

**COLLECTION MANAGEMENT POLICY
HAFFENREFFER MUSEUM OF ANTHROPOLOGY,
BROWN UNIVERSITY**

I. Summary

The Collection Management Policy [herein Collection Policy] establishes policy for acquisitions, loans, deaccessions, and other collection management issues. It affirms that HMA shall be in full compliance with laws and regulations, both domestic and international, governing the transfer of ownership of objects and their movement across political boundaries; and that it shall continue to meet the highest ethical standards in all transactions.

II. Mission

The Haffenreffer Museum is guided by its Mission adopted July 21, 1992 by the Five Year Plan Committee and voted, February 1993, by the Brown University Corporation:

The Mission of the Haffenreffer Museum of Anthropology is to educate Brown University students and the general public, through anthropological research on humankind, about cultural differences and human similarities, and to serve its constituencies with excellence.

By teaching undergraduate and graduate students through museum- and collections-based courses and research projects, and in degree-granting programs; and by educating students and the entire public through programs, lectures, exhibits, publications, and other means;

By exhibiting collections at the museum and interpreting cultures for the museum's publics;

By conducting and publishing research on collections which are the raw data for creative thought in anthropology and other fields; and by making collections available for research and loans;

By acquiring archaeological and ethnological collections through fieldwork, gift or purchase, which will enhance the museum's value for research and teaching; by setting priorities for acquisitions; by upholding appropriate conventions, resolutions, and laws on cultural property; by ensuring that new collections can be responsibly conserved and stored; by establishing policy for deaccessions; and by reserving proceeds from any deaccessions for strengthening collections;

By preserving artifactual and archival collections, the irreplaceable human cultural heritage, in a manner consistent with respect for traditions of their makers; and by conserving all collections in secure, ample storage facilities and according to established professional practices in conservation, fulfilling thereby the commitment of the university/museum to the public trust, to museological practice and ethics, and to the museum's donors.

III. The Collections

HMA currently holds three different types of artifact collections: the collection proper, the education collection, and the federal collection for which HMA is a designated repository. In addition, HMA has archival, slide and photographic collections. This Collection Policy pertains only to the collection proper (herein "the collection"). The collection was given to Brown University in 1955 by the heirs of Rudolf Haffenreffer, and since then has grown through acquisitions to number more than 100,000 archaeological and ethnographic objects from all regions of the world.

IV. Endorsements

On all matters of collection policy, HMA is committed to upholding the UNESCO Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property (1970) and to complying with applicable federal, state, and local laws and regulations, including Native American Graves Protection and Repatriation Act (1990).

V. General Staff Responsibilities and the Collection Committees

1. All HMA employees shall abide by this policy.
2. Ultimate responsibility for this policy rests with the HMA director or, in his/her absence, the deputy director.
3. The director shall appoint the Collection Committee, whose members shall ordinarily be regular full-time members of the staff who have curatorial status. The director is a member of the Collection Committee. The Committee, guided especially by members whose training and knowledge embrace objects under discussion, will implement collection policy. The Committee can add members on an ad hoc or term appointment basis but will not knowingly add members who have provided formal appraisals of artifacts for commercial/ tax purposes within the last 48 months, or who are currently providing such information (see VI.5). All Committee members will be provided with a copy of the Collection Policy.
4. The Collection Committee shall appoint a NAGPRA Committee to advise it on NAGPRA-related policy.
5. The Collection Committee and NAGPRA Committee shall seek advice when appropriate from a member of the University's General Counsel's staff.

VI. Acquisitions

1. Acquisitions include bequests, gifts, purchases, exchanges and any other transactions by which title to incoming material passes to HMA. Once acquired, objects may be accessioned into (formally accepted by and recorded in) the collection. Objects accessioned into the collection must be deaccessioned following policies outlined in Section IX (below). Objects acquired by the HMA but not accessioned into the collection may be transferred, exchanged, sold, or otherwise disposed without the formal process of deaccessioning in ways consistent with its Mission, ethical standards of the Museum field and relevant disciplines, and with existing University policies regarding the disposal of objects or property in its ownership.
2. To fulfill its Mission as to educate its constituents about cultural differences and human similarities, HMA seeks to acquire archaeological and ethnological objects that serve to illustrate and document human cultures and societies worldwide; that enhance the educational, cultural, or research value of the collection; that are sources of artistic inspiration; and that can be properly stored, conserved; and preserved.
 - 2.1. For a university museum of anthropology, all works of humankind have certain scientific, historical, cultural, and artistic value, and HMA priorities are accordingly to strengthen existing collection areas, broaden the artifactual comparative base, and document changes and developments in human material culture.
 - 2.2. In setting priorities for *purchases*, the Collection Committee should obtain in advance the Museum's annual budget for purchases. Priorities are first, for objects collected and documented in the field; and second, for other objects available at auction or from private sellers.

2.3 Items that are peripheral to or fall outside of the Mission may be acquired if they form part of an offering that also includes items suitable for permanent incorporation. There must be no condition attached to the acquisition of these objects. The Collection Committee will decide whether or not to accession them and when and how to dispose of them through gift, exchange, or sale.

3. Acquisitions, Laws, and Ethics. In the interest of conserving cultural heritage including archaeological sites, gaining scientific information, and preserving the prehistoric past, HMA will not knowingly acquire materials that have been illegally excavated, nor will it support, in any way, markets in illegally trafficked antiquities. Objects shall be acquired only when HMA has determined to the best of its ability that they have been collected, exported, and imported in full compliance with the laws and regulations of the country or countries of origin, of the federal government of the United States, and of the pertinent individual states within the United States. HMA shall not acquire objects that it has reason to believe have been unethically collected or alienated from their society of origin (even when not in contravention of the relevant formal laws). As a museum of anthropology, HMA will make every effort to preserve, as the Mission states “artifactual and archival collections, the irreplaceable human cultural heritage, in a manner consistent with respect for traditions of their makers,” and where advisable and possible will contact representatives of ethnic groups for advice on the use of objects.

3.1 If, following an object’s acquisition, or its accession into the collection, it is determined that it entered the United States or left its country of origin under circumstances that violated laws, regulations, statutes or treaties in place at the time of its departure from its country of origin or its entry into the United States, the museum will notify the diplomatic mission of the country of origin and work with its designated representatives and the university’s General Counsel to take any steps deemed necessary. Such steps may include, but are not limited to, deaccessioning in accordance with the museum’s Collection Management Policy (Sect. IX), repatriating them to a designated repository in the country of origin, holding them in stewardship for that country, or maintaining them within the Museum’s collections, following agreement with relevant parties to do so.

4. Conditions of Acquisition. Title to all objects must be free and clear. As a rule, HMA will not acquire objects (a) on which restrictions prevent effective research examination, normal exhibition use, loan, or disposal in accordance with this document, (b) on condition that they be placed on permanent or long-term exhibition, or (c) on condition that the collection of which they form a part be kept together permanently and/or displayed only as a discrete collection; exceptions should be rare and compelling with respect to the HMA Mission. All acquisitions require approval of the Collections Committee, which may be granted in advance. If materials are collected under external grants and contracts, the provisions of those contracts must be satisfied and the Collections Committee must be consulted as these provisions are being made.

5. Appraisals and Authentications. No HMA employee or Collection Committee member shall give appraisals to establish the tax-deductible value of gifts offered to HMA, nor shall he or she identify or otherwise authenticate for persons or agencies cultural artifacts under circumstances that could encourage or benefit illegal, unethical, or irresponsible traffic in such materials, or when there is reason to believe such identifications will be used primarily for commercial purposes. Identification, authentication and evaluation (but not monetary appraisals) may be given for scientific or educational purposes or in compliance with the legitimate requests of governmental bodies or their agents. Monetary appraisals of objects in the HMA collection may be made by staff for purposes of loans, insurance, and other purposes related to museum functions.

6. Accession Records. The Collection Manager is responsible for accurate accession and donor records, and for securing all documentation relevant to particular accessions, especially relating to provenance.

VII. Loans

Loans, outgoing and incoming, are temporary physical transfers of objects to or from the HMA that do not involve a change in ownership. HMA will lend artifacts from its collection for exhibit or research purposes to any corporation or institution formed or carried on for educational or scientific purposes, which will provide adequate care and security for the material. No loans will be made directly to individuals. The Collection Committee will decide all loans. The Collection Manager will provide HMA's detailed loan procedures to all institutions inquiring about loans.

1. The following criteria shall govern the availability of objects for loan:
 - 1.1. Borrowing agency must be a bona fide scientific and/or educational institution and must provide an AAM standard facilities report.
 - 1.2. Objects shall not be removed from exhibition at this Museum for temporary exhibition elsewhere.
 - 1.3. Objects shall not be loaned if in the opinion of the Collection Committee they are of such importance, rarity, and/or fragility that they must not be exposed to any danger or loss by removal from the Museum.
2. All loans shall be subject to the following regulations, and no loans shall be made where these rules are not adhered to:
 - 2.1. Borrower must insure the objects to the full amount specified by HMA, door to door, with the best available coverage, and provide a certificate of insurance.
 - 2.2. Borrower must arrange and pay for shipping in both directions, by methods approved by HMA.
 - 2.3. Objects placed on public exhibition must be in locked or otherwise adequately secured cases, or when large objects are involved, so displayed as to provide maximum security.
 - 2.4. Only adequately trained personnel shall be permitted to handle, move, or pack objects.
 - 2.5. The borrower shall exercise care at all times to ensure safe handling and keeping of objects. As much care must be taken in dismantling exhibits in which objects appear as in installing them.
 - 2.6. No objects may be altered, embellished, modified, or dismantled in any way. No pins, nails or other supports may be used that leave any marks or evidence on objects.
 - 2.7. Borrowed objects may not be used for any commercial purpose whatever without specific permission in writing from HMA.
 - 2.8. No objects may be re-loaned by a borrower without permission of HMA.
 - 2.9. Packing for return shipping must be in the same manner as, equivalent to, or better than the original packing.
 - 2.10. Borrower may be required to pay for packing at HMA by methods and personnel chosen or approved by HMA.
 - 2.11. HMA may require that loans be accompanied by an HMA staff member both out-going and incoming, and that unpacking, mounting, dismounting, and re-packing be done under supervision of a staff member of HMA, at borrower's expense.

2.12. HMA reserves the right to ask a per item loan fee roughly commensurate with the cost to HMA of preparing and providing objects from its collection for the loan and conserving objects loaned. In each such case the fee shall be part of the loan agreement.

3. Incoming loans shall be accepted only for purposes of exhibition or current research at HMA. No indefinite or long-term loans shall be accepted. The Collection Committee may authorize rare exceptions to this rule in the case of extremely important pieces or collections. HMA cannot normally store materials belonging to others that are not required for exhibition or on-going research. On expiration of a loan, the material will be returned according to the lender's instructions; if not reclaimed, then HMA will proceed according to law regarding abandoned property. Section VI.3 regarding legal and ethical acquisition policies shall be applied to all incoming loans.

4. Appropriate loan forms shall prescribe the procedure for outgoing and incoming loans. A complete record of loan transactions shall be maintained by the HMA.

VIII. Access to the Collection and Records

1. All responsible investigators shall have access to the collection for legitimate research and study, subject to procedures necessary to safeguard the objects and to restrictions required by limitations of normal opening hours, exhibition requirements, available study space and facilities, and HMA staff time.

2. All catalog, accession, and archival records which are the property of the HMA shall be treated as public information. No restrictions shall be placed on access to them, save the following:

2.1. Time, space, protection and staff assistance limitations stated in VIII.1 shall be imposed.

2.2. Unpublished maps and other records regarding the location of surviving archaeological sites that have been incompletely excavated shall be restricted, with access subject to approval by the Collection Committee acting on the recommendation of the relevant curator(s).

2.3. Requests for anonymity by donors will be honored, but only if this does not obscure the provenience of objects.

2.4. Individuals requesting access to acquisition records must state in writing the purpose of their inquiries. Access shall be limited to legitimate scholarly and legal inquiry. The staff is under no obligation to facilitate searches that, in their judgment, may be primarily for purposes of monetary gain.

2.5. Subject to the approval of the Collection Committee in each case, archival materials may be accepted with restrictions on access placed by the donor or by the HMA, when such restrictions are necessary to protect individuals or communities from harm or distress that might be caused by public disclosure of the contents of the documents. All such restrictions must also conform to accepted general standards for public archives and must include reasonable termination dates.

2.6. Costs of reproducing documentary materials and photographs may be charged to applicants. No distinctions in such charges shall be made on the basis of the value or rarity of the original materials. Methods of reproduction may be limited if necessary to protect the originals from possible damage.

2.7. Royalties or reproduction fees may be charged where deemed appropriate by the Director.

2.8. Except as specified above and except as necessary to maintain the HMA's property rights, the HMA shall not restrict publication of its materials for any non-commercial scholarly or educational purposes. Reasonable conditions, including those related to copyright and royalties, may be imposed as to integral reproduction and as to credit to HMA as source.

IX. Deaccessions

1. The HMA acts as custodian of materials for the broader benefits of society. From time to time it may recommend that objects be deaccessioned, that is, removed permanently from the collection. Deaccessions are exchanges, gifts, sales and any other transactions by which title to outgoing material is transferred from HMA to another institution; an object that has reached an extreme point of deterioration might also be deaccessioned by being discarded or intentionally destroyed. Deaccessioning will be carried out in an open and public manner, and in a manner consistent with legal and ethical constraints (VI.3).

2. Four major kinds of deaccessions are distinguished here: exchange or gift; repatriation; sale; internal transfer.

2.1 Deaccession as exchange or gift. An object may be deaccessioned as an exchange--that is, a formal reciprocal transfer of objects--or as a gift to a more appropriate scientific, educational, or cultural institution serving the larger public good.

2.2 Deaccession as repatriation. To comply with NAGPRA it may be necessary to deaccession objects from the collection and repatriate them to the rightful owners according to that law.

2.3 Deaccession as sale. Objects no longer needed for research, education, or exhibition, or marginal to the Mission, may be sold. HMA will seek to obtain fair market value; ideally the purchaser will curate, conserve, and use the objects appropriately. Sales shall be conducted in an open and public manner. No HMA employee or member of the Collection Committee shall purchase deaccessioned objects.

2.4 Deaccession as internal transfer. Objects may be deaccessioned from the collection to the education collection--or they may be placed in the education collection prior to accessioning. This is an internal Museum matter. The Collection Manager will outline procedures for such transfers in a document, and the Collection Committee will decide all such transfers.

3. The director will inform the person to whom he reports of all recommendations for deaccession under IX.2.1, 2.2, and 2.3; if necessary that individual will seek higher authority for approval of the proposed action.

4. According to the Mission, proceeds from any and all sales are "reserv[ed]...for strengthening collections."

5. The Collection Manager shall keep a detailed record of all deaccessions: date of transaction; photograph, description, measurement, and condition of object; identity of institution receiving the object; authority for action, and reference to file containing record of transaction.

X. Public Disclosure

The Collection Policy is available upon request and should be provided to current and potential future donors to HMA.

XI. Review and Modification of Collection Policy

1. The Collection Committee shall review this Policy regularly.

2. Only the Collection Committee is authorized to modify this Policy.

XII. History

In 1983, Barbara Hail, then HMA associate director, and Douglas Anderson, professor of anthropology and curator of research, HMA, wrote the Museum's first collection policy statement. It was based on the Collection Policies of the Museum of the American Indian, Heye Foundation (1977), which in turn derived from the Field Museum of Natural History (1976); and on the Smithsonian Institution Policy on Museum Acquisitions (1973), the report of the Committee on Ethics of the American Association of Museums (1978), the UNESCO Convention (1970), and others. In 1998, Shepard Krech III, Director, Barbara Hail, Deputy Director and Curator, Thierry Gentis, Collection Manager and Associate Curator, and David W. Gregg, Move Manager and Associate Curator, as de facto members of the Collection Committee, reviewed and modified the Collection Policy to reflect current practice. Since then, the Collection Committee has modified the policy periodically. In 2005-2008, amendments were made to separate the meanings of the terms acquisition and accession – the former implying the act of acquiring an object for potentially many different uses or ends; the latter specifically identifying the act of taking objects formally and legally into the permanent collections of the museum. Amendments were also made to the Museum's policies on accepting, acquiring, and accessioning antiquities, and on the Museum's willingness to work with countries of origin for the return of objects shown to have been illegally looted, exported, or imported.

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