

TEXAS HISTORICAL COMMISSION

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**CURATORIAL FACILITY CERTIFICATION PROGRAM**  
**Benchmarking Excellence**

**SELF EVALUATION**

To be completed by curatorial facility

**CURATORIAL FACILITY INFORMATION**

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Name of Applicant Curatorial Facility

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Mailing Address City State Zip

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Send Correspondence to Title

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Email Address

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Telephone (area code and number) Fax (area code and number)

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Signature of Director/Chief Executive Officer Title

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Name (printed) Telephone (area code and number)

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Signature of Chair of Board/Equivalent Reporting Officer Title

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Name (printed)

## **GUIDELINES**

The Self-Evaluation part of the certification process consists of an in-depth assessment in the form of a questionnaire by the applicant curatorial facility of its governance, collections, resources, policies, procedures and plans, followed by a summary section. The questionnaire guides the curatorial facility through the self-evaluation process, and serves as the baseline record of the institution's conditions and operations. An examination by Texas Historical Commission staff of this record and the associated required documents are the basis for the next part of the certification process, that of the Field Review.

The Self-Evaluation is divided into nine subject sections. The subject sections are: governance; finance; policies; procedures; physical facilities; staff; visiting scholars and researchers; records management; and collections care. Three types of questions are asked, those requiring "yes" or "no" answers, those requiring a short response and those requiring a longer written response. Please answer every question even if the answer is "not applicable" and please type. The certification criteria and standards found in the *Handbook* 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. **Failure to do this may incur a disabling or deficiency factor.** 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 assistance with any part of the Self-Evaluation process, please contact the Curatorial Facility Certification Program Coordinator at ph. (512) 463-6096. The responsible officers of the curatorial facility must sign the Self Evaluation on the cover page after approval by its governing board.

When the Self Evaluation is completed please return it, along with copies of the required documentation, to:

Curatorial Facility Certification Program Coordinator  
Texas Historical Commission  
P.O. BOX 12276  
Austin, TX 78711

# REQUIRED DOCUMENTS CHECKLIST

## Governance

- Documentary evidence of the curatorial facility's legal existence (founding enabling documents, e.g., charter) **(question 2)**
- Written organizational document (e.g., bylaws, etc.) **(question 3)**
- Tax exempt document from IRS **(question 4)**

## Finance

- Summary of fiscal plan for the past five years **(question 1)**

## Policies

- Insurance waiver / Insurance Coverage Summary **(question 5)**

## Procedures

Procedures that address the following: **(question 2)**

- Acquisitions
- Held-in-Trust Agreements
- Accessioning
- Deaccessioning and disposal
- Cataloging
- Loans
- Destructive loans
- Inventory
- Insurance
- Access to collections
- Record keeping
- Collections care
- Conservation Survey
- Emergency Preparedness
- Integrated Pest Management
- Security
  
- Curation document **(question 3)**
- Letter of Transfer **(question 4)**
- Accession record **(question 6)**
- Deaccession record **(question 7)**
- Catalog record **(question 8)**
- Loan Agreement **(question 12)**
- Accession Inventory **(question 17)**
- Spot-check Inventory **(question 18)**
- Relocation Inventory **(question 19)**

## Staff

- \_\_\_\_\_ Written Code of Ethics (**question 1**)
- \_\_\_\_\_ Organizational chart (**question 2**)
- \_\_\_\_\_ Job descriptions (**question 2**)

### **Visiting Scholars & Researchers**

- \_\_\_\_\_ Written policy concerning access to collections (**question 1**)
- \_\_\_\_\_ Research agreement (**question 3**)

### **Records Management**

- \_\_\_\_\_ Example of photodocumentation (**question 14**)
- \_\_\_\_\_ Current list of Held-in-Trust state-associated collections (**question 17**)
- \_\_\_\_\_ Sample of a completed Held-in-Trust agreement (**question 19**)
- \_\_\_\_\_ Sample of baseline inventory for held-in-trust collections (**question 21**)

## GOVERNANCE

1. When was the curatorial facility established?

2. Which written institutional organizational document (such as founding charter) outlines how the curatorial facility is legally incorporated and organized? Please attach a copy of this document.

Copy attached \_\_\_\_\_

3. Which written institutional organizational document (such as bylaws) outlines how the curatorial facility is operated? Please attach a copy of this document.

Copy attached \_\_\_\_\_

4. How does the curatorial facility qualify for not-for-profit (federal tax exempt) status? Please attach a copy of the tax exemption document. If the curatorial facility is under the tax exemption of a larger organization, please explain briefly.

Copy attached \_\_\_\_\_

5. Is the curatorial facility accredited by the American Association of Museums (AAM)? If so, when was AAM accreditation or reaccreditation awarded?

## FINANCE

1. Does the curatorial facility have a written fiscal plan such as an operating budget? Please briefly summarize and attach a copy of the summary for the past five years.

Copy attached \_\_\_\_\_

2. Does the financial support for the curatorial facility meet the needs of the following:

|                                    | <u>Yes</u> | <u>No</u> |
|------------------------------------|------------|-----------|
| Maintenance of physical facilities |            |           |
| Staffing and security              |            |           |
| Records management                 |            |           |
| Collections care                   |            |           |
| Conservation                       |            |           |

## POLICIES

Many Collections Management Policy issues already were addressed in the CFCP application phase when a copy of the Collections Management Policy was submitted. The following questions support the information previously submitted.

1. In what year was the Collections Management Policy first established? When was it last updated?
  
2. How frequently is the Collections Management Policy reviewed and updated?
  
3. Does the Collections Management Policy address the following? Please note page number on which each occurs.

|                             | Yes   | No    | Page  |
|-----------------------------|-------|-------|-------|
| 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                    | _____ | _____ | _____ |

4. Describe any priorities the curatorial facility may have in accepting a state-associated collection to be curated?

5. Is it policy to insure the state-associated collections curated at the curatorial facility? If so, please describe the type of insurance in effect. If held-in-trust state associated collections are not insured, does the curatorial facility have a waiver of insurance issued by the THC? Please attach a copy of the THC waiver or copy of insurance coverage summary.

Copy attached \_\_\_\_\_

6. Is the level of insurance coverage sufficient to reimburse the curatorial facility for the value of state-associated collections in the event of their damage or loss?
7. Is it policy to insure state-associated collections on loan to the curatorial facility?
8. Does the curatorial facility have a mechanism for internal evaluation of state-associated collections for insurance purposes? Please describe.
9. Is it policy to require that state-associated collections be insured by the borrower when on loan?



## PROCEDURES

1. How frequently are written procedures reviewed and updated? When were they last updated?

2. Are there written procedures that address the following? Please attach a copy of the procedures and note the page number on which each occurs.

|                             | Yes   | No    | Page  |
|-----------------------------|-------|-------|-------|
| Acquisitions                | _____ | _____ | _____ |
| Held-in-trust agreements    | _____ | _____ | _____ |
| Accessioning                | _____ | _____ | _____ |
| Deaccessioning and disposal | _____ | _____ | _____ |
| Cataloging                  | _____ | _____ | _____ |
| Loans                       | _____ | _____ | _____ |
| Destructive loans           | _____ | _____ | _____ |
| Inventory                   | _____ | _____ | _____ |
| Insurance                   | _____ | _____ | _____ |
| Access to collections       | _____ | _____ | _____ |
| Record keeping              | _____ | _____ | _____ |
| Collections care            | _____ | _____ | _____ |
| Conservation Survey         | _____ | _____ | _____ |
| Emergency Preparedness      | _____ | _____ | _____ |
| Integrated Pest Management  | _____ | _____ | _____ |
| Security                    | _____ | _____ | _____ |

Copy attached \_\_\_\_\_

3. Does the curatorial facility require a document from the individual or institution/agency that identifies the curatorial facility as agreeing to curate a state-associated collection that is submitted? If so, please attach a completed sample copy of such a document.

Copy attached \_\_\_\_\_

4. Does the curatorial facility require a letter of transfer when state-associated collections are transferred from the generating individual/institution/agency into the institution for curation? If so, please attach a completed sample copy of such a document.

Copy attached \_\_\_\_\_

5. Is the letter of transfer kept on file as proof of receipt of state-associated collections?

6. Briefly summarize the accessioning procedure. Please attach a completed sample copy of an accession record.

Copy attached \_\_\_\_\_

7. Briefly summarize any circumstances in which the curatorial facility may practice deaccessioning and disposal of state-associated collections. Please attach a completed sample copy of a deaccession record.

Copy attached \_\_\_\_\_

8. Briefly summarize the cataloging procedure. Please attach a completed sample copy of a catalog record.

Copy attached \_\_\_\_\_

9. Are objects individually identified by and marked with an accession or catalog number? If not, please explain how they are identified and marked.

10. Does the curatorial facility loan to any of the following:

|              | <u>Yes</u> | <u>No</u> |
|--------------|------------|-----------|
| Individuals  |            |           |
| Agencies     |            |           |
| Institutions |            |           |

11. Briefly describe any specific qualifications that the curatorial facility may require of the borrower and borrowing institution?

12. Briefly summarize the loan procedure. Please attach a completed sample copy of a loan agreement. If the curatorial facility has a different agreement for incoming and outgoing loans, please attach a completed sample copy of each.

Copy attached \_\_\_\_\_

13. Who has authority to carry out specific loan procedures? Please list the individual's name, along with their position.

|                   | <u>Name</u> | <u>Position</u> |
|-------------------|-------------|-----------------|
| Approval          |             |                 |
| Processing        |             |                 |
| Documentation     |             |                 |
| Monitoring        |             |                 |
| Loan tracking     |             |                 |
| Condition reports |             |                 |

14. Are there any additional requirements or conditions placed upon loans of state-associated collections made for destructive analysis purposes?

15. Approximately how many loans of state-associated collections does the curatorial facility make in a typical year?

16. How are loans, both outgoing and incoming, tracked?

17. When is an accession inventory carried out? Please attach a completed sample copy of an accession inventory.

Copy attached \_\_\_\_\_

18. When is a spot-check inventory carried out? Please attach a completed sample copy of a spot-check inventory.

Copy attached \_\_\_\_\_

19. When is a relocation inventory carried out? Please attach a completed sample copy of a relocation inventory.

Copy attached \_\_\_\_\_

20. Does the curatorial facility conduct conservation surveys of its state-associated collections as a routine part of collections management work? If so, what was the date of the last survey and when and how often are they conducted?

21. How frequently are housekeeping procedures carried out in collections housing areas?

22. When and how are collections objects cleaned?

23. How is physical access to collections housing areas controlled?

24. How frequently is the written Emergency Preparedness Plan reviewed and updated?

25. How frequently is the written Integrated Pest Management Plan reviewed and updated?

26. How frequently is the written security plan reviewed and updated?

## **PHYSICAL FACILITIES**

1. Are state-associated collections stored in any buildings separate from the main facility building? If so, where are they located? Please answer the following questions for all buildings.
2. From what materials are the physical facilities constructed?
3. Describe any preventive maintenance program for the physical facilities.
4. Briefly describe any existing plans for building expansion or renovation.
5. Are the physical facilities insured?
6. Is the insurance coverage sufficient to provide compensation to repair or replace the physical facilities in the event of their damage or loss?
7. What security measures are in place to protect the physical facilities and how many hours per day are they operational:

|   | <u>Yes</u> | <u>No</u> | <u>Hrs. Operational</u> |
|---|------------|-----------|-------------------------|
| Perimeter security devices and alarm system |            |           |                         |
| Stationary guards                           |            |           |                         |
| Patrolling guards                           |            |           |                         |
| Trap (internal) security devices and alarms |            |           |                         |
| Restricted access/locked areas              |            |           |                         |
| Other (please describe)                     |            |           |                         |

8. What fire prevention, detection, and suppression systems are in place to protect the physical facilities, and how many hours per day are they operational?

| <b>Fire Prevention</b>                     | <u>Yes</u> | <u>No</u> | <u>Hrs. Operational</u> |
|--|------------|-----------|-------------------------|
| Routine inspection of fire hazards         |            |           |                         |
| Routine maintenance/repair of fire hazards |            |           |                         |
| Other (please describe)                    |            |           |                         |

| <b>Fire Detection</b>   | <u>Yes</u> | <u>No</u> | <u>Hrs. Operational</u> |
|-------------------------|------------|-----------|-------------------------|
| Smoke detectors/alarms  |            |           |                         |
| Heat detectors/alarms   |            |           |                         |
| Water detectors/alarms  |            |           |                         |
| Other (please describe) |            |           |                         |

| <b>Fire Suppression</b>            | <u>Yes</u> | <u>No</u> | <u>Hrs. Operational</u> |
|------------------------------------|------------|-----------|-------------------------|
| Fire extinguishers                 |            |           |                         |
| Fire blankets                      |            |           |                         |
| Sprinklers-building wide, wet pipe |            |           |                         |
| Sprinklers-building wide, dry pipe |            |           |                         |
| Sprinklers-zoned, wet pipe         |            |           |                         |
| Sprinklers-zoned, dry pipe         |            |           |                         |
| Halon                              |            |           |                         |
| Carbon dioxide                     |            |           |                         |
| Other (please describe)            |            |           |                         |

9. What environmental control systems are used to provide a stable and clean environment, and how many hours per day are they operational?

|                         | <u>Yes</u> | <u>No</u> | <u>Hrs. Operational</u> |
|-------------------------|------------|-----------|-------------------------|
| HVAC                    |            |           |                         |
| Air conditioner(s)      |            |           |                         |
| Heater(s)               |            |           |                         |
| Humidifier(s)           |            |           |                         |
| Dehumidifier(s)         |            |           |                         |
| Air Filter              |            |           |                         |
| Other (please describe) |            |           |                         |

## STAFF

1. Does the curatorial facility have a written Code of Ethics to be followed by staff and volunteers? Please attach a copy of this document.

Copy attached \_\_\_\_\_

2. Does the curatorial facility have written job descriptions and an organizational chart showing channels of authority? Please attach a copy of these documents.

Copy attached \_\_\_\_\_

3. List the total number of staff in each category:

Full-time paid staff  
Part-time paid staff  
Full-time volunteers  
Part-time volunteers

4. Is there at least one full-time staff member who is trained in collections care? Please list the staff member's academic qualifications, training and experience (include academic qualifications, training and experience of any additional collections staff).

5. Does the full-time staff member(s) have sufficient support to meet the demands of the position (collections care, record keeping, administration, etc.)?

6. Are the size, composition, and professional qualifications of the staff sufficient to manage and care for collections?



7. Does the staff have access to literature related to general collections care practices and subject areas of the curatorial facility's collection?
  
8. Does the curatorial facility support ongoing staff training and membership in collections care related organizations? Please describe type of support (e.g., payment of fees, time off, to attend training, payment of dues) and list any such memberships.
  
9. List any staff training (in-house workshops, meetings, training programs) undertaken in the last two years and plans for future training opportunities.
  
10. Does the curatorial facility use volunteers?
  
11. Describe the collection related functions or responsibilities performed by volunteers.
  
12. Does the curatorial facility provide training in collections care procedures, such as the handling of specimens, by staff and volunteer personnel? Please explain.
  
13. Who is responsible for such training of the staff and volunteers?

## **VISITING SCHOLARS AND RESEARCHERS**

1. Does the curatorial facility have a written policy concerning access to state-associated collections by visiting scholars and researchers? If the Collections Management Policy on access does not specifically address visiting scholars and researchers, please attach a copy of the collections access policy.

Copy attached \_\_\_\_\_

2. Does the curatorial facility require a written research design and credentials check before a visiting scholar or researcher is permitted use of state-associated collection?

3. Are researchers required to sign a research agreement before being allowed to use the collections? If so, please attach a copy of a research agreement.

Copy attached \_\_\_\_\_

4. Are researchers encouraged to use the collections in-house?

5. Is there a procedure to record the name and address of the researcher, date of visit, time entered and departed, and reason for the visit?

6. Does the curatorial facility offer researchers workspace and the use of any available equipment that might aid their research? If so, is the workspace separate from the collections area?

7. How is the handling and moving of state-associated collections by visiting scholars and researchers controlled?
  
8. Does the curatorial facility provide training in the handling of collections by researchers? Who is responsible for providing this training?
  
9. Does the curatorial facility provide supervision in the handling of collections by researchers? Who supervises the researcher?
  
10. Are researchers made aware of the curatorial facility's policies concerning destructive analysis?

## **RECORDS MANAGEMENT**

1. What are the formats of the records that the curatorial facility houses and utilizes (e.g. paper, electronic, photographic)?
2. What formats of records does the curatorial facility currently generate (e.g. paper, electronic, photographic)?
3. Where in the curatorial facility are records housed?
4. Describe how accession records are organized to be accessible and how they function to cross reference collections.
5. What number or percentage of state-associated collections is accessioned? If there is a backlog in accessioning state-associated collections, how is this being resolved?
6. Who is responsible for generating accession records?
7. Briefly summarize the curatorial facility's cataloging system or explain how it utilizes the cataloging system that a collections generating agency may employ.

8. Describe how catalog records are organized to be accessible and how they function to cross-reference with individual objects.
  
9. What number or percentage of state-associated objects is cataloged? If there is a backlog in cataloging state-associated objects, how is this being resolved?
  
10. Who is responsible for generating catalog records?
  
11. Briefly summarize the curatorial facility's inventory systems and how they function.
  
12. Describe how the inventory records are organized to be accessible and how they function to locate individual objects.
  
13. Who is responsible for generating inventory records?
  
14. Briefly summarize the curatorial facility's photodocumentation system. Please attach a sample copy of a photograph of a state-associated collection object.  
  

Copy attached \_\_\_\_\_
  
15. Describe how the photodocumentation records are organized to be accessible and how they are associated with individual objects.

16. Who is responsible for generating photodocuments?

17. Does the curatorial facility have a complete list of the state-associated collections that it curates?  
Please attach a copy of this list.

Copy attached \_\_\_\_\_

18. When is the list updated and how is it kept current?

19. Is there a completed Held-in-Trust Agreement for every state-associated collection curated at the facility? If not, please estimate the percentage of complete held-in-trust agreements. Please attach a completed sample copy of a Held-in-Trust Agreement.

Copy attached \_\_\_\_\_

20. Is a baseline inventory completed when materials are transferred from the submitting archeologist/institution to the curatorial facility?

21. Does the curatorial facility have a baseline inventory for each state-associated collection? Please attach a sample copy of a completed baseline inventory for one such collection.



## COLLECTIONS CARE

1. How are temperature and relative humidity controlled in the state-associated collection housing areas?
2. How is light controlled in the state-associated collections housing area?
3. How are atmospheric pollutants controlled in the state-associated collections housing areas?
4. How are state-associated collections protected from pest infestations in collections housing area?
5. Are any chemical pest control methods used in collections areas?
6. Approximately how many state-associated collections objects and samples does the curatorial facility curate?  
  
Collections objects:                      Samples:
7. Approximately how many linear feet of documentation associated with state-associated collections does the curatorial facility curate?



8. Describe the general overall physical condition of the curatorial facility's state-associated collections.
  
9. Is a professionally trained conservator on staff?
  
10. Is any conservation or stabilization of collections performed by staff in-house? If so, please describe.
  
11. Is the staff aware of conservation agencies to which problems or projects may be referred?
  
12. Have outside conservators been used?
  
13. How many state-associated objects/collections have received conservation treatment in the last five years?
  
14. How many state-associated objects/collections are in need of conservation attention?
  
15. Describe the various types of housing units (e.g., enclosed cabinets, open shelving, hanging racks) that the curatorial facility utilizes for housing state-associated collections, including the materials from which they are constructed.

16. Is the state-associated collections housing area of sufficient size to avoid overcrowding state-associated collections?
  
  
  
  
  
  
  
  
  
  
17. Describe how the state-associated collections housing area is laid out and organized so that state-associated collections are physically accessible.
  
  
  
  
  
  
  
  
  
  
18. Describe how state-associated collections are housed and organized in a systematic way so that they are intellectually accessible.
  
  
  
  
  
  
  
  
  
  
19. What materials and substances are used to clean and preserve collections objects?
  
  
  
  
  
  
  
  
  
  
20. Describe how state-associated collections are prepared, packaged or wrapped to protect them against potential environmental fluctuation.
  
  
  
  
  
  
  
  
  
  
21. How is any backlog in cleaning or packaging of collections objects being addressed?
  
  
  
  
  
  
  
  
  
  
22. Describe the various types of archival packaging materials that are utilized for state-associated collections housing.
  
  
  
  
  
  
  
  
  
  
23. Describe the various types of packaging materials that are utilized for packaging state-associated collections for shipments.

24. Does a backlog exist in marking objects with their catalog number or accession number? If so, what percentage of collections are backlogged and what steps are being taken to clear the backlog?

25. What materials or substances are used to mark collections objects?

26. How are collections objects marked? Are small and/or fragile objects marked differently?

## SUMMARY

1. How does the curatorial facility demonstrate its efforts to preserve state-associated collections, within its current capabilities and available resources (e.g., funds, staff, space, materials, equipment)?
2. How does the curatorial facility plan to improve preservation of state-associated collections in the short term (next three years) and long term (next 10 years)?
3. What outside resources or support would be of greatest benefit to the curatorial facility to enable it to fulfill its duties as set forth in Chapter 29?
4. What suggestions do you have for improving the self-evaluation process and its support documents?

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Texas Historical Commission  
P.O. Box 12276  
Austin, TX 78711-2276  
512.463.6100  
fax 512.475.4872  
thc@thc.state.tx.us



**TEXAS HISTORICAL COMMISSION**  
*real places telling real stories*

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[www.thc.state.tx.us](http://www.thc.state.tx.us)