the state-associated collections.

(E) The curatorial facility fulfills in part their legal and ethical responsibilities by conducting inventories that account for the objects, samples, documentation, or historical items within state-associated collections.

(2) Inventories by a Curatorial Facility. For collections or historical items placed at a designated curatorial facility, the following requirements apply. Inventories for state-associated collections include the following:

(A) An accessions inventory is conducted at the time of accessioning when a collection or historical item is placed at the designated curatorial facility. This baseline inventory is comprised of the categories represented in the collection, quantities, and linear feet of documentation as appropriate.

(B) A spot-check inventory is conducted to monitor collection activity, check the accuracy of records, and assess the condition of the most valuable or significant material in a collection. This type of inventory should be conducted on a periodic basis according to the collections management policy of the designated curatorial facility.

(C) A relocation inventory is conducted at any time an object, collection, or historical item experiences movement. This movement may occur in the form of incoming or outgoing loans, in-house research, exhibit installation, conservation, or deaccessions.

(3) The Director of the curatorial facility is responsible for maintaining the inventory of the state-associated held-in-trust collections and for seeing that appropriate and timely inventories are conducted. The types and frequency of inventories must be outlined in the curatorial facility's collections management policy.

Accessions inventories must be conducted and included as part of the held-in-trust agreement. A relocation inventory must be conducted and included as part of the loan agreement of state-associated held-in-trust collections. Spot check inventory must be conducted as a part of collection management activities. Other types of inventories should be conducted to provide tracking and security information as necessary.

(4) An accurate listing of all state associated held-in-trust collections and the sites they represent, must be conducted and updated and a copy sent to the Commission.

(5) Authority to deal with missing and stolen objects, samples, documentation, and historical items of approved categories from state-associated collections is delegated to a curatorial facility certified by the Commission through an agreement between the Commission and the curatorial facility.

(A) Annual reports will be submitted to the Commission on these inventory and security actions. Suspected stolen material must be reported to appropriate law enforcement agencies with notification to other curatorial facilities and appropriate organizations.

(B) If the Commission determines that the curatorial facility is not in compliance with the agreement and this chapter, the agreement may be terminated. A new agreement may be executed at such time as the Commission determines that the curatorial facility has come into compliance with this chapter. During the period the agreement is terminated, the curatorial facility may not accept new state-associated collections.

(6) Curatorial facilities not certified by the Commission shall submit a written plan for conducting an inventory of state-associated held-in-trust collections.

(7) Missing or stolen objects, samples, documentation, and historical items from state-associated held-in-trust collections must be reported to the Commission in writing immediately upon discovery with a determination of whether misplaced or stolen. Suspected stolen material must be reported to appropriate law enforcement agencies with notification to curatorial facilities and appropriate organizations.

(e) Loans.

(1) For collections or historical items placed at a certified curatorial facility, the following requirements apply:

(A) Decisions regarding the loan of state-associated collections are the legal responsibility of the Commission but the responsibility for the loan is delegated to the curatorial facility.

(B) The Director of the curatorial facility is responsible for all loan transactions of state-associated collections and for assuring that appropriate and timely administration of loans is conducted. Relocation inventories must be conducted and included as part of the written loan agreement. Other loan conditions must be addressed in the Collections Management Policy of the curatorial facility.

(C) Authority to deal with loans of state-associated collections is delegated to a curatorial facility certified by the Commission through an agreement between the Commission and the curatorial facility.

(i) Annual reports will be submitted to the Commission on these loan actions.

(ii) If the Commission determines that the curatorial facility is not in compliance with the agreement and this chapter, the agreement may be terminated. Following termination, the Commission will review and decide on all loan actions of that curatorial facility concerning state-associated held-in-trust objects and samples. A new agreement may be executed at such time as the Commission determines that the curatorial facility has come into compliance with this chapter. During the period the agreement is terminated, the curatorial facility may not accept new state-associated collections.

(2) Curatorial facilities not certified by the Commission shall submit written loan requests of objects, samples, documentation, or historical items from state-associated collections to the Commission.

(f) Destructive Loans.

(1) For collections or historical items placed at a designated curatorial facility, the following requirements apply:

(A) A written research proposal must be submitted to the curatorial facility stating research goals, specific samples or objects from a state-associated held-in-trust collection to be destroyed, and research credentials in order for the curatorial facility to determine whether the destructive analysis is warranted.

(B) Authority to deal with destructive analysis requests of approved categories of objects and samples from state-associated held-in-trust collections is delegated to a curatorial facility certified by the Commission through an agreement between the Commission and the curatorial facility.

(2) Annual reports will be submitted to the Commission on these destructive analysis actions.

(3) If the Commission determines that the curatorial facility is not in compliance with the agreement and this chapter, the agreement may be terminated. Following termination, the Commission will review and decide on all destructive analysis actions of that curatorial facility concerning state-associated held-in-trust objects and samples. A new agreement may be executed at such time as the Commission determines that the curatorial facility has come into compliance with this chapter. During the period the agreement is terminated, the curatorial facility may not accept new state-associated collections.

(4) Curatorial facilities not certified by the Commission shall submit destructive analysis requests of objects and samples from state-associated collections to the Commission.

(g) Collections Care.

(1) The well-being and safety of the state-associated collections is a management responsibility involving a continuum of obligations and actions. The central purpose is to preserve well-documented and well-maintained state-associated collections for the benefit of the people of Texas and future generations.

(2) Basic collections care involves the following:

(A) archival-quality storage equipment and conditions;

(B) routine preventive maintenance;

(C) preventive conservation; and

(D) appropriate handling and moving of the objects, samples, documentation, and historical items.

(3) The goal of collections care is to limit further deterioration of the state-associated collections due to environmental, human, and inherent factors.

(4) The curatorial facility will address the needs of the variety of materials and sizes within the collections within the available resources of the curatorial facility.

(5) Archival-quality packaging, padding, and housing units within a sound, environmentally-controlled storage area form the foundation for collections stability and long term care and will be used to the extent possible. Appropriate environmental conditions are maintained and monitored in storage areas. Light levels are monitored and kept low. Integrated pest management is employed to prevent the intrusion of insects and vermin into the collection space and eliminate the need for chemicals harmful to the state-associated collections and people.

(6) Careful and appropriate handling and moving of objects, samples, documentation, and historical items minimizes the risk to the collections and ensures their longevity in the designated curatorial facilities and continued benefit for the people and State of Texas.

(7) The curatorial facility's ability to serve its various constituencies in regards to state-associated collections is dependent on the quality and accuracy of available information. An integrated record-keeping system is critical to documentary control of state-associated collections. Records must be maintained on all transactions and collections-related activities involving state-associated collections. Records document the legal status of state-associated collections within the curatorial facility or while on loan and document the movement and care of the objects, samples, documentation, or historical items under the control of the curatorial facility. All state-associated collections will be cataloged.

(8) Records should be made in a timely fashion, housed in secure locations, provide for easy retrieval of information on and location of an object, sample, documentation, or historical item, and be preserved by proper handling and storage. A duplicate copy of appropriate records should be made and stored at a location other than the curatorial facility as a security precaution.

(9) Insurance is integral to the protection of state-associated collections but is supplemental to sound collection management and risk management practices. Governmental entities that are self insured, may request a waiver from the insure requirements under this chapter.

(10) All-risk insurance is required on all out-going loans of state-associated collections and normally is provided by the borrowing institution. The curatorial facility must provide the Commission with evidence of a policy of insurance in force for the duration of the loan from an insurance company licensed to do business in Texas and/or the location where the collection will be held during the period of the loan, for all risks and in an amount appropriate to the value of the collection.

(11) The curatorial facility will cooperate fully with the Commission in its efforts to monitor the state-associated collections.

(h) Conservation.

(1) Decisions regarding the conservation of state-associated collections are the legal responsibility of the Commission.

(2) Even under the best-managed conditions, deterioration or damage may occur to state-associated collection objects, documentation, and historical items. Conservation is a continuing responsibility and is focused on the object, documentation, or historical item. Conservation is an intervention measure designed to return a deteriorated or damaged object, documentation, or historical item to stability through reversible and minimally intrusive methods.

(3) The curatorial facility endorses the conservation philosophy of minimal chemical and physical trauma to the object, documentation, or historical item, use of sympathetic materials, the principle of reversibility, and the keeping of complete and accurate records of the conservation process. Conservation survey and monitoring of object, documentation, or historical item condition are part of the curatorial facility's management plan for state-associated collections.

(4) Conservation work is to be undertaken within national ethics, principles, and practices by reputable, trained conservators. No work shall commence without Commission approval of the written treatment plan. Objects, documentation, or historical items are not to be treated as experimental pieces in conservation work without written Commission approval. Conservation work with an outside conservator must be conducted under a well-defined, comprehensive agreement with the Commission as a party to the agreement.

(5) Conservation by a designated curatorial facility. For collections or historical items placed at a designated curatorial facility, the following requirements apply:

(A) Authority to deal with the conservation of approved categories of objects, documentation, and historical items from state-associated held-in-trust collections is delegated to the curatorial facility certified by the Commission through an agreement between the Commission and the curatorial facility.

(i) Annual reports will be submitted to the Commission on these conservation actions.

(ii) If the Commission determines that the curatorial facility is not in compliance with the agreement and this chapter, the agreement may be terminated. Following termination, the Commission will review and decide on all conservation actions of that curatorial facility concerning state-associated held-in-trust objects, documentation, and historical items. A new agreement may be executed at such time as the Commission determines that the curatorial facility has come into compliance with this chapter. During the period the agreement is terminated, the curatorial facility may not accept new state-associated collections.

(B) Curatorial facilities not certified by the Commission shall submit written conservation requests for objects, documentation, and historical items from state-associated collections to the Commission.

(C) It is the responsibility of the curatorial facility to monitor the conservation process whether conducted in-house or on loan to an outside conservator, to assure the correct use and safety of the object, documentation, or historical item, and to note the returned stabilized materials in the records.

(i) Collections Access.

(1) The security and safety of state-associated collections is of utmost importance. Controlled access to state-associated collections by employees, researchers, and the public limits the opportunities for theft and destruction to objects, samples, documentation, and historical items. Strict collections access aids in the control of human traffic in storage areas. Storage areas should be in locked, secured locations with restricted access and controlled entry. State-associated collections are not open to the general public on a walk-in basis. The information on the location and nature of archaeological sites on land or under waters belonging to the State of Texas or any political subdivision of the State is not available to the general public.

(2) Research on state-associated collections is for the benefit of the people of Texas and the discipline. Requests for access to state-associated collections should go to the curatorial facility. Research access should be controlled, with research conducted under an approved research design. Access may be denied based on endangerment to the state-associated collection or objects, samples, documentation, or historical items or their unavailability due to not being accessioned or cataloged, out on loan, or inadequate research design. Access may be denied or limited on state-associated collections for a period of time after placement in a curatorial facility.

Appendix Two – Texas Historical Commission Collections Management Policy

Adopted January 2003 by the Commission at the Quarterly Meeting (San Antonio)

Texas Historical Commission Collections Management Policy

Policy Development

Those collections owned by the State that are under the authority of the Texas Historical Commission (i.e., state-associated collections) are addressed in the Texas Natural Resources Code §§191.091-092 and Texas Government Code §§442.007(d)(7). The Texas Historical Commission (THC) has a fiduciary responsibility for these collections, including public accountability and oversight. A THC Collections Management policy provides the basis for sound oversight of these collections through expressed delegations of responsibility, a means for THC to meet its legal obligations, a mechanism with which to interface with curatorial facilities in their partnership role, and an instrument that everyone can understand and use to operate within the same rules. It is the responsibility of THC to make policy and for that policy to be a written statement of how the Agency carries out its responsibilities and mission.

A sound Collections Management Policy is the foundation for responsible collecting and care of collections. Accountability for the collections includes proper acquisition, documentation, care, management, exhibition, and disposal or deaccession. The Collections Management Policy establishes control over the collections for which the Agency is responsible, provides lines of authority, defines areas of responsibility, and sets forth the guidelines for making certain decisions. It outlines the relationship of the Agency to its collections. Such a document is a necessary and positive step for the THC in accepting its responsibility and demonstrating good-faith effort in management.

As a dynamic document guiding daily operations of the THC in the Agency's management of the state-associated collections under its authority, the Collections Management Policy is reviewed and updated as warranted. Approval of the Collections Management Policy and any future updates is the responsibility of the Commissioners.

Governance

Pursuant to Texas Natural Resources Code §§191.091-092, all antiquities found on land or under waters belonging to the State of Texas or any political subdivision of the State belong to the State of Texas. The Texas Historical Commission (THC) is charged with the administration of the Antiquities Code and exercises the authority of the State in matters related to these state-associated collections. Under Texas Government Code §§442.007(d)(7), THC, through the authority of the State Archeologist, may preserve the historic and

archeological heritage of the State. Under Texas Government Code §442.005(v), operation of a museum and museum programs are within the authority of the THC when it receives a donation of suitable real property. Accordingly the Commission operates the Sam Rayburn House Museum and exercises the authority of the State in matters related to the Museum and its collections. Lastly, pursuant to Texas Government Code §442.0145, the THC has the authority to acquire historical documents, records, or historical artifacts for the State of Texas to ensure their protection and use by the people of Texas. The THC may retain certain state-associated collections, historical documents, records, or historical artifacts and maintain them at Agency facilities for care and management purposes.

State-associated collections, however, generally are placed in curatorial facilities in Texas. The relationship between the THC and the curatorial facility is an express trust. Ownership of these collections is not transferred but the THC has the authority to transfer stewardship of the collections through a held-in-trust agreement with the designated curatorial facility.

For a curatorial facility to be designated to receive state-associated held -in-trust collections, such institutions must be certified by the THC. All state-associated collections held in curatorial facilities are subject to the statutory authority of the THC, its rules, and this policy, and they supercede the collections management policy of the curatorial facility to the extent of any conflict.

Mission Statement and Scope-of-Collections

Established in 1953, the THC is a preservation, education, and cultural agency of the State of Texas. The mission of the THC is to protect and preserve the state's historic and prehistoric resources for the use, education, economic benefit, and enjoyment of present and future generations. The THC is dedicated to acting as a responsible partner with the state and nation's preservation communities.

The THC state-associated collections focus on the history of Texas in its broadest sense. These collections are generated in a number of ways for scholarly and public use through research, exhibitions, interpretive and educational programming, and heritage tourism. In accordance with its mission and the diverse nature of its constituency, the THC maintains five main categories of state-associated collections based on the way they were generated. They are as follows:

1. Permitted-collections that are the result of work governed by the Antiquities Code on land or under waters belonging to the State of Texas or a political subdivision of the State necessitating the issuance of a permit by the THC. This work can be conducted by an outside researcher, other state agency, cultural resources management firm or by THC personnel. Permitted-collections form the bulk of the THC state-associated collections.
2. THC non-permitted collections are the result of work governed by the Antiquities Code on land or under waters belonging to the State of Texas or a political subdivision of the State conducted by THC personnel without the issuance of a permit.
3. Purchased-collections are the result of acquisition of significant historical items by the THC through the Texas Historical Artifacts Acquisition Program or use of other state funds. A major component is the Sam Rayburn House and grounds deeded to the THC by the Sam Rayburn Foundation in 1971.
4. Donated-collections are the result of a material gift transaction by a private landowner, individual, corporation, organization, or through a bequest to the THC. A major component of this category of collections is the consequence of work conducted by THC personnel on private lands in Texas whereby the

landowner transfers ownership of the generated collection through a deed-of-gift or donation form to the State of Texas and its agent, the Texas Historical Commission; and the Sam Rayburn House Collection donated by the Sam Rayburn Foundation in 1978.

5. Court action-collections are the result of rulings by a court concerning confiscated, illegally-held archeological or historical materials from public lands to be given to the THC for care and protection.

Any or all of these state-associated collections may be entrusted to and housed in a designated curatorial facility in the State of Texas. They are accessioned, documented, and cataloged objects, documents, and samples of cultural, scientific, or historical significance that are representative of the diversity within the state. These collections are given a high level of care and protection.

Acquisition of Collections

Acquisition is the process of acquiring a collection or historical item for the State of Texas through the THC. Collections or historical items usually are acquired through field work or research, donation, bequest, or purchase. Although exchange with or transfer from another state agency normally is not practiced, it is not excluded. Acquisition does not imply accessioning, but is a necessary prerequisite for accessions. Acquired collections or historical items retained by the Agency are recommended for accessioning by the appropriate division head or Museum Director to the Executive Director. Acquired collections or historical items placed at a designated curatorial facility are recommended for accessioning through the process governed by the written Collections Management Policy of that designated curatorial facility.

Responsibility for the physical safety of the collection or historical item begins with acquisition. While THC has oversight, physical safety responsibility is delegated to the permittee during recovery and analysis of permitted-collections, the designated curatorial facility when receiving a state-associated collection, and the Executive Director for collections and historical items retained by the Agency.

ACQUISITION BY THE TEXAS HISTORICAL COMMISSION

For collections or historical items under consideration for acquisition by the Agency, the following statements provide guidance for authorized THC personnel and foster cooperation with designated curatorial facilities and prospective donors.

1. The THC acts in accordance with state, federal, and international laws that may affect the acquisition of collections or historical items. In addition, the THC bases its acquisition and accession policy statements on the ethical standards as set forth by national and international museum Code of Ethics and archaeological Code of Ethics. These statements support an attitude of responsible collecting and collections management and promote attendant storage, preservation, and conservation accountability inherent in the acceptance of collections or historical items.

2. All potential acquisitions are evaluated in terms of the objectives, purpose, mission, and scope of the THC and whether they fall within financial and physical limitations of the Agency or designated curatorial facility.

3. All potential acquisitions are evaluated by the following criteria as appropriate:

a. Recovered from land or under waters belonging to the State of Texas or any political subdivision of the State through permitted or non-permitted work.

b. Relevance of acquisition to the mission statement and scope-of-collections and ability to enhance the state-associated collections.

c. Legal and ethical standards governing possession and use of collections or historical items.

d. Willingness of the donor (legal owner) to transfer complete ownership and provide clear title to the THC without restrictions, limitations, or conditions.

e. Documentation as to origin, previous ownership, and use.

4. The THC will acquire no collection or historical item, by any means, for which a valid title cannot be obtained. Clear title must be established prior to acquisition to the best knowledge and ability of all parties involved.

5. Restrictive or conditional donations should not be accepted.

6. The THC Commissioners or staff cannot appraise collections or historical items for private citizens, corporations, or organizations or retain an appraiser for or refer an appraiser to the private citizen, corporation, or organization. THC personnel may evaluate state-associated collections for in-house purposes. Donors requiring appraisals for income tax purposes must obtain an appraisal at their own expense from an appraiser of their choice prior to donation. In-house evaluation of state-associated collections or historical items retained at the Commission's headquarters or the Sam Rayburn House Museum for collection objectives such as insurance purposes, traveling exhibits, or activities within the professional community are professional assessments and not appraisals. In-house evaluations are the responsibility of the Agency.

7. Collections or historical items acquired through purchase are the property of the State of Texas under the authority of the THC. They are accessioned at the time of purchase.

8. The THC may acquire donations or court-ordered transfers of collections or historical items of questionable origin for their care and protection.

9. To the extent possible, collections or historical items bequeathed to the THC should be approved for acquisition prior to the THC being named as beneficiary. All collections or historical items bequeathed to the THC are subject to the acquisitions statements outlined in this document. The THC is not bound legally to acquire collections or historical items that are bequeathed to the Agency unless by prior agreement. Collections or historical items bequeathed to the State of Texas are subject to the requirements of state law.

10. In the process of acquiring field-generated collections or historical items, THC personnel will not knowingly or intentionally violate local, state, national, or international laws. Field work by THC personnel is not initiated without the appropriate documentation, including all required state permits and land use authorization. Permission to collect, preserve, conserve, utilize, and assume title without restriction must be gained in writing from the private landowner or legal representative of the landowner on whose land the work is being conducted and collection created. These documents are a component of the generated collection and as such become a part of the THC's permanent records.

11. The THC Commissioners have final authority regarding acquisitions by the THC.

12. The THC maintains a detailed record-keeping system of all collections or historical items acquired by any approved means. That system documents the care and control of collections and historical items, their status, and distribution.

13. Donor information and the signed deed-of-gift are maintained as part of the acquisition file in the appropriate division or Sam Rayburn House Museum. Donor information is not used as part of labeling while the collection or historical item is on exhibit without the prior signed consent of the donor, regardless of whether the donated collection or historical item is retained by the Commission or placed at a designated curatorial facility.

14. A potential donor must be informed of the management policy under which collections or historical items may be donated. Acquisitions of the THC, once accessioned, are subject to the deaccessioning statements as set forth in this document, and except as specifically stated, no collection or historical item is sold, traded or exchanged, or otherwise removed from the care and control of the THC.

15. Certain federal laws may require that collections or historical items be deaccessioned from state-associated collections and repatriated in accordance with the specific law. Prospective donors of materials likely to be affected by such legislation will be informed of this possibility during initial donation discussions.

16. Collections or historical items donated to the THC normally are not to be returned to the donor or heirs. In such cases where the return of the collection or historical item is deemed appropriate by the Executive Director of the THC in consultation with the Chair of the Commission, a report of that action is made to the Commissioners and notice is sent to the Internal Revenue Service as appropriate.

17. Collections or historical items acquired for the Sam Rayburn House Museum are subject additionally to the Sam Rayburn House Museum Collections Management Policy as approved by the Commission.

Disposal

Objects and samples prior to accessioning that have been recovered from a site on public lands or under public waters under an Antiquities Permit issued by the THC may be considered for disposal as warranted. Decisions regarding the disposal of state-permitted held-in-trust collections are the legal responsibility of the THC.

Disposal of recovered objects or samples from a site on public lands or from public waters under an antiquities permit issued by the THC must be approved by the THC. Approval for anticipated disposal is by means of an approved research design at the time the Antiquities Permit is issued. The manner in which the object or sample is to be disposed must be included in the research design. Additional disposal not included in the approved research design must be approved by the THC prior to any disposal action.

Acceptable circumstances for disposal are provided in accordance with currently acceptable museum and archaeological ethics and practices. Exceptions may be considered by the THC. The reasons for disposal include, but are not limited to, the following:

1. Objects that are highly redundant and without additional merit;
2. Objects that lack historical, cultural, or scientific value;
3. Objects that have decayed or decomposed beyond reasonable use and repair or that by their condition constitute a hazard to other objects in the collection; and
4. Objects that may be subject to disposal as required by federal laws.

Items disposed of after recovery must be documented in the notes, final report, and with the designated curatorial facility and THC. The THC relinquishes title for the State to any object or sample approved for disposal. The object or sample must be divested in a suitable manner.

Under no circumstances will state-permitted held-in-trust collections be disposed of through sale.

Accessions

Accessioning is the procedure that is initiated by the transfer of clear title and officially incorporates collections or historical items into the permanent holdings of the State of Texas under the authority of the THC or registers state-associated collections as held-in-trust for the People and State of Texas at a designated curatorial facility. Title is considered transferred when the THC receives a deed-of-gift signed by the donor or when a bill of sale is acknowledged as paid in full for purchased historical items. Stewardship and held-in-trust status is considered conferred when the THC receives a held-in-trust agreement signed by the authorized representative of the designated curatorial facility. Collections and historical items retained at the Commission's headquarters or the Sam Rayburn House Museum are not incorporated into the THC's holdings until they are accessioned. Upon accessioning of collections and historical items retained at THC facilities for care and management purposes, the THC assumes the obligation of proper daily management and protection of those collections and historical items. State-associated collections placed at designated curatorial facilities are not incorporated into the holdings of a designated curatorial facility until they are accessioned by that institution. Upon accessioning of state-associated collections placed at designated curatorial facilities, the particular curatorial facility assumes the obligation of proper daily management and protection of those collections. THC retains oversight of the placed state-associated collections.

Accessioning provides an inventory of collections and historical items owned by the State of Texas under the authority of the THC. Accession numbers document State of Texas ownership or curatorial facility stewardship and are an inventory control device.

ACCESSIONS BY THE TEXAS HISTORICAL COMMISSION

For collections or historical items retained by the Agency for care and management purposes, the following requirements apply:

1. All collections or historical items retained will be accessioned and accessioned in a timely manner.
2. The accession system used by the THC is alpha-numeric and consists of the agency's acronym THC for collections or historical items retained at Commission headquarters or acronym SRHM for collections or historical items at the Sam Rayburn House Museum, followed by the 4-digit calendar year of acceptance written in full, followed by a sequential number indicating the order of acceptance of accessions that year. A period separates the calendar year from the sequential number (e.g., THC2002.1). Each accession is assigned one unique accession number, whether it consists of a single historical item, a number of items from a donor in a single transaction, or a field-generated site collection from a single season. Each accession is accompanied by an accessions inventory.
3. For collections or historical items retained at Commission headquarters, accessioning is the responsibility of the Executive Director and only the Executive Director has the authority to assign accession numbers. For collections or historical items at the Sam Rayburn House Museum, accessioning is the responsibility of the

Museum Director and only the Museum Director has the authority to assign accession numbers. It is the responsibility of the appropriate division head or curator to provide all acquisition documentation to the Executive Director or Museum Director as appropriate.

4. Accession records include:

a. A signed deed-of-gift form for those collections or historical items donated to the THC or State of Texas under the authority of the THC; proof of ownership for those collections or historical items purchased by the THC; all bills of sale and other purchase documents; and a copy of the will for those collections or historical items bequeathed to the THC or State of Texas under the authority of the THC.

b. Correspondence and transactions involving the accession, including:

1. name, address, and other contact information of the donor, seller, or executor and heirs;
2. import and export papers on collections or historical items from countries other than the United States;
3. bill of sale and bill of lading;
4. copyright information;
5. provenance information;
6. history of collection or historical items
7. dates or ages of collection or historical items
8. any photodocumentation of collection or historical items

ACCESSIONS BY A DESIGNATED CURATORIAL FACILITY

For collections or historical items placed at a designated curatorial facility, the following requirements apply:

1. All collections or historical items will be accessioned and accessioned in a timely manner by the designated curatorial facility. Stewardship but not ownership is transferred to the designated curatorial facility.
2. The curatorial facility will use a consistent accession system that readily identifies or distinguishes an accession of that curatorial facility from accessions of other curatorial facilities holding state-associated collections.
3. A signed held-in-trust agreement must be executed for each accession with copies retained by the THC and designated curatorial facility. Each held-in-trust agreement is accompanied by an accessions inventory.
4. Accession records must be maintained by the designated curatorial facility, including the copy of the signed held-in-trust agreement, accessions inventory, and as appropriate, the housing agreement between the curatorial facility and cultural resource management firm or researcher for permitted-collections.
5. Copies of correspondence and transactions involving state-associated collections donated to or purchased by THC will be provided to the designated curatorial facility as part of their accession records.

Deaccession

The THC recognizes the special responsibility associated with the receipt and maintenance of objects of cultural, historical, and scientific significance in the public trust. Although curatorial facilities become

stewards of state-associated held-in-trust collections, title is retained by the THC for the State. Thus, the decision to deaccession state-associated held-in-trust objects or collections is the responsibility of the THC. The THC recognizes the need for periodic reevaluations and thoughtful selection necessary for the growth and proper care of collections. The practice of deaccessioning under well-defined guidelines provides this opportunity.

Deaccessioning may be through voluntary or involuntary means. The transfer, exchange, or deterioration beyond repair or stabilization or other voluntary removal from a collection in a curatorial facility is subject to the limitations of this policy.

Involuntary removal from collections occurs when objects, samples, or records are lost through theft, disappearance, or natural disaster. If the whereabouts of the object, sample, or record is unknown, it may be removed from the responsibility of the curatorial facility, but the THC will not relinquish title in case the object, sample, or record subsequently is returned.

DEACCESSION BY THE TEXAS HISTORICAL COMMISSION

For collections or historical items retained by the Agency for care and management purposes, the following requirements apply:

1. Deaccessioning is a useful tool for defining and refining the scope and quality of collections that have grown over the years. No item or collection is deaccessioned without careful review, evaluation by the appropriate division or Museum staff, and documentation of clear title. The only item or collection considered for deaccession is that to which the THC has clear title. The Executive Director makes the final recommendation to the Commissioners on deaccessioning based on written guidelines.
2. Acceptable circumstances for deaccessioning are provided in accordance with currently acceptable museum ethics and practices. Exceptions may be considered by the Commissioners. The reasons for deaccessioning all or part of state-associated collections include, but are not limited to, the following:
 - a. Objects lacking provenance that are not significant or useful for research, exhibit, or educational purposes in and of themselves.
 - b. Objects or collections that do not relate to the stated mission of the THC or Sam Rayburn House Museum as appropriate. Objects or collections that are relevant to the stated mission of the THC or Sam Rayburn House Museum as appropriate may not be deaccessioned on the grounds that they are not relevant to the research interests of current staff.
 - c. Objects or collections that were retained and accessioned by the Agency but now are being transferred to a designated curatorial facility. A held-in-trust agreement must be executed between the receiving curatorial facility and the THC.
 - d. Objects that have decayed or decomposed beyond reasonable use or repair or that by their condition constitute a hazard in the collections.
 - e. Objects that have been noted as missing from a collection beyond the time of the next collections-wide inventory are determined irretrievable and eligible to be deaccessioned as lost.

f. Objects suspected as stolen and not recovered after a period of three years or until the time of the next collections-wide inventory are determined irretrievable and eligible to being deaccessioned as stolen. Objects suspected as stolen must be reported to law enforcement agencies with notification to curatorial facilities and appropriate organizations.

g. Objects that have been stolen and for which an insurance claim has been paid to the THC.

h. Objects that may be subject to deaccessioning as required by federal laws.

3. Deaccession records include:

a. written evaluation and justification for deaccession;

b. copy of the Quarterly Meeting minutes indicating Commissioner approval for deaccession;

c. method of divestment and recipient name, address, and other contact information as appropriate;

4. Under no circumstances will state-associated collections be deaccessioned through sale.

DEACCESSION BY A DESIGNATED CURATORIAL FACILITY

For collections or historical items placed at a designated curatorial facility, the following requirements apply:

1. Decisions regarding the deaccession of state-associated held-in-trust collections are the legal responsibility of the THC.

2. The reasons for deaccessioning all or part of state-associated held-in-trust collections include, but are not limited to, the following:

a. Objects lacking provenance that are not significant or useful for research, exhibit, or educational purposes in and of themselves;

b. Objects or collections that do not relate to the stated mission of the curatorial facility. Objects or collections that are relevant to the stated mission of the curatorial facility may not be deaccessioned on the grounds that they are not relevant to the research interests of current staff or faculty;

c. Objects that have decayed or decomposed beyond reasonable use or repair or that by their condition constitute a hazard in the collections;

d. Objects that have been noted as missing from a collection beyond the time of the next collections inventory are determined irretrievable and eligible to be deaccessioned as lost;

e. Objects suspected as stolen from the collections must be reported to the THC in writing immediately for notification to similar curatorial facilities, appropriate organizations, and law enforcement agencies. Objects suspected as stolen and not recovered after a period of three years or until the time of the next collections inventory are determined irretrievable and eligible to being deaccessioned as stolen;

f. Objects that have been stolen and for which an insurance claim has been paid;

g. Objects that may be subject to deaccessioning as required by federal laws.

3. Deaccession for reasons not listed above must be approved on a case-by-case basis by the THC.
4. If deaccessioning is for the purpose of transfer or exchange, THC retains title for the State to the object or collection. A new held-in-trust agreement must be executed between the receiving curatorial facility and the THC. If deaccessioning is due to theft or loss, the THC will retain title for the State to the object or collection in case it is ever recovered, but the curatorial facility will no longer be responsible for the object or collection. If deaccessioning is due to deterioration or damage beyond repair or stabilization, the THC relinquishes title for the State to the object or collection and the object or collection must be divested in a suitable manner.
5. Authority to deal with deaccessioning of limited categories of objects and samples from state-associated held-in-trust collections is delegated to a curatorial facility certified by the THC through a contractual agreement between the THC and the curatorial facility.
 - a. Annual reports will be submitted to the THC on these deaccessioning actions.
 - b. If the THC determines that a curatorial facility has acted in violation of the contractual agreement and this policy, the contractual agreement will be terminated. From that date forward, the THC will review and decide on all deaccession actions of that curatorial facility concerning state-associated held-in-trust objects and samples. A new contractual agreement may be executed at such time as the THC determines that the curatorial facility has come into compliance with this policy.
6. Curatorial facilities not certified by the THC shall submit written deaccession requests of objects and samples from held-in-trust collections to the THC.
7. Requests to deaccession a state-associated held-in-trust collection in its entirety must be submitted to the THC.
8. Under no circumstances will state-associated held-in-trust collections be deaccessioned through sale.

Inventory

An inventory is a physical verification of the presence, location, and condition of the object, sample, or document. Inventory is an important practice in the curatorial facility environment and for THC. Inventories provide a measure of accountability. An inventory updates collection records and documentation; gives the opportunity to check the condition of each object, sample, or document; and aids in maintaining the security of each object, sample, or document. Inventory allows the THC and curatorial facilities to examine, evaluate, and provide appropriate conditions for the state-associated collections. Inventory provides a system for keeping track of the individual objects, samples, and documents of the collections and facilitates the management of the collections. The THC and curatorial facilities fulfill in part their legal and ethical responsibilities by conducting inventories that account for the objects, samples, documentation, or historical items within state-associated collections.

INVENTORIES BY THE TEXAS HISTORICAL COMMISSION

For collections or historical items retained by the Agency for care and management purposes, the following requirements apply:

1. The THC Executive Director is responsible for maintaining the inventory of the state-associated collections retained by the agency and for assuring that appropriate and timely inventories are conducted.
2. THC practices five types of inventories: accessions, site, comprehensive, spot-check, and relocation of collections.
 - a. An accessions inventory is conducted at the time of accessioning when a collection or historical item is retained by the Agency. This baseline inventory is comprised of the categories represented in the collection, quantities, and linear feet of documentation as appropriate.
 - b. A site inventory is a listing of all site collections and historical items retained by the Agency. This listing provides an immediate overview and number of state-associated collections that are retained by the Agency and is updated annually.
 - c. A comprehensive inventory covers the entire collection of state-associated collections retained by the Agency. The THC and the Sam Rayburn House Museum conduct comprehensive inventories of their state-associated holdings once every 10 years.
 - d. A spot-check inventory is conducted to monitor collection activity, check the accuracy of records, and assess the condition of the most valuable or significant material in a collection. This type of inventory is conducted a minimum of every three years for a specific storage area, box, shelf, cabinet, or drawer.
 - e. A relocation inventory is conducted at any time an object, collection, or historical item experiences movement. This movement may occur in the form of incoming or outgoing loans, in-house research, exhibit installation, conservation, or deaccessions.
3. Missing objects, specimens, documentation, or historical items must be reported in writing to the Executive Director with a determination of whether misplaced or stolen. Suspected stolen material must be reported to appropriate local and state law enforcement agencies with notification to curatorial facilities and appropriate organizations.

INVENTORIES BY A DESIGNATED CURATORIAL FACILITY

For collections or historical items placed at a designated curatorial facility, the following requirements apply.

1. inventories for state-associated held-in-trust collections are:
 - a. An accessions inventory is conducted at the time of accessioning when a collection or historical item is placed at the designated curatorial facility. This baseline inventory is comprised of the categories represented in the collection, quantities, and linear feet of documentation as appropriate.
 - b. A site inventory is a listing of all site collections and historical items held by the curatorial facility. This listing provides an immediate overview and number of state-associated collections at the curatorial facility.
 - c. A spot-check inventory is conducted to monitor collection activity, check the accuracy of records, and assess the condition of the most valuable or significant material in a collection. This type of inventory should be conducted on a periodic basis according to the collections management policy of the designated curatorial facility.

d. A relocation inventory is conducted at any time an object, collection, or historical item experiences movement. This movement may occur in the form of incoming or outgoing loans, in-house research, exhibit installation, conservation, or deaccessions.

2. The Director of the curatorial facility is responsible for maintaining the inventory of the state-associated held-in-trust collections and for seeing that appropriate and timely inventories are conducted. The types and frequency of inventories must be outlined in the curatorial facility's Collections Management Policy. Accessions inventories must be conducted and included as part of the held-in-trust agreement. A site inventory must be conducted and updated annually to the THC to provide an accurate listing of all state-associated held-in-trust collections housed at the curatorial facility. A relocation inventory must be conducted and included as part of the loan agreement of state-associated held-in-trust collections. Other types of inventories should be conducted to provide tracking and security information.

3. Authority to deal with missing and stolen objects, samples, documentation, and historical items of limited categories from state-associated held-in-trust collections is delegated to a curatorial facility certified by the THC through a contractual agreement between the THC and the curatorial facility.

a. Annual reports will be submitted to the THC on these inventory and security actions. Suspected stolen material must be reported to appropriate law enforcement agencies with notification to other curatorial facilities and appropriate organizations.

b. If the THC determines that a curatorial facility has acted in violation of the contractual agreement and this policy, the contractual agreement will be terminated. From that date forward, the THC will review and decide on all inventory and security actions of that curatorial facility concerning state-associated held-in-trust objects, samples, documentation, and historical items. This action does not mean that inventory will be conducted by the THC until such time as the curatorial facility comes into compliance with this policy. A new contractual agreement may be executed at such time as the THC determines that the curatorial facility has come into compliance with this policy.

4. Curatorial facilities not certified by THC shall submit a written plan for the inventory of state-associated held-in-trust collections. Missing or stolen objects, samples, documentation, and historical items from state-associated held-in-trust collections must be reported to the THC in writing immediately upon discovery with a determination of whether misplaced or stolen. Suspected stolen material must be reported to appropriate law enforcement agencies with notification to curatorial facilities and appropriate organizations.

Collection Loans

The THC recognizes the special responsibility associated with the loaning of state-associated collections and that loans are an inherent practice in a curatorial facility. Loans involve a legal agreement between the owner and the borrower. Although curatorial facilities become stewards of state-associated held-in-trust collections, title is retained by the THC for the State. Decisions regarding the loaning of state-associated collections are the legal responsibility of the THC.

Loans of state-associated collections do not involve the transfer of title but are the temporary reassignment of all or part of a collection from THC headquarters, Sam Rayburn House Museum, or the designated curatorial facility (outgoing loan) to another institution or to THC headquarters, Sam Rayburn House Museum, or a curatorial facility (incoming loan). All loans are for a defined period of time, for the stated purposes of

research, education, exhibition, conservation, or inspection, and are made only to institutions. Commercial use of loaned material is not allowed.

A written loan agreement must accompany every loan with the specifications on rights and responsibilities of each party. The loan agreement must stipulate the condition of the loan to insure safety precautions during transit, handling, and use, environmental protection, and adequate housing in the borrowing institution. A relocation inventory detailing the material on loan is a part of the loan agreement. All loans of state-associated collections must be insured. Third-party loans are not allowed.

State-associated collections are loaned to reach a wider audience and facilitate research. While on loan, objects, samples, documentation, or historical items must be afforded the same level of care and protection as provided by the THC facilities or designated curatorial facility. Loans are made to similar institutions, educational organizations, and non-profit agencies. For research purposes, loans are made to the institution with which the individual is affiliated and that institution assumes full responsibility for the care and security of the loaned material and the proper administration of the loan and loan conditions.

Neither unaccessioned nor uncataloged state-associated collections will be loaned. The Sam Rayburn House Museum and designated curatorial facilities may restrict further the kinds of objects, samples, documentation, or historical items eligible for loans.

A. Non-Destructive Loans

LOANS BY THE TEXAS HISTORICAL COMMISSION

For collections or historical items retained by the Agency for care and management purposes, the following requirements apply:

1. Loans are by the authority of the THC Executive Director or the Museum Director of the Sam Rayburn House Museum as appropriate. Loans are initiated by staff of the appropriate headquarters or Museum division. Loan agreements are kept on file in the office of the THC Executive Director or Museum Director with copies on file in the office of the appropriate division.

a. For out-going loans:

1. A standard facilities report is required from the borrowing institution as part of the consideration of the loan request.
2. The loan period may be negotiated with the receiving institution, but usually should not exceed one year with the option to renew for another 6 months. Written requests for longer periods may be considered by the THC Executive Director or Museum Director as appropriate.
3. In order to document the condition of the loaned material, a condition report on each object, sample, documentation, or historical item is required before packing for transport and after return of the loan.
4. Insurance coverage for all loaned material is required, normally provided by the borrowing institution. Current and reasonable insurance evaluations are the responsibility of the appropriate division heads or Museum Director.

5. Photography, reproduction, or replication of loaned material must be with prior written approval by the THC Executive Director or Museum Director as appropriate and may only be used for exhibition, educational, and research purposes.

6. The THC or Sam Rayburn House Museum as appropriate must be credited in all publications and exhibitions associated with the loaned material, including photographs, reproductions, and replicas.

7. The THC and Sam Rayburn House Museum reserve the right to cancel a loan or remove loan material from exhibit at any time.

b. For in-coming loans:

1. If a loan agreement does not accompany the borrowed material, the THC facilities loan agreement will be adapted to provide documentation associated with the in-coming loan, including a relocation inventory.

2. The signature of the owner or authorized agent is required on the loan agreement.

3. In order to document the condition of the borrowed material, a condition report on each object, sample, documentation, or historical item is required while unpacking before use and when repacking for return of the loan.

4. The same care and protection is given borrowed material as provided state-associated collections retained by THC headquarters and the Sam Rayburn House Museum.

5. Borrowed material cannot be received from anyone other than the legal owner or authorized agent.

6. When returning a loan, the borrowed material must be packed and transported in the same or a more suitable manner as received.

7. The THC and Sam Rayburn House Museum reserve the right to cancel a loan or remove loan material from exhibit at anytime.

LOANS BY A DESIGNATED CURATORIAL FACILITY

For collections or historical items placed at a designated curatorial facility, the following requirements apply:

1. Decisions regarding the loan of state-associated held-in-trust collections are the legal responsibility of the THC.

2. the Director of the curatorial facility is responsible for all loan transactions of state-associated held-in-trust collections and for assuring that appropriate and timely administration of loans are conducted. Relocation inventories must be conducted and included as part of the written loan agreement. Other loan conditions must be addressed in the Collections Management Policy of the curatorial facility.

3. Authority to deal with loans of state-associated held-in-trust collections is delegated to a curatorial facility certified by the THC through a contractual agreement between the THC and the curatorial facility.

a. Annual reports will be submitted to the THC on these loan actions.

b. If the THC determines that a curatorial facility has acted in violation of the contractual agreement and this policy, the contractual agreement will be terminated. From that date forward, the THC will review and decide on all loan actions of that curatorial facility concerning state-associated held-in-trust objects and samples. A new contractual agreement may be executed at such time as the THC determines that the curatorial facility has come into compliance with this policy.

4. Curatorial facilities not certified by the THC shall submit written loan requests of objects, samples, documentation, or historical items from state-associated held-in-trust collections to the THC.

B. Destructive Loans

1. The THC recognizes that on occasion to gain new knowledge, a state-associated object or sample may be radically altered or destroyed. That new knowledge supplements the radically altered object or sample or substitutes for the destroyed object or sample. The THC does not relinquish title for the State to an object or sample that has undergone destructive analysis and the object or sample is not deaccessioned.

2. Decisions regarding the destructive analysis of state-associated held-in-trust collections are the legal responsibility of the THC.

3. This policy applies only to samples and objects from state-associated held-in-trust collections accessioned into the holdings of a curatorial facility. Destructive analysis of samples or objects prior to placement in a curatorial facility is covered by the research design approved for the Antiquities Permit.

DESTRUCTIVE ANALYSIS BY THE TEXAS HISTORICAL COMMISSION

For collections or historical items retained by the Agency for care and management purposes, the following requirements apply:

1. A written research proposal must be submitted to the Executive Director stating research goals, specific samples or objects from state-associated collections to be destroyed, and research credentials in order for the THC to determine whether the destructive analysis is warranted.

2. Conditions for approval of destructive analysis may include qualifications of the researcher, uniqueness of the project, scientific value of the knowledge sought to be gained, and the importance, size, and condition of the object or sample.

3. Objects and samples approved for destructive analysis purposes are loaned to the institution where the researcher is affiliated. Objects and samples will not be loaned to individuals for destructive analysis.

4. If the Executive Director denies a request for destructive analysis of a sample or object, the decision may be appealed to the THC Commissioners.

5. Information gained from the analysis must be provided to the THC as a condition of all loans for destructive analysis purposes. After completion of the destructive analysis, the researcher must return the information (usually in the form of a research report) in order for the loan to be closed. Two copies of any

publications resulting from the analysis must be sent to the THC. If the object or sample is not completely destroyed by the destructive analysis, the remainder must be returned to the THC.

6. It is the responsibility of the THC to monitor materials on loan for destructive analysis, to assure their correct use, and to note the returned data in the records.
7. For destructive analysis requests by THC staff, a written research proposal must be submitted to the appropriate division Director stating research goals and specific samples or objects from a state-associated collection retained by the Agency to be destroyed in order to determine whether the destructive analysis is warranted. The division Director's recommendation is forwarded to the Executive Director for final decision.

DESTRUCTIVE ANALYSIS BY OR THROUGH A DESIGNATED CURATORIAL FACILITY

For collections or historical items placed at a designated curatorial facility, the following requirements apply:

1. A written research proposal must be submitted to the curatorial facility stating research goals, specific samples or objects from a state-associated held-in-trust collection to be destroyed, and research credentials in order for the curatorial facility to determine whether the destructive analysis is warranted.
2. Authority to deal with destructive analysis requests of categories of objects and samples from state-associated held-in-trust collections is delegated to a curatorial facility certified by THC through a contractual agreement between the THC and the curatorial facility.
 - a. Annual reports will be submitted to the THC on these destructive analysis actions.
 - b. If the THC determines that a curatorial facility has acted in violation of the contractual agreement and this policy, the contractual agreement will be terminated. From that date forward, the THC will review and decide on all destructive analysis actions of that curatorial facility concerning state-associated held-in-trust objects and samples. A new contractual agreement may be executed at such time as the THC determines that the curatorial facility has come into compliance with these policies.
3. Curatorial facilities not certified by the THC shall submit destructive analysis requests of objects and samples from state-associated held-in-trust collections to the THC.
4. Conditions for approval of destructive analysis may include qualifications of the researcher, uniqueness of the project, scientific value of the knowledge sought to be gained, and the importance, size, and condition of the object or sample.
5. Objects and samples from state-associated held-in-trust collections approved for destructive analysis purposes are loaned to the institution where the researcher is affiliated. Objects and samples will not be loaned to individuals for destructive analysis.
6. If the curatorial facility denies a request for destructive analysis of a sample or object from a state-associated held-in-trust collection, appeal of the decision is through the THC.
7. Information gained from the analysis must be provided to the curatorial facility as a condition of all loans for destructive analysis purposes. After completion of destructive analysis, the researcher must return the information (usually in the form of a search report) in order for the loan to be closed. Two copies of any

publications resulting from the analysis must be sent to the curatorial facility. If the object or sample is not completely destroyed by the destructive analysis, the remainder must be returned to the curatorial facility.

8. It is the responsibility of the curatorial facility to monitor materials on loan for destructive analysis, to assure their correct use, and to note the returned data in the records.

Collections Care

The well-being and safety of the state-associated collections is a management responsibility involving a continuum of obligations and actions. The central purpose is to preserve well-documented and well-maintained state-associated collections for the benefit of the people of Texas and future generations. Basic collections care involves proper storage equipment and conditions, routine preventive maintenance, preventive conservation, and appropriate handling and moving of the objects, samples, documentation, and historical items. The goal is to prevent or limit further deterioration of the state-associated collections due to environmental, human, and inherent factors. THC recognizes the responsibility of providing oversight for the state-associated collections as a whole while addressing the needs of the variety of materials and sizes within the collections within the available resources of the Agency and the curatorial facilities.

Archival-quality packaging, padding, and housing units within a sound, environmentally-controlled storage area form the foundation for collections stability and long term care. Appropriate environmental conditions are maintained and monitored in storage areas. Light levels are monitored and kept low. Integrated pest management is employed to prevent the intrusion of insects and vermin into the collection space and eliminate the need for chemicals harmful to the state-associated collections and people.

All state-associated collections and their constituent parts are treated with equal care, regardless of monetary value. Careful and appropriate handling and moving of objects, samples, documentation, and historical items minimizes the risk to the collections and ensures their longevity in the designated curatorial facilities or THC facilities and continued benefit for the people and State of Texas.

THC's ability to serve its various constituencies in regards to state-associated collections is dependent on the quality and accuracy of available information. An integrated record-keeping system is critical to documentary control of state-associated collections. Records must be maintained on all transactions and collections-related activities involving state-associated collections. Records document the legal status of state-associated collections within the curatorial facility or at THC facilities or while on loan and document the movement and care of the objects, samples, documentation, or historical items under the control of the curatorial facility or THC facilities. All state-associated collections should be cataloged. Sound record-keeping management is the responsibility of the Executive Director for state-associated collections retained at THC headquarters, the Museum Director for state-associated collections at the Sam Rayburn House Museum, and designated personnel for state-associated collections at curatorial facilities.

Records should be made in a timely fashion, housed in secure locations, provide for easy retrieval of information on and location of an object, sample, documentation, or historical item, and be preserved by proper handling and storage. A duplicate copy of accession records should be made and stored at a location other than the curatorial facility or THC facilities as a security precaution.

Insurance is integral to the protection of state-associated collections but is supplemental to sound collection management and risk management practices. All-risk insurance is required on all out-going loans of state-associated collections and normally is provided by the borrowing institution. THC may require a curatorial facility to carry all-risk insurance on the state-associated collections the facility holds in trust while in the

custody of the curatorial facility in an amount acceptable to the THC, with the THC named as an insured party in the policy. The curatorial facility must provide the THC with a Certificate of Insurance.

As most state-associated held-in-trust collections are housed in curatorial facilities across the state, it is incumbent on THC to have a mechanism for monitoring curatorial facilities and ensuring that established standards are followed. The THC has established a certification program for curatorial facilities as the means to monitor and ensure the level of care provided by curatorial facilities to collections. By December 31, 2005, all curatorial facilities wishing to acquire additional state-associated held-in-trust collections must be certified by the THC.

Conservation

The THC exercises the authority of the State in matters related to conservation of state-associated collections. Decisions regarding these state-associated collections are the legal responsibility of the THC.

The THC recognizes that even under the best-managed conditions, deterioration or damage may occur to state-associated collection objects, documentation, and historical items. Conservation is a continuing responsibility and is focused on the object, documentation, or historical item. Conservation is an intervention measure designed to return a deteriorated or damaged object, documentation, or historical item to stability through reversible and minimally intrusive methods.

The THC endorses the conservation philosophy of minimal chemical and physical trauma to the object, documentation, or historical item, use of sympathetic materials, the principle of reversibility, and the keeping of complete and accurate records of the conservation process. Conservation assessments and monitoring of object, documentation, or historical item condition are encouraged as part of the Agency or curatorial facility's management plan for state-associated collections.

Conservation work is to be undertaken within national ethics, principles, and practices by reputable, trained conservators. No work shall commence without THC approval of the written treatment plan. Objects, documentation, or historical items are not to be treated as experimental pieces in conservation work without written THC approval. Conservation work with an outside conservator must be conducted under a well-defined, comprehensive agreement with THC as a party to the agreement.

CONSERVATION BY THE TEXAS HISTORICAL COMMISSION

For collections or historical items retained by the Agency for care and management purposes, the following requirements apply:

1. For state-associated collections retained at Commission facilities, it is the responsibility of the THC Executive Director or Museum Director as appropriate to monitor the conservation process whether conducted in-house or on loan to an outside conservator, to assure the correct use and safety of the object, documentation, or historical item, and to note the returned stabilized materials in the records.

CONSERVATION BY A DESIGNATED CURATORIAL FACILITY

For collections or historical items placed at a designated curatorial facility, the following requirements apply:

1. Authority to deal with the conservation of limited categories of objects, documentation, and historical items from state-associated held-in-trust collections is delegated to a curatorial facility certified by the THC through a contractual agreement between the THC and the curatorial facility.

a. Annual reports will be submitted to the THC on these conservation actions.

b. If the THC determines that a curatorial facility has acted in violation of the contractual agreement and this policy, the contractual agreement will be terminated. From that date forward, the THC will review and decide on all conservation actions of that curatorial facility concerning state-associated held-in-trust objects, documentation, and historical items. A new contractual agreement may be executed at such time as the THC determines that the curatorial facility has come into compliance with this policy.

2. Curatorial facilities not certified by the THC shall submit written conservation requests for objects, documentation, and historical items from state-associated held-in-trust collections to the THC.

3. It is the responsibility of the curatorial facility to monitor the conservation process whether conducted in-house or on loan to an outside conservator, to assure the correct use and safety of the object, documentation, or historical item, and to note the returned stabilized materials in the records.

Collections Access

The security and safety of state-associated collections is of utmost importance. Controlled access to state-associated collections by employees, researchers, and the public limits the opportunities for theft and destruction to objects, samples, documentation, and historical items. Strict collections access aids in the control of human traffic in storage areas. Storage areas should be in locked, secured locations with restricted access and controlled entry. State-associated collections are not open to the general public on a walk-in basis. The information on the location and nature of archaeological sites on land or under waters belonging to the State of Texas or any political subdivision of the State is not available to the general public.

Research on state-associated collections is for the benefit of the people of Texas and the discipline. Requests for access to state-associated collections retained by the THC for care and management should go to the THC. Requests for access to state-associated held-in-trust collections should go to the appropriate curatorial facility. Research access should be controlled, with research conducted under an approved research design. Access may be denied based on endangerment to the state-associated collection or objects, samples, documentation, or historical items or their unavailability due to not being accessioned or cataloged, out on loan, or inadequate research design. Access may be denied or limited on THC-generated state-associated collections for a period of time after placement in a curatorial facility. Additional restrictions and conditions should be addressed in the Collections Management Policy of the Sam Rayburn House Museum or curatorial facility housing state-associated collections.

La Belle Collection

Long-Term Curation of La Belle Collection

La Belle Collection is the property of the Republic of France, held-in-trust by the State of Texas through an agreement approved on _____. For the purposes of this policy, it is treated similarly to a state-permitted

collection of the THC. This collection is to be placed for long-term care at appropriate curatorial facilities. With over one million artifacts recovered, La Belle material is a priceless historical collection of international significance. La Belle collection needs to be housed, preserved, and interpreted in a manner appropriate to its historical significance. The THC shall retain the authority to monitor long term care and remove the collection from a designated repository if deemed necessary. Certain decisions regarding La Belle, however, are subject to the approval of the Musee de la Marine, Paris, France.

The long-term placement of La Belle collection by the THC for curation shall be governed by guidelines that characterize an acceptable curatorial facility. The following guidelines apply:

1. Certification. The curatorial facility must be certified by the THC by December 31, 2005. If the curatorial facility is a museum, accreditation by the American Association of Museums also is preferred but does not substitute for THC certification.
2. Trained Collections Manager. the curatorial facility must have arraigned collections manager or curator with knowledge of, and experience in, the field of historic or marine archeology.
3. Management Conditions. The curatorial facility should have space, equipment, and funds sufficient to provide an adequate management base for the collections, specifically in terms of:
 - a. Office space and equipment (specifically computers and soft-ware) available;
 - b. Adequate space for records (archeological, conservation, archival) available;
 - c. Funding in place to acquire storage equipment (housing units) that is sufficient and appropriate and archival (preventive conservation) materials;
 - d. Funding plan in place to support on-going collections management activities.
4. Trained Conservator. The curatorial facility should have access to a trained conservator with knowledge of, and experience in, the field of historic or marine archeological conservation. A funding plan to support on-going conservation should be in place.
5. Housing Plan. the curatorial facility must have a written Collections Management Policy and housing plan in place specifically FOR the appropriate packaging, housing, and preventive maintenance of La Belle collection, including, if appropriate, the ship's hull. The following terms also apply:
 - a. Housing units must be appropriate, state-of-the-art museum quality units with sufficient numbers of cabinets and drawers and/or shelf space to house properly the vast quantity and variety of materials. In addition, housing units must be able to:
 1. Provide protection, security, and a stable environment;
 2. Create micro-environments within the housing units as necessary;
 3. Monitoring procedures must include ways to assess object stability.
 - b. Inventory procedures must be based on a physical inventory rather than a listing based solely on documentation.
6. Space Requirements: The curatorial facility must have standard, modern environmental controls within the collections housing area and sufficient space, specifically:
 - a. To house the requisite cabinets and shelving units with unhindered walkways and safe ceiling space with rolling safety ladders;
 - b. To contain the hull (if appropriate) with unhindered walkways around the hull, a space of approximately 100 ft. x 40 ft., and at least a 20 ft. ceiling.

7. Security. The curatorial facility must have controlled ingress and egress, a burglar alarm system and security patrol, and a fire marshal-approved fire suppression system.
8. Access for Researchers. The curatorial facility must have study space and make the collections accessible for valid researchers and provide an adequate and appropriate reference library. The THC will approve all access to the La Belle Collection for research purposes. This policy will be reviewed by the THC every seven years.
9. Insurance. The curatorial facility must carry all-risk insurance on La Belle Collection of an amount agreeable with the THC and with the THC named as an insured party in the policy and provide the THC with a Certificate of Insurance.
10. Loan of Collection. The THC retains the authority over loan of La Belle Collection items. The curatorial facility must coordinate all loan requests with the Executive Director of the THC and follow THC loan policy and procedures. Certain international loans are subject to the approval of the Musee de la Marine, Paris, France

La Belle Collection Outgoing Loan Policy

The Texas Historical Commission La Belle Collection is maintained for the benefit of the people of Texas and France and loans are made only to institutions for purposes consistent with this policy. Loans from the La Belle Collection are for the purpose of reaching a wider audience and facilitating research. While on loan, objects must be afforded a level of care and protection as provided by and subject to the written approval of the THC. Loans for exhibit purposes are made to the institution and that institution assumes responsibility for the proper administration of the loan and the care and security of the object(s). Loans for research purposes are made to the institution with which the individual is affiliated and that institution assumes responsibility for the proper administration of the loan and the care and security of the object(s).

To assure objects requested for loan receive proper care and security, the requesting institution must present for approval of the curatorial facility a standard facilities report for verification of proper environmental, storage, exhibition, and security conditions and procedures for the handling and transit of objects. On-site inspection by THC staff may be required prior to agreeing to a loan of objects. The requesting institution should have a trained curator or director to check the inventory and prepare condition reports on materials borrowed. Following THC requirements, the requesting institution should have environmental controls and a fire marshal-approved fire suppression system. The facility should have standard museum security, including:

1. monitored ingress and egress;
2. personnel circulating in the exhibit space who have access to a security alarm monitored by local law enforcement;
3. a motion detector security alarm monitored by local law enforcement when the museum is closed; or
4. a 24-hour security guard on duty beginning with the unloading and installation of exhibit materials.

Exhibition or research conditions are part of the loan contract and evidence of adherence may be required. The use of the object(s) for the stated purpose, condition of the object(s); and assurances that insurance

valuations are current are stated on the loan contract and must be adhered to by the borrowing institution. Packing and transportation methods are stated on the loan contract. The object(s) must be packed and transported in the safest possible way in accordance with the nature and condition of the object(s).

The THC staff is responsible for ensuring that a condition report is completed on objects prior to out-going loans and after the loan is returned to the curatorial facility. A copy of the condition report must be provided to the THC. A condition report is required of the borrowing institution upon receipt of the loaned objects and prior to packing for return to the curatorial facility. Damage or loss of objects while in transit or during the loan period must be reported verbally to the THC Executive Director within 24 hours of the discovery of the loss followed by a written report detailing the extent and circumstances of the loss within two business days. Objects on loan cannot be altered, cleaned, or repaired unless permission to do so in writing is provided by the THC Executive Director prior to any action being taken.

Insurance for all objects sent out on loan is required. Insurance coverage is provided by the borrowing institution, unless the institution provides an acceptable bond. Current and reasonable insurance valuations are the responsibility of the curatorial facility with the approval of the THC. Under most circumstances, insurance is all risk, wall-to-wall coverage and shall remain in effect throughout the duration of the loan. Minimum fine arts insurance depends on the artifacts loaned. A certificate of insurance is required from the borrowing institution prior to transportation of the loaned objects and is kept on file at the curatorial facility with a copy provided to the THC.

1. THC shall be named as an insured party in the policy and the policy shall provide that notice shall be given to THC prior to cancellation or reduction in the amount of the policy. In the event of cancellation or reduction of the insurance, the loan then will be subject to cancellation. Failure to maintain adequate insurance coverage in no way releases the borrowing institution from liability for loss or damage regardless of whether or not the THC monitored the borrowing institution's insurance.
2. If a self-insured state or federal governmental agency requests the loan or if the borrowing institution is unable to provide insurance, a request for an exception must be made in writing by the institution to the Executive Director of the THC. The request must include evidence of an acceptable plan of self-insurance or other arrangement to satisfy any liability that might result in a loss under the terms of the loan agreement.

An object(s) on loan must be returned promptly when the loan period expires. As appropriate, a reminder letter may be sent by the curatorial facility to the borrowing institution. THC reserves the right to cancel or deny the renewal of any loan. THC will supply generic text and labels relating to the exhibit of the loan. Any changes must be approved in writing by the Executive Director of the THC. The object(s) on loan must be available for THC research purposes at all times.

Except for condition reports, all photography, reproduction, or replication of a borrowed object(s) requires prior written approval by the THC Executive Director. Lighting conditions, environmental and /or applied chemical alterations, and other conditions of reproduction and replication must be approved in writing by the THC. Photographs, reproductions, and replicas may only be used for research, exhibition, and educational purposes. Commercial use of loan objects is prohibited.

The Republic of France, the THC, and State of Texas must be credited in a suitable manner in all publications and exhibitions associated with the loan object(s), including photographs and reproductions, and the THC must be provided with two (2) copies of any news and other publications associated with the loaned objects.