

Museum of Geology
South Dakota School of Mines and Technology
Collections Management Policy



2015

Sally Y. Shelton
Associate Director

Dr. Laurie C. Anderson
Director

Table of Contents

MUSEUM OF GEOLOGY MISSION STATEMENT.....	5
LEGISLATIVE MANDATE.....	5
<i>TITLE 13: EDUCATION</i>	5
<i>CHAPTER 13-60: South Dakota School of Mines and Technology</i>	5
13-60-8. Museum of Geology and paleontology administered by school--Purpose.	5
GOAL OF THE MUSEUM OF GEOLOGY.....	5
STAKEHOLDERS.....	5
<i>REPOSITORY STAKEHOLDERS</i>	6
CORE VALUES FOR THE MUSEUM OF GEOLOGY.....	6
SOUTH DAKOTA SCHOOL OF MINES AND TECHNOLOGY MISSION AND VISION.....	6
COLLECTIONS MANAGEMENT POLICY APPLICABILITY.....	6
FEDERAL REPOSITORY STATUS, AGREEMENTS AND RESPONSIBILITIES.....	7
<i>PARTNERSHIPS WITH TRIBAL GOVERNMENTS</i>	8
<i>PARTNERSHIPS WITH OTHER MUSEUMS</i>	9
SCOPE OF COLLECTIONS STATEMENT.....	9
<i>RESEARCH (PERMANENT) COLLECTIONS</i>	9
<i>Paleontology</i>	10
<i>Recent (biological) holdings</i>	10
<i>Zooarchaeology</i>	10
<i>Mineralogy and geology</i>	10
<i>Archives</i>	10
<i>Library</i>	10
<i>TEACHING COLLECTIONS</i>	10
<i>UNACCESSIONED COLLECTION</i>	11
COLLECTING AND RESEARCH PLAN.....	11
<i>SD MINES MAJOR COLLECTING AREAS</i>	11
<i>Taxonomic</i>	11
<i>Stratigraphic</i>	11
<i>Geologic</i>	11
<i>Geographic</i>	12
<i>LIBRARY AND ARCHIVES</i>	12
<i>EDUCATION AND OUTREACH</i>	12
<i>EXHIBITION</i>	12
<i>POLICY ON ORPHANED AND ABANDONED COLLECTIONS FROM OTHER INSTITUTIONS</i>	13
<i>Collections with inherent value for the Museum</i>	13
<i>Collections with no inherent value for the Museum</i>	13
COLLECTION AUDITS.....	14
COLLECTIONS AS ASSETS IN FINANCIAL REPORTING.....	14
RESPONSIBILITIES.....	14
<i>GOVERNING BOARD</i>	14
<i>SOUTH DAKOTA SCHOOL OF MINES AND TECHNOLOGY ADMINISTRATION</i>	14
<i>Provost</i>	15

<i>Head of Geology and Geological Engineering</i>	15
MUSEUM STAFF	15
<i>Director</i>	15
<i>Associate Director</i>	15
<i>Curators</i>	16
<i>Museum Manager</i>	16
<i>Laboratory Manager</i>	16
OTHER COLLEAGUES.....	16
<i>South Dakota School of Mines and Technology faculty</i>	16
<i>Research associates</i>	16
<i>Volunteers</i>	16
<i>Student workers and researchers</i>	17
AUTHORIZED PERSONNEL	17
ETHICS	17
PERMITS AND PERMISSION	17
<i>Laws and regulations</i>	18
ANNUAL TRANSACTIONS AND COMPLIANCE REPORTS	18
ACQUISITION POLICY	19
<i>POLICY STATEMENT ON ACQUISITIONS</i>	19
<i>JOINT OR PARTNERSHIP FIELD COLLECTING</i>	20
<i>REPOSITORY MATERIALS</i>	20
<i>Federal, state, tribal, and other non-profit entity collections</i>	20
<i>Forensic situations</i>	20
<i>DONATIONS</i>	21
<i>Gift</i>	21
<i>Partial gift</i>	21
<i>Bequest</i>	21
<i>EXCHANGES</i>	21
<i>TRANSFERS</i>	21
<i>PURCHASES</i>	22
<i>ABANDONED LOANS</i>	22
<i>SPECIMENS FOUND IN COLLECTION</i>	22
ACCESSIONING	22
<i>STANDARDS FOR ACCESSIONING</i>	22
<i>CATALOGING</i>	23
<i>NUMBERING AND LABELING</i>	23
<i>SPECIMEN FILES</i>	23
<i>ASSOCIATED DOCUMENTS</i>	23
COLLECTIONS INFORMATION AND DATABASING.....	24
<i>ONLINE ACCESS RESTRICTIONS</i>	24
<i>ORIGINAL PRIMARY COLLECTION RECORDS</i>	25
INTELLECTUAL PROPERTY RIGHTS	25
<i>FREEDOM OF INFORMATION ACT</i>	26

COLLECTIONS ACCESS	26
<i>ON-SITE</i>	27
<i>ACCESS RESTRICTIONS</i>	27
<i>COMPLIANCE WITH THE REHABILITATION ACT OF 1973 AND THE AMERICANS WITH DISABILITIES ACT OF 1990</i>	28
<i>RESEARCH</i>	28
<i>ANNUAL COLLECTIONS VISITATION AND USE REPORT</i>	28
<i>ANNUAL PUBLICATIONS REPORT</i>	28
<i>TYPE, ICONIC, RESEARCH, AND OTHER SPECIMENS OF HIGH SIGNIFICANCE OR HIGH VALUE</i>	29
LOANS	29
<i>QUALIFIED BORROWERS</i>	30
<i>APPROVAL OF LOANS</i>	30
<i>LOAN PERIODS AND RENEWALS</i>	30
<i>IN-HOUSE LOANS</i>	31
<i>LOAN RETURNS</i>	31
<i>LENDING OF TYPE, ICONIC, RESEARCH, AND OTHER SPECIMENS OF HIGH SIGNIFICANCE OR HIGH VALUE</i> ..	31
<i>BORROWING</i>	31
<i>DESTRUCTIVE ANALYSIS</i>	32
INVENTORY	32
DEACCESSION AND DISPOSAL	33
<i>DESTRUCTIVE ANALYSIS</i>	34
<i>CONDITIONS UNDER WHICH DEACCESSIONING MAY BE CONSIDERED</i>	34
<i>APPROVAL</i>	34
<i>MEANS OF DISPOSAL</i>	34
<i>Exchange or transfer</i>	35
<i>Destruction</i>	35
<i>Statement on sale of collections</i>	35
<i>SUBSEQUENT OWNERSHIP RESTRICTIONS</i>	35
<i>REPOSITORY SPECIMENS</i>	35
CONSERVATION	35
INTEGRATED PEST MANAGEMENT POLICY	36
RISK MANAGEMENT, SECURITY, HEALTH AND SAFETY ISSUES	36
<i>INSURANCE</i>	37
<i>DISASTER PLAN</i>	37
EXCEPTIONS TO THIS POLICY.....	37

MUSEUM OF GEOLOGY MISSION STATEMENT

The Museum of Geology, South Dakota School of Mines and Technology, explores the natural history of Earth through scientific inquiry; preserves specimens and data as a dedicated repository for scientific research; and promotes understanding of geoscience through outreach and educational efforts.

Approved 2011

LEGISLATIVE MANDATE

Title 13: Education

CHAPTER 13-60: South Dakota School of Mines and Technology

13-60-8. Museum of Geology and paleontology administered by school--Purpose.

The museum at the South Dakota School of Mines and Technology, Rapid City, South Dakota, shall be administered as a unit of the South Dakota School of Mines and Technology and shall be known as the museum of geology and paleontology. The purpose of the museum shall be to collect, interpret, and display the rocks, minerals, and fossils that are characteristic of South Dakota and North America.

GOAL OF THE MUSEUM OF GEOLOGY

To be an internationally-recognized center for collections-based geologic and paleontologic research, education, public outreach and stewardship in the public trust.

STAKEHOLDERS

Primary stakeholders: SD Mines students, staff and faculty; researchers; educational institutions; regional museums; public visitors; K-12 students and teachers; regional tribal governments and colleges; Federal and state land management and conservation agencies; business and industry; and community and professional organizations.

Repository stakeholders

- Department of Interior
 - National Park Service
 - Badlands National Park
 - Wind Cave National Park
 - Jewel Cave National Park
 - Mount Rushmore National Memorial
 - Agate Fossil Beds National Monument
 - Bureau of Land Management
 - Bureau of Reclamation
 - U. S. Fish and Wildlife Service
- Department of Justice
- Department of Agriculture
 - U. S. Forest Service
- Department of Defense
 - U. S. Army Corps of Engineers
- Oglala Sioux Parks and Recreation Authority (Pine Ridge Reservation)
- Oglala Sioux Tribal Historic Preservation Office (Pine Ridge Reservation)
- Cheyenne River Sioux Reservation Cultural Preservation Office
- Rosebud Sioux Reservation
- Crow Creek Sioux Reservation
- South Dakota Commission of School and Public Lands
- South Dakota State Geological Survey
- South Dakota State Historical Society Archaeological Research Center
- South Dakota Department of Game, Fish and Parks

CORE VALUES FOR THE MUSEUM OF GEOLOGY

- **Discovery:** research, innovation, technology, lifelong learning
- **Integrity:** professionalism, ethics
- **Stewardship:** public trust, preservation, accountability, standards and best practices, transparency, discretion, diligence
- **Cooperation:** community commitment, inclusiveness, opportunity, fair accessibility

SOUTH DAKOTA SCHOOL OF MINES AND TECHNOLOGY MISSION AND VISION

OUR VISION is

for the South Dakota School of Mines & Technology to be recognized as an exceptional engineering and science university.

OUR MISSION is

- to prepare leaders in engineering and science;
- to advance knowledge and its application;
- and to serve the state of South Dakota, the region, and the nation.

COLLECTIONS MANAGEMENT POLICY APPLICABILITY

- This policy applies to all staff, students, faculty, administration, Federal partners, volunteers, public visitors, and outside researchers during utilization of any and all of the collections of the Museum.

- This policy supersedes any and all previous policies.
- All users will be notified in advance of the terms of this policy with regard to their work in and use of the Museum collections.
- Copies of this policy will be made available to all staff members and signatories of this document.
- This policy will be reviewed as required by Museum staff. Any changes or upgrades will be provided to all signatories of this document for review and approval.

FEDERAL REPOSITORY STATUS, AGREEMENTS AND RESPONSIBILITIES

Repository: "A facility such as a museum, archeological center, laboratory or storage facility that is managed by a university, college, museum, or other educational or scientific institution, a federal, state, or local government agency, or Indian tribe that can provide professional, systematic, and accountable curatorial services on a long-term basis." (36 CFR 79, Section 79.4(j)).

National Park Service

"Paleontological resources are protected under Federal property rules and regulations. Anyone wishing to collect fossils on Reclamation land must first obtain a permit. Permits are only issued for scientific research. They are given to people with specific qualifications that include related college education and experience. Prior to receiving a permit, applicants must also demonstrate that a Federal or Reclamation approved repository has agreed to accept any collected fossils. *All collected items remain the property of the Federal Government and cannot be kept by the collector.*"

U. S. Bureau of Reclamation

"Land managing agencies work through the permitting process to ensure that fossils from federal lands are available for display, study, and enjoyment. Permittees must meet high standards for education and experience so that their work will contribute to preservation efforts, and will not damage or destroy fragile specimens. The fossils they collect under permits issued by the various agencies remain the property of the federal government, and as such are the property of all Americans. Every permit must specify an appropriate repository, or specimens must be repositied by the agency itself, in order to keep the specimens in physically safe environments where professional staff can carry out the tasks of cleaning, conserving, storing, retrieving, and loaning them. Institutions may be evaluated periodically to ensure that they are capable of meeting their obligations for the care of specimens."

U. S. Forest Service

The Museum complex is a designated Federal paleontology repository. The paleontological repository role of the Museum is one of its most important and historically oldest functions, testifying to the Museum's high professional standards and good working partnerships with Federal and state agencies.

It is the policy of the Museum to manage all its collections to the same standards of professionalism, accountability, and legal and ethical responsibility as those set by the agencies for whom it acts as a repository. Federal and South Dakota state collections management standards, laws, regulations, permit

requirements and reporting requirements are appended to this policy and serve as the basis for Museum policies.

Paleontological, mineralogical, and biological specimens, along with supporting and archival records, which are under the stewardship and jurisdiction of tribal or governmental agencies, may be accepted for storage, preservation, and research in the Museum collections, at the request of the appropriate agency and with the approval of the Director. Such agreements must be in writing and signed by both parties. Arrangements for curation and management responsibility, including fiscal responsibility, are established according to contractual storage and collections agreements and permits. Repository agreements are exempt from the automatic renewal requirements for other loans.

Repository holdings are processed and curated to the same high standards as all Museum accessioned holdings, but are inventoried as loans and remain the property of the repositing agency. They are numbered according to the standards of the repositing agency as well as to Museum standards; a dual-numbering system will be used as necessary. These materials are made available to professional researchers and other qualified investigators according to the same provisions and conditions as the Museum-owned permanent collections, with the added permission of the repositing agency obtained in advance as required. Repository holdings are not lent for exhibition, sampling or destructive analysis without advance written permission of the repositing agency.

Repository collections are accepted for the long-term care, storage and utilization of paleontological collections obtained under permit from Federal, state and tribal lands, subject to the contractual terms agreed to by both parties. Unless noted otherwise in the sections below, all provisions of this policy apply equally to Museum holdings and to repository holdings.

The Museum may enter into repository contracts with any public agency or non-profit educational institution as appropriate, subject to the approval of the Museum Director. A curation agreement is necessary before a collection can be repositing with the Museum. Under a Memorandum of Understanding (MOU) between both parties, specific work orders and task agreements are issued, detailing curatorial services and responsibilities, as well as the allocation of curation funds and the agency's responsibilities. This is required prior to the acceptance of a collection. Such an agreement should be signed by the agency's authorized representatives and the authorized representatives of the Museum and SD Mines.

The Museum does not accept privately owned materials as repository loans.

The Museum will issue annual reports to each of its repository partners on the status and usage of their materials, in compliance with their requirements and mandates, as well as on any changes in the size, location and storage of their collections.

Partnerships with tribal governments

Native American reservation lands are not Federal property and are governed by the laws of the respective tribal governments. Native American landowners have specific and unique rights to resources on their lands, including paleontological resources, which are not transferable to anyone else.

Accordingly, contracts and permits are negotiated separately with each tribal group for each collecting effort.

The Museum will comply with and abide by any and all terms set by the government of any of the recognized Native American tribal groups in the region, including restrictions on the retention of specimens and associated data. Collections from tribal lands may be secured separately and made accessible only with the permission of the recognized authority (e.g. the Tribal Historic Preservation Office or the Cultural Preservation Officer). Memoranda of Understanding must be signed and in effect before the Museum can work on any tribal lands or resources, including specimens in the Museum collections and their associated data.

Partnerships with other museums

It is the responsibility of the Associate Director to maintain a list of other mission-appropriate non-profit regional institutions, and to maintain contact with them through professional networks and direct contact. It is the responsibility of the Director to negotiate and formalize contractual agreements with partner institutions, with the advice and consent of SD Mines administration and governance as appropriate.

SCOPE OF COLLECTIONS STATEMENT

Museum collections are groups of objects or specimens and their associated information, or certain compilations of data that act as proxy for items that cannot be collected, acquired with purpose, maintained in an orderly manner, and managed in the public trust in perpetuity, for the purposes of research, documentation, and education.

The Museum collections range from intensive coverage of a geographic area, biotic group, ecological habitat, or geological horizon to extensive coverage of a world biota, ecosystem, or geological provenance. Intensive collections are useful in detailed research efforts, such as monographs and area studies, while extensive collections enable broad comparisons, aid in identifications, and provide maximum flexibility in selecting instructional and exhibit materials.

Research (Permanent) Collections

The research collections include items considered to be of major significance for research or exhibition, or considered important for preservation as part of the region's natural history heritage. Items accessioned into the permanent collection are expected to be preserved as part of the permanent collection for the foreseeable future. The permanent collection includes non-specimen reference collections, such as the following:

- Collections of images, recordings, scientific reproductions, library and other archival materials.
- Items that are not themselves collection materials, but that support a collection item as documentation, such as measurements, printout results of destructive analysis, and related materials.

The research collections of the Museum are organized into the following broad divisions: **Paleontology; Mineralogy and Geology; Recent (biological); Archives; and Library**. Although research-quality

specimens and objects from the Black Hills and Badlands region are emphasized, field and reference collections come from around the world.

Repository materials are managed as part of the research collections, subject to contractual agreements, though they are accessioned with the repositing agency.

Paleontology

The Museum is a major national paleontology collections center, and a large part of its collections reflect historic and continuing paleontological research at SD Mines. An estimated 500,000 paleontology specimens are housed at the Museum, representing paleobotanical, vertebrate and invertebrate specimens.

Recent (biological) holdings

The Museum maintains comparative collections of vertebrate skin and skeletal preparations, freshwater and marine invertebrate material (both dry and fluid-preserved), entomological specimens, and herbarium mounts, reflecting the biota of the region and of curatorial research interests at the MoG. Vertebrate specimens represent captive mortality or accidental deaths; no vertebrates are collected from life for the collection. All biological holdings are maintained under proper permits.

Zooarchaeology

The osteology collection occasionally supports cooperative work with the South Dakota Archaeological Center, providing a base for identification and curation of non-human faunal materials from archaeological sites and contexts. No other archaeological material is housed or researched at the Museum.

Mineralogy and geology

The founding collections of the Museum were mineralogical, beginning in the late 1800s with the donation of Mr. G. E. Bailey's mineral and fossil collection, and today are estimated to contain over 20,000 specimens. The collections emphasize the minerals of the Black Hills region, including important Black Hills pegmatite minerals. The systematic collection includes minerals from all over the world, as well as meteorites and related materials.

Archives

The Museum archives include an extensive map collection, photographs, glass and film transparencies, field notes, laboratory notes, publications, Museum ephemera and related materials from the late 19th century to the present. These constitute a vital resource in the history of the Museum, SD Mines, the region and science of paleontology.

Library

The Museum maintains the Bump-Macdonald Library of paleontology and geology books, reprints and associated materials from a number of major donors. These are only available for onsite use by appointment. Museum library materials do not circulate and are not kept in staff offices.

Teaching Collections

The Museum maintains teaching collections of items that are appropriate for educational purposes, or other uses, even though they may not be appropriate for permanent research collections. Items that enter the museum as research specimens may eventually become temporary or permanent parts of

teaching collections, depending on the nature and abundance of the specimens, their condition, and their degree of documentation.

Repository materials are never moved to teaching collections.

Unaccessioned Collection

The unaccessioned collection is comprised of collection items that have been acquired and brought to the museum, some of which may eventually become part of the permanent collection, but which are in process. Unaccessioned materials may not be available for research or teaching while they are being accessioned and prepared.

Repository materials are never considered to be unaccessioned collections, as they are accessioned by the repositing agency.

COLLECTING AND RESEARCH PLAN

The Museum does not engage in indiscriminate acquisition. An exhaustive collection of the natural history of the region would be difficult to maintain. The financial aspects of fulfilling the Museum's continuing obligation to preserve, maintain, and use representative specimens also necessitate restrictions in acquisition capabilities. Consequently, research-based priorities for new acquisitions will be maintained.

Major collecting areas

Taxonomic

The Museum is the major paleontological research and educational collection for the state of South Dakota and the South Dakota university system. It will therefore continue to collect and acquire legally held research-quality specimens of taxa documenting the natural resources of the region and collected in support of curatorial research projects, including vertebrate, invertebrate, paleobotanical and microscopic specimens, representing both fossil and modern natural history. It will also continue to expand its legally held comparative biological holdings as appropriate.

Stratigraphic

The Museum's holdings reflect the wealth of fossil deposits in the region, particularly those of the Cretaceous Period and the subsequent Cenozoic Era. The Museum will continue to acquire fossil and sedimentological specimens from the key regional formations from these times to enhance and further ongoing research, as well as specimens from other regions, formations and ages as required to support ongoing research and provide a reference base of comparative specimens.

Geologic

The Museum maintains a major collection of mineralogical and petrographic specimens representing the geologic complexity and history of the region, as well as serving as a basis for research and comparison. The Museum will continue to acquire research specimens for this collection from the Black Hills and surrounding region, as well as from other key sites of interest.

Geographic

The Museum is a major regional resource for the State of South Dakota and the contiguous Midwestern and Western states. It works in partnership with other non-profit paleontological institutions and collections in the region. The Museum is a repository for specimens from public lands (Federal, tribal, state, county and municipal) and also houses research collections from other US states and from Antarctica. The Museum will continue to emphasize collections from these areas as a primary research base, while also acquiring specimens from other areas nationally and worldwide in support of ongoing research and as a systematic and comparative reference base.

Library and archives

The Museum library will acquire materials supporting research in natural history, geological engineering, and related areas, with emphasis on paleontology and geology resources supporting scholarly and historic work at the MoG. Other fields of emphasis may include, but are not limited to, the history of science and research at the Museum and SD Mines; the natural history, including paleontology and earth sciences, of the state and region; biographical information associated with key figures in the scientific history of any of the areas above; and any other materials deemed by the Museum staff to be of value in the program.

The archives collection will acquire materials supporting history of the Museum and its programs, including but not limited to photographs, transparencies, recordings, maps, field notes, journals, teaching materials, illustrations, correspondence, and any other materials deemed by the Museum staff to be of value in the program. The Museum works closely with the Devereaux Library, other regional historical institutions, and appropriate professional society archives to ensure that archival materials are as linked, copied, shared and accessible as possible.

Archives associated with repository collections are considered the intellectual property of the repositing agencies and are not copied or linked without the agency's permission. Original repository archives materials should not be housed at the Museum unless there is a specific agreement arranging such housing.

Education and outreach

The Museum is committed to its fundamental mandate to serve as an educational resource for undergraduate and graduate programs at SD Mines, as well as for other university, pre-college, and informal adult education programs. Consequently, the Museum will continue to acquire good specimens and reproductions that are appropriate for classroom and demonstration uses, and to support their use in community outreach programs as well as in the classroom. These collections will be stored and numbered separately from the main collection.

Exhibition

The exhibits at the Museum define its image and history in the public eye. Some specimens are on permanent exhibition because of their importance, their size and their aesthetic appearance. The Museum considers its exhibit program to be integral to its mission and inseparable from its educational mandate. It will continue to acquire specimens that will temporarily or permanently go on exhibit as part of these public efforts.

Policy on orphaned and abandoned collections from other institutions

The Museum may be asked to assume ownership or management of collections from other institutions that are undergoing changes in their mission that preclude keeping collections, are experiencing financial hardship leading to downsizing or closure, or are experiencing other problems that make finding new collections ownership necessary. The Museum will act as a responsible partner institution in such cases, and is committed to helping such institutions find an appropriate new base for their collections, whether it is the Museum itself or another institution.

In general, the Museum will consider accepting collections with inherent value for its mission and programs, but will not consider accepting and will assist in finding another owner institution for collections with no such value. The Museum will only refer such collections to other non-profit institutions.

These criteria will also be used in evaluating any other donations offered to the Museum.

Collections with inherent value for the Museum

Paleontological and geological collections are of primary interest to the Museum, and any such collections offered to the Museum will be carefully evaluated for their legal status, research, education and exhibition potential at the Museum. The Museum is also committed to interpreting natural history and the history of science, and will carefully evaluate such collections for their usefulness in the Museum's programs.

Collections which are not accepted for the Museum's holdings will be referred to other museums, colleges, schools, or other appropriate non-profit educational institutions.

Collections with no inherent value for the Museum

The Museum and SD Mines are fortunate to be in a region with university, city, regional, state and Federal museums and related institutions. This allows the Museum and the other institutions to maintain good working partnerships, to share resources, and to focus their respective spheres of emphases and expertise more narrowly than might otherwise be possible.

Collections offered to the Museum that do not meet its mission and purpose may appropriately be referred to other museums in the region.

The Museum is not a museum of art or of community or regional history, except insofar as that art or history pertains to the history of science and research at SD Mines. Collections of specimens, objects and archives materials more suitable for art or history museums will be referred to appropriate institutions.

Although the Museum maintains a working relationship with the South Dakota State Archaeological Research Center for the care and curation of zooarchaeological specimens, it does not accept any other archaeological materials, even temporarily. The Museum holds no collections subject to the requirements and provisions of the Native American Graves Protection and Repatriation Act (NAGPRA) and will not accept any such materials in any way unless a specific contractual agreement exists that is

agreed upon by all affected stakeholder parties. Human remains, grave goods, and all other archaeological and ethnographic materials will be referred immediately to the State Archaeological Research Center. The Museum fully complies with Federal and South Dakota state legislation on such matters.

COLLECTION AUDITS

The Museum is subject to audits of its holdings, policies and procedures at any time by the Internal Audit office of the SD Board of Regents as well as by its Federal repository partners. Annual inventories of any repository materials will also be made by the appropriate agency, as stipulated in the repository agreement. The Museum will manage its collections to comply with audit standards at all levels.

COLLECTIONS AS ASSETS IN FINANCIAL REPORTING

The Museum collections are held for research, education, and public exhibition in furtherance of the public good rather than financial gain. Collections are protected, kept unencumbered, cared for, and preserved. It is the policy of the Museum never to sell collections materials for any reason.

Accordingly, the Museum does not treat its collections as assets for purposes of reporting in its financial statements. The Museum adheres to the applicable financial reporting standards governing collections held in public trust.

RESPONSIBILITIES

Governing Board

The South Dakota Board of Regents governs SD Mines, as mandated by state law, and holds the fiduciary responsibility. The nine members of this board are appointed by the Governor and confirmed by the state senate. The Board of Regents has the final approval responsibility for Museum policy documents and for certain high-level actions as detailed in this policy.

South Dakota School of Mines and Technology Administration

The President is the chief executive and administrative officer of the university and is responsible to the Board of Regents. In the absence of the President from campus, the principal administrative officer in order of succession is:

- Provost/Vice President for Academic Affairs
- Vice President for Business and Administration
- Vice President for Research
- Vice President for Student Affairs/Dean of Students

The President has final responsibility and signatory powers, which may be delegated at his or her discretion, for top-level collections decisions, including purchases over \$10,000 and approval of

decisions that will involve sale, repatriation or destructive disposal. The President is also responsible for transmitting Museum policy documents to the SD Board of Regents for their approval and signature.

Provost

The Provost oversees the Director of the Museum as principal administrator in the SD Mines system. The Provost directs the Museum's strategic and research plans and programs, approves all major initiatives, and serves as counsel and signatory as appropriate for Museum-based grants and projects.

Head of Geology and Geological Engineering

The Head of the Department of Geology and Geological Engineering oversees the university academic programs in geology and paleontology, including undergraduate and graduate coursework. Museum staff who teach courses at the university are responsible to the Head for professionally fulfilling these responsibilities.

The Geology and Geological Engineering Department is the major scholarly and educational resource for the Museum. Faculty members may be appointed as curators, and Museum staff serve as professors and instructors in the department. The Department is considered to be the Museum's main stakeholder.

Museum staff

Director

The Director is the administrator for the Museum and lead supervisor for all Museum staff, and in addition is the main liaison between the Museum and the Department. Key collections responsibilities of this position include:

- Providing policy guidance, program direction and planning, and budget support to carry out the collections management requirements established in this policy.
- Delegating authority and assigning collections responsibility to the appropriate Museum staff.
- Establishing collecting priorities to guide the development of the collections and reasonable resource projections.

The Director holds the signatory authority for accessions, permit and grant applications, annual reports and other management documents. All requests for loans, destructive analysis, deaccessions, research access to collections, reproductions of collections items, exceptions to this policy, and other uses of collections must be approved by the Director. These responsibilities may be delegated at the Director's discretion.

Associate Director

The Associate Director is in charge of all registrarial functions for the Museum, including implementation of this policy and development of procedures along these lines. The Associate Director coordinates applications for permits and permission; manages loan requests and shipments; provides authoritative information on applicable laws, regulations and professional ethics; maintains files of all original documents and permits associated with collections transactions, including accessioning, lending and deaccessioning; conducts due diligence investigations, inventories and condition reports of the collection; recommends archival materials for rehousing and coordinates rehousing initiatives; issues annual permit and status reports as directed in this policy; and assists with all other Museum initiatives at the direction of the Director. The Associate Director has lead management responsibility for all collections. The Associate Director may also serve as a faculty member in the Department of Geology and Geological Engineering.

Curators

Curators are appointed from SD Mines faculty members, primarily in the Department of Geology and Geological Engineering with the approval of the Director and Provost. This is a standing appointment subject to review, based on satisfactory work with the Museum resources and collections in furtherance of research and educational goals. In general, the expectations of a curator focus on the intellectual value added to the collections in terms of accurate identification, databasing, and use of the collections as a research, publication and educational resource.

Museum Manager

The Museum Manager oversees programs and policies associated with the public face of the Museum, including public visitors, exhibit design and upkeep, retail shop inventory and sales, and supervision of student employees. The Museum Manager also coordinates public events based at the main exhibit area of the Museum, facilitates efforts to attract and increase visitation at the museum and works with the Associate Director and Laboratory Manager to assure the proper management and care of specimens on exhibit.

Laboratory Manager

The Laboratory Manager oversees the management of the paleontology preparation and laboratories, including management of supplies and equipment, maintenance of health and safety standards and resources, development and implementation of training sessions for students and volunteers wishing to work in the laboratories, and project management of specimen preparation.

Other colleagues

South Dakota School of Mines and Technology faculty

The Museum is a major instructional and research resource for the Department of Geology and Geological Engineering in particular and the extended SD Mines and state higher education network in general. The Museum works with SD Mines faculty to make its educational, scientific and professional resources available to the academic community as much as possible. SD Mines faculty can consult with Museum staff on the use of exhibits and collections resources for teaching and professional training.

SD Mines faculty members who need access to collections for research and/or teaching purposes should consult with the appropriate curator to determine which specimens will be of use and how these should be used. Faculty members will be given appropriate levels of access for their classes. A staff or faculty member with approved access must be present at all times when classes are taken into collections areas.

Research associates

The Museum appoints research associates from colleagues whose research is associated with Museum programs. These are unpaid appointments subject to the same rights and restrictions as faculty members at the university (as described above).

Volunteers

Volunteers are considered to be unpaid staff members. They are highly valuable members of the Museum team. Training will be provided to all new volunteers, and access will be allowed commensurate with their knowledge, dependability and reliability. Volunteer hours are tracked by the Associate Director and reported to the Director annually.

Student workers and researchers

Graduate and undergraduate students working in the Museum collections provide valuable and irreplaceable services. Access is determined by the Director, Associate Director and curators based on academic status, employment, training level, and dependability. Students have keycard-only access; physical keys are not issued.

Authorized personnel

Keys and keycard access are only issued to those Museum and department faculty and personnel who require access to collections in order to carry out their regular duties and responsibilities. All access is authorized by the Director.

Museum personnel authorized to have collections access are the Director, the Associate Director, the Curators, the Museum Manager, and the Laboratory Manager. Current and emeritus faculty members, students, and volunteers may receive access to collections as needed. Keycard access is reviewed and updated after graduation in the fall and spring semesters. Keys must be returned at the end of an employment contract or volunteer agreement, or in the event of job termination for any reason.

ETHICS

The Museum's ethics policy is based on applicable law, policy, standards and best practices, and is a stand-alone document. All issues associated with public and professional responsibilities, standards of care, codes of conduct, conflicts of interest, personal collections, appraisals and referrals, and related issues are covered in the ethics policy.

PERMITS AND PERMISSION

All field collecting must be done with the knowledge and consent of the landowner or land management agency, obtained in writing and in advance of the collecting activity. This documentation may be in the form of a letter of permission from a private landowner or a valid research and collecting scientific permit from a land management agency. Third-party documentation is not sufficient to meet this standard.

Anyone associated with the Museum and/or SD Mines who collects on a valid research and collecting permit must comply with all of the issuing agency's requirements and limitations, including geographic, stratigraphic and/or taxonomic limits as well as limits on the number and/or volume of materials collected. Failure to comply with permit requirements may invalidate the permit. Specimens collected on an invalidated permit will not be accepted by the Museum or SD Mines.

Museum collectors must obtain all permits needed for a proposed activity in advance of that activity, including Federal, state, tribal, municipal and/or private permits and permission as required. The possession of any one of these permits does not negate the need for the others.

SD Mines faculty who are collecting in the field cannot automatically collect on permits issued to the Museum or its lead personnel, or vice versa. Such arrangements need to be made in consultation with Museum staff well in advance of collecting (4-month minimum if a new permit is needed). Permit sharing may be denied by the agency issuing the permit, whose decision is final.

Original permits and letters of permission must be transferred to the Associate Director at the time they are received, so that they can be kept on file and copied only as needed. They must be signed and dated by the issuer before the collecting activity begins.

Any collecting of biological material must be done under the provisions of any and all state and Federal wildlife laws, regulations and other requirements. This may include institutional as well as personal permits.

International collection requires full compliance with all laws of the country of origin, including obtaining valid collecting and export permits in addition to all applicable US permits.

The Associate Director will manage permit applications, reports and renewals for all permits, as delegated by the Director.

Materials collected without valid permits or permission will not be accepted from the collector for storage, identification or accessioning. Museum staff are required to notify the SD Mines administration and the landowner, land management agency, management authority and/or law enforcement agency if illegally collected materials are offered for donation or have been collected on behalf of SD Mines.

Laws and regulations

The responsibility and the commitment of the Museum is to comply fully with all applicable Federal, state, county, municipal, and international laws and regulations with regard to the collection, acquisition, use, transaction and disposal of museum collections, as well as with all other laws affecting museum employment, access, safety and use. The Associate Director is responsible for compiling and disseminating lists of applicable laws and guidelines for compliance with them.

Annual transactions and compliance reports

The Associate Director will prepare an annual report to the Director to attest to ethical and legal compliance over the past year and to document any problems with compliance that may have arisen. This is a permanent document. This report will also include a summary of the number and distribution of annual collections users and of transactions, including accessions, loans, transfers, exhibition use and deaccessions. This report will be submitted with other reports at the end of the fiscal year, and is the responsibility of the Associate Director.

The Museum will submit annual reports to the various agencies from which it receives permits and/or repositored materials. This includes, but is not limited to, information for the National Park Service's annual Collection Management Report as well as information for the Bureau of Land Management, U. S. Forest Service and Bureau of Reclamation, as well as any and all tribal, state and municipal groups with which the Museum has worked or for which the Museum provides ongoing repository services. This

information will summarize collections transactions for the year just ended, including accessions, loans, and transfers.

ACQUISITION POLICY

Acquisition is the act of legally obtaining a collection item or group of items.

Policy statement on acquisitions

Collections may be acquired only in accordance with established authority and only when consistent with applicable law and professional ethics. The Museum adheres to all applicable federal, state, local, and international laws, treaties, regulations, and conventions. Laws and regulations will be observed, and compliance documented.

Repository collections are treated as Museum holdings and may receive Museum numbers, depending on the legal arrangement with the repositing agency, but are permanently accessioned with the agency of record unless the applicable agreement stipulates otherwise.

The Museum observes the highest legal and ethical standards in the acquisition of collections. Staff shall exercise due diligence in the acquisition of collections, including making reasonable inquiries into the provenance of collection items under consideration for acquisition. Inquiries are made in order to determine that the Museum can acquire valid title to the collection item and that the acquisition will conform to all legal and ethical standards, as set forth in this policy.

The Museum Director or designee, before authorizing an acquisition, has the responsibility to ensure that the materials have been legally collected and are being legally offered.

- Field collecting on public lands generally requires a valid permit, which satisfies this requirement. A copy of this should accompany the material.
- Field collecting on private lands should only be done with written permission from the landowner, a copy of which should accompany the material.
- Donations from agencies and institutional entities are generally accompanied by letters of transmission and other documents, which satisfy this requirement.
- Donations from private entities should be accompanied by the most detailed information possible about the origin and previous ownership of the materials, signed by the person legally effecting the donation.

Museum representatives should not proceed with the acceptance of material if it appears that the material being offered:

- has been stolen or is being wrongfully converted
- is illegally present in the United States or was illegally removed from its country of origin
- was unethically acquired from its source
- is being offered as a way of masking illegal collecting
- was not scientifically excavated with good data capture

Museum representatives have the right and responsibility to investigate such concerns with due diligence before accepting or rejecting donations. The Director has the responsibility for the final decision in such problematic situations, based on all available information, and may further consult with SD Mines legal counsel if serious illegal activity is suspected.

With the specific exception of repository materials, which remain the property of the repositing agency and are managed under agreements stipulating rights and responsibilities, the Museum in general accepts only unrestricted collections without any encumbrance or condition on clear title. This precludes permanent loans and conditional gifts. Exceptions to this must be approved in advance by the Director and in some instances may also require the approval of the SD Mines administration and the SD Board of Regents.

The Associate Director shall ensure that the acquisitions are accompanied by documentation of legal title and provenance of collection items acquired. , are is responsible for ensuring the completeness and consistency of documentation Original records must be properly maintained and preserved, and are filed as permanent records linked to specimen records.

Joint or partnership field collecting

The Museum may collect items jointly with other institutions or museums with which it agrees to share ownership and management. In such events, a written agreement must stipulate the terms and conditions of the agreement and responsibilities of each party, and this must be formalized and approved before final acceptance.

Repository materials

Federal, state, tribal, and other non-profit entity collections

Repository collections, as noted, are housed and curated at the Museum under the express terms of a Memorandum of Understanding, Memorandum of Agreement, or other binding written legal agreement with a Federal or state agency, a tribal group, or any other governmental or non-profit entity. The Museum assumes the responsibility for the care and security of these materials and in return may receive permission to conduct original scientific research on them, depending on the terms of the agreement or permit. The results of original research must be communicated to the repositing entity. The specific rights and responsibilities of the Museum are detailed in each agreement.

Repository materials are treated as part of the Museum holdings but are permanently accessioned with the repositing entity unless otherwise stipulated.

Forensic situations

The Museum may occasionally receive materials on loan for forensic identification and analysis from medical, investigative or law enforcement agencies. These materials are managed according to Memoranda of Understanding or other formal agreements with the referring agency. Items on loan to the Museum for forensic purposes are subject to the requirements of the applicable MOU or agreement, which supersede routine loan policy and procedures. These may include stringent requirements regarding security for and access to the item and all associated information, as well as specialized requirements for storage, handling, and conservation. Forensic repository materials are not made available for research outside the terms of the MOU and may not be loaned or altered in any way.

Forensic collections are never accessioned until and unless the referring agency approves a transfer of materials to the Museum or repository partner.

Donations

The Museum accepts unrestricted donations of materials within its sphere of responsibility, including (but not limited to) fossils, minerals, Recent osteological specimens, archival materials, library materials, and anything else related to natural history, the history of science in this region, and/or the areas of active research by curators and students, subject to the same legal requirements as all other accessions. The Director has the final decision-making authority for Museum donations.

Gift

A gift is made by a donor who expects no remuneration in return. Gifts require a written statement from the donor expressing the intent to donate, as well as written statements from the Museum expressing acceptance of the gift and documenting its acceptance into the collections. Gifts can only be made by the legal owner of the material. A deed of gift will be copied to both the donor and the Museum permanent files.

The Museum may receive Internal Revenue Service documentation provided by the owner stating a financial value supplied to the IRS for the donor's purposes. Museum staff may attest that this value was provided but may not verify that value. Values that appear to be inappropriate for the donation must be reported to the SD Mines administration and legal counsel, not to the donor.

Partial gift

The Museum does not in general accept partial gifts, in which part of a gift is purchased and part is donated. Exceptions to this must be approved by the Director, and may also need to be referred to the SD Mines administration and the South Dakota Board of Regents for approval if the public profile and/or financial value of the materials are high.

Bequest

A bequest is a gift made as part of a decedent's estate. The Museum will review such donations to ensure that they are appropriate for the Museum and that no inappropriate restrictions have been made as part of the bequest. A copy of the will or other testamentary document specifically naming the Museum as a legatee is necessary for Museum files. The legal representatives of the estate will receive a deed of gift.

Exchanges

Exchanges are two-way transfers of specimens or other materials made between two non-profit entities with full transfer of ownership or title, but no exchange of funds or expectation of financial benefit to either side, based on a previously established written agreement. The Museum may exchange materials with other non-profit partners as a one-time or as an ongoing (open) agreement.

Transfers

Transfers are one-way transactions of specimens or other materials made from one non-profit entity to another, with full transfer of ownership or title, but no exchange of funds or expectation of financial benefit to either side, based on a previously established written agreement. The Museum may accept transfers of materials from other non-profit partners as a one-time or as an ongoing (open) agreement.

Purchases

The Museum does not purchase fossils or otherwise participate in or endorse practices that may lead to the commercialization of fossils. Any exceptions to this policy require the express written permission of the Director, and may also need to be referred to the SD Mines administration and the South Dakota Board of Regents.

Other purchases of collections items (e.g. minerals) must be fully documented to ensure legal and ethical compliances on all sides. This requires the approval of the Director and may also require higher approval for high-budget and/or legally/politically sensitive transactions.

Abandoned loans

Materials on loan that cannot be returned to the original lender may be acquired under the provisions of South Dakota state law (S.D. Codified Laws 43-41C-1 et seq.).

Specimens found in collection

The Museum may acquire specimens found in collection if no evidence exists that the item(s) entered the collecting unit as a loan, and if the history of possession supports the presumption that a valid acquisition or transfer of ownership occurred. Museum staff must make a good-faith effort by reviewing accession, inventory and loan records to determine that the material is not from an unclaimed loan and was never accessioned.

ACCESSIONING

Accessioning is the formal process used to accept a collection item or group of items and their contextual data legally into the permanent Museum collections, and to record and/or document the addition of the item(s) into the collections

Standards for accessioning

- **Collection priorities:** The collection items are consistent with the collection plan and goals of the Museum.
- **Uniqueness:** The collection items are so unique or unusual that they warrant special consideration.
- **Legality:** The collection items meet provenance and legal standards. The collection items can be acquired with full and clear title or the right to convey the same.
- **Ethical considerations:** The specimen or collection was obtained ethically.
- **Documentation:** Adequate scientific documentation accompanies the specimen or collection.
- **Resource impact:** Adequate proper space is available to house the items being considered. Storage, maintenance and/or conservation can be appropriately met given current and reasonable expectations of future museum resources.
- **Encumbrances:** The donor's intent is clear. The collection items are unencumbered by unusual conditions set by the donor.
- **Commercialism:** Acceptance of the collection items does not appear to give rise to commercial exploitation.

Cataloging

Cataloging is the process of recording all primary information about an object. The catalogue record for specimens and items should contain information on:

- Unique catalog/accession number
- Collecting site data (geographic and stratigraphic)
- Specimen identification to the most precise level known
- Specimen description, including measurements, photographs and other documentation
- Date of field collecting
- Field number
- Unique repository number if necessary
- Name of collector

Numbering and labeling

The Associate Director will work with the Museum staff and the Director to develop numbering guidelines for all Museum collections. Every specimen should have a unique number assigned to it at the time it is accessioned into the Museum holdings, connecting that specimen to a catalog record and field record. This number will not change and will not be re-used if the specimen is deaccessioned. Other numbers, such as those required by a repository partner agency, may also be assigned as needed.

Identifying numbers will be written on or attached to specimens and/or their containers as appropriate, and will never be removed.

Dual numbering systems may be required for repository specimens to facilitate tracking and accountability. Museum will comply with all such requirements for cataloging, accessioning and databasing.

Specimen files

Specimen files include the critical primary documents and documentation: field notes, catalogue entries, accession records, original permits and/or letters of permission, location data and deaccessioning records. These are maintained and updated by all Museum staff with collections responsibility, and provided to the Associate Director as needed or required. Original specimen file documents will be stored in secure cabinets with limited access in order to protect sensitive or confidential information. Database records may refer to but not include records deemed to be sensitive.

Associated documents

Associated documents are those records which track the history and use of a specimen or collection in addition to the primary documents of permits and letters of permission, cataloging, accessioning, and deaccessioning. These may include, but are not limited to, all associated correspondence, loan records, records of research and analysis, information resulting from research and analysis, documentation of classroom use, exhibition history, preparation history, publication records and anything else associated with a particular specimen. The Associate Director manages these files.

COLLECTIONS INFORMATION AND DATABASING

Collections information is the documentation of the intellectual significance, physical characteristics, location and legal status of collection items, the collections management processes and transactions they undergo, and their use in education and exhibitions. Collections information is part of an ongoing process, with documentation residing in many formats, including documentary files (e.g. field notes and logbooks, illustrations, photographs), electronic information systems, and multi-media formats. The value of collections information lies in its quality, integrity, comprehensiveness, and potential for use for research and educational purposes. The documentary value of a museum collection is a principal criterion for its excellence. Well-documented results of scientific, historic, and aesthetic research enable the Museum to fulfill its research and educational mandate.

The primary purpose of collections information is to provide access to Museum collections, research findings, and the stories they can tell. To support this goal, the Museum has a responsibility to acquire, develop, and maintain collections information systems that enhance access to and accountability for its collections and research findings and to ensure long-term preservation of the resultant information in manual and electronic formats.

Online access restrictions

The provenance of acquired collection items is a matter of public record. Access to certain sensitive information, such as issues of privacy, donor and collector information, custody and physical location, collecting localities, intellectual property restrictions, security, and requirements for restricted use, may legitimately be limited at the discretion of the Director.

The Museum will make every reasonable effort to provide databased specimen records as part of its finding aids and research facilitation efforts. All records will be databased and upgraded to current professional standards in conjunction with repository agency standards, to ensure ease of collections information sharing. Not all records can be made electronically available, however. The Museum may not disseminate the following information via databases or other online access:

- Repository records of any kind, without the express consent of the appropriate agency of record obtained in advance and in writing
- Collecting locality data of any kind below the level of U. S. county or equivalent administrative unit in a foreign country.
- Collector or donor information, or any other information including the names of individuals
- Inventory data that could be misused to disclose the physical location of a collection to the general public

The Museum may disseminate the following information for non-repository materials in its collections:

- Taxonomic identification insofar as is known
- Unique specimen numbers
- General information on the nature and quantity of specimens

Original primary collection records

All original primary collection records (e.g. field notes, research-related notes, images, photographs, illustrations, correspondence, original card catalogues, sound and visual recordings, and other records and documents directly or indirectly related to the collections or collection activities of the Museum) are the property of the Museum and SD Mines.

INTELLECTUAL PROPERTY RIGHTS

SD Mines owns all intellectual property rights associated with collections materials from all of those Museum holdings that are not repository materials and do not have encumbrances to their title. Photography, illustration, molding and casting, other two- and three-dimensional reproductions, and publication rights are managed by the Museum under SD Mines requirements, not by any individual employee. These rights include the licensing and sale of reproductions of Museum collections materials.

The Director must approve all contracts or other arrangements for reproduction of any collection item.

The Museum may charge reasonable fees for photographs and other published images of its collections and exhibits, and may require credit in all publications resulting from work on its collections and exhibits. The Director, in conjunction with the Vice President of Business Service, must approve fee schedules and waivers.

The Museum reserves the right to refuse to furnish photographs or specimens intended for reproduction, and also to deny permission for such reproduction, if:

- The attribution of the specimen is in question;
- The proposed activity enables or appears to enable commercialization of a public trust resource;
- The circumstances of the reproduction would demean, alter the appearance of, or otherwise misrepresent the specimen and/or bring discredit the Museum and SD Mines; and/or
- It is determined that the reproduction work would cause harm to the specimen.

The Museum and SD Mines have no and assert no intellectual property rights to any repository materials or any other materials not owned by the Museum, such as materials on loan. This includes the rights of photography, illustration, molding and casting, other two- and three-dimensional reproductions, and publication. Any images, reproductions or publications based on repository specimens require the express advance written consent of the repositing agency. The Museum may not charge fees on behalf of the agency and must refer all requests for use of repository materials to the appropriate agency.

Private individuals are permitted to photograph the Museum exhibits. Collections photography may be restricted by the curators, with approval from the Associate Director and Director as required, based on the sensitivity of the specimens and on the needs of ongoing research and publication priority.

Freedom of Information Act

The Museum acts as a repository for holdings from Federal agencies. These agencies may be asked to provide information under the Freedom of Information Act (FOIA). Under the National Parks Omnibus Management Act of 1998, however, paleontological site and locality information is specifically **exempted** from FOIA disclosure. Paleontological site information is specifically exempted under the South Dakota Sunshine Law (S.D.C.L. 1-27-1 et seq.) as well¹.

Any FOIA requests for Federal collections information received by the Museum must be referred to the appropriate agency. The Museum is not itself a Federal entity and cannot respond to Federal FOIA requests. State FOIA requests must be referred to the SD Mines legal office.

COLLECTIONS ACCESS

The Museum will provide reasonable access to its collections and collections information consistent with its stewardship responsibilities. Physical and intellectual access to the collections must be balanced against preservation and protection concerns.

The Museum requires that all researchers, both in-house and visiting, who make use of collections will adhere to any legal or ethical restrictions on research imposed by the Museum, and that they will operate in accordance with the generally accepted ethical standards of the field in which they are working.

Student access is granted for specific research, thesis and dissertation projects, under the direction of a faculty supervisor who is responsible for the appropriate use of this material. Students working on projects outside their directed research need to negotiate access to collections materials and data as independent researchers, including permission for the loan of specimens and the use of data from their student research.

Access to the collections may be denied to individuals who have failed to handle specimens in accordance with Museum-approved practices, as detailed in the policy and in specific procedure manuals for the collections, and standard professional guidelines as detailed in the appendices to this document, especially when such past conduct has been noted in a written record and the individual officially informed at the time of the incident.

Access to collections and collections information may be restricted due to resource limitations, repository status, security, object availability, cultural sensitivity, intellectual property rights, applicable restrictions, chain of custody issues or evidentiary concerns, loan agreements, intellectual property rights and preservation constraints. The Museum staff is responsible for establishing standards for restricted access.

¹ 1-27-1.5. (13) Records or portions of records kept by public bodies which would reveal the location, character, or ownership of any known archaeological, historical, or paleontological site in South Dakota if necessary to protect the site from a reasonably held fear of theft, vandalism, or trespass. This subdivision does not apply to the release of information for the purpose of scholarly research, examination by other public bodies for the protection of the resource or by recognized tribes, or the federal Native American Graves Protection and Repatriation Act

On-site

Museum collection users should be competent in handling collections and willing to comply with security precautions or other restrictions.

Collections use must be conducted under the direct supervision of a Museum staff member with collections responsibility (Director, Associate Director, Curator, or anyone else designated by the Director, such as responsible graduate students). Unsupervised use of the collections is not permitted. Museum collections staff are responsible for making collections users aware of this policy and ensuring the proper handling of specimens.

All materials must be retrieved and reshelfed by staff. Collections staff may not be able to provide access to heavy or large objects, or objects stored in remote areas, during a research appointment if use of these objects was not requested in advance and additional qualified staff are not available for retrieval assistance at that time. If a researcher has requested a number of different collections objects, collections staff may limit the number of objects used at one time.

Access restrictions

Due to the fragile nature of most objects and their unique research value, browsing of the Museum's collections is restricted. Access to objects in very fragile condition will be granted at the discretion of the Curators or Associate Director.

Only designated representatives of the Federal, tribal or state repositing agency may approve access to repository collections. No Museum or SD Mines staff member can lend repository materials to a third party, conduct destructive analysis, or allow outside access to these materials without express permission from the agency of record. Requests for non-Museum access to repository materials are forwarded to the appropriate agency representatives, whose decision is final.

Uncatalogued or unaccessioned collections will generally not be made available to researchers.

The Museum usually has materials other than repository collections in its care that are also not its property. These objects include long-term loans, items borrowed for identification or for evaluation, acquisition, study, or exhibition, or collections with shared custody and care. The Museum shall clearly address and respect access considerations, conditions, and restrictions in formal agreements with the property owner.

The Bump-Macdonald Library is restricted to the use of approved researchers and students on site. Materials in this collection cannot be copied without the express consent of Museum staff and are not available for circulation or inter-library loan.

In keeping with its stewardship responsibilities, the Museum will make every effort to control, monitor, and document access to and use of collections.

Compliance with the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990

The Rehabilitation Act of 1973 prohibits recipients of federal funding from discriminating against people with disabilities in their hiring and contracting practices (Sections 501 and 503), facilities (Section 502), and programs (Section 504). Section 504 is most relevant to museums as it mandates access for people with disabilities to federally assisted programs and services. This includes programs that receive funding from the National Science Foundation (NSF), National Endowment for the Arts, or the National Endowment for the Humanities. The NSF, along with each of the other federal grant making agencies, has its own Section 504 regulations covering its grant recipients.

The Americans with Disabilities Act (ADA) is a federal civil rights law that prohibits exclusion of people with disabilities from everyday activities including leisure activities. It extends accessibility provisions to both the public and private sectors. The ADA guarantees equal opportunity for individuals with disabilities in employment, public accommodations, transportation, state and local government services, and telecommunications by requiring businesses of all sizes that serve the public to remove existing barriers that are readily achievable, to ensure accessibility in new and remodeled facilities, and to facilitate effective communication by providing auxiliary aids.

Museum collections will be made available in all ways possible to individuals with disabilities. Where direct physical access to collections areas is not possible for an individual, Museum staff will bring specimens to a readily accessible workplace. Accommodations for individuals with vision, hearing or other limitations will be made to the maximum extent possible.

Individuals who require the use of service animals must be allowed to bring those animals into exhibits and research areas. All other pets and non-pet living animals are strictly prohibited from Museum facilities.

Research

Researchers and users of Museum collections must acknowledge or credit the Museum and SD Mines for providing information or collection access.

The Museum may deny access to collections and collection documentation created as a result of research conducted by Museum staff and/or non-Museum staff working at the Museum, if access would disrupt or compromise ongoing research.

Annual collections visitation and use report

The Associate Director will issue an annual report to the signatories of this policy and to repository agencies on all in-house and loan uses of Museum collections.

Annual publications report

The Associate Director will issue an annual report to the signatories of this policy and to repository agencies on all publications issued in that year based in any way on Museum collections.

Type, iconic, research, and other specimens of high significance or high value

The Museum collections include type, figured and voucher specimens; the legally designated state fossil specimen of *Triceratops*; specimens with exceptional scientific and historic value; specimens and records that support original thesis and dissertation work; and specimens and objects with high market value (including mineral specimens, vertebrate fossils, and archival holdings). The Museum may reasonably restrict access to these specimens in light of their particular value and irreplaceability.

Specimens of such significance may not be used outside Museum facilities, placed on loan, subjected to destructive analysis, or used in classrooms, unsecured exhibits or public program events. Any exception to this requires the approval of the Director.

Special marking, secure storage and limited access, including specialized labels, locked cases and alarm systems, may be provided as needed for specimens designated as type, iconic, research or high significance/high value by the curators and approved by the Director.

LOANS

A **loan** is the temporary transfer of possession of collection items for an agreed-upon purpose, on the condition that the collection item is returned at a specified time. Loans do not result in a change of ownership.

Loans are subdivided into outgoing loans and incoming loans. In an **outgoing** loan, the Museum temporarily relinquishes custody of, but not any implied title to, collection items for temporary use, on condition that the items be returned or otherwise dealt with by a specific time. In an **incoming** loan, the Museum obtains custody of, but not any implied title to, collection items for temporary use, on the condition that the items be returned or otherwise dealt with by a specific time.

Lending and borrowing collection items for public exhibition, research, and education is an integral part of the Museum mission. Loans to and from other educational and scientific organizations are fundamental to research programs.

The Museum adheres to the *Guidelines for Exhibiting Borrowed Objects* issued by the American Association of Museums (AAM).

As a general rule, Museum collections are lent for research, public exhibition, or educational purposes only, with a formal agreement/contract. Museum collections may not be lent for commercial purposes or private pecuniary gain.

Museum staff and SD Mines faculty wishing to use collections materials for extended periods of time outside the secure collections areas must fill out standard one-year loan agreements stipulating the location of the specimens while they are in use. These collections are subject to an annual inventory in place in the borrower's office. Borrowers must notify the Director and Associate Director of any off-site

transportation and use of these specimens, and may not lend them to a third party without express advance permission from the Director.

Qualified borrowers

In general, loans of Museum materials are not made to private individuals. Exceptions to this require the approval of the Director. The Director approves all loans. The Associate Director documents, monitors, and maintains records on the status of active loans.

The Museum may deny loans of materials when one or more of the following conditions exists:

- The items are being actively used by a Museum researcher in the midst of a *bona fide* research project that has not yet been published.
- The item(s) requested are on permanent exhibition.
- The requestor cannot provide proper facilities or fulfill routine preservation requirements.
- The requested material is of great scientific value, and lending it is inappropriate or would jeopardize its well-being.
- The requested material is in such condition that lending it would likely result in damage to the requested material.
- The requestor has previously violated the terms of a loan, including handling, sampling and/or return requirements.
- The requestor is asking for very large numbers of specimens (such requests may need to be broken down into two or more separate and non-concurrent loans).
- Issues related to cultural sensitivity and/or repatriation mandate a restriction of access.
- In the judgment of the Museum collections staff, the loan would compromise privacy, safety, or intellectual property rights.
- The requested material is an extraordinarily rare, fragile, type or voucher specimen.

Repository materials can only be lent by the repositing agency or its designated representatives, not by Museum or SD Mines employees without agency permission.

Approval of loans

Routine loans are recommended by the Curators or Associate Director and approved by the Museum Director. The Associate Director is responsible for packing and shipping concerns, including insurance, permits and logistical arrangements.

Loan periods and renewals

All loans are for a specified time period of one year with option for renewal as appropriate. The Museum does not encourage indefinite or permanent loans, though some older loans were made under these conditions and those conditions are honored. Formal long-term repository or off-site enhancement arrangements are considered as long-term loans.

The Museum may recall loans prior to the agreed-upon date if conditions of the loan agreement have been violated. These may include unauthorized preparation or destructive analysis, unauthorized replication, inappropriate storage or use, lending to a third party without the Museum's express

permission in advance and in writing, and/or damage or breakage that result from negligence on the part of the borrower.

In-house loans

Materials used for office or lab research use, or for classroom teaching, should be documented with a signed in-house loan agreement that sets the duration of the loan as needed for the purposes of the work. Some collections may be moved into the teaching area for semester use; these will be considered a loan to the faculty member and documented as such. Designated teaching collections should be used as appropriate in lieu of research specimens; checklists for tracking these will be provided.

Type specimens and other specimens of high scientific or historic value may only be studied in the Museum collections and may not be removed for classroom use. They may be moved to the preparation lab, photography area, or curator's office as needed for active preparation and research.

All location changes for in-house loans must be communicated to the Curator and Associate Director so that the loan information can be updated. Failure to abide by loan conditions or to return materials on time may result in a ban of future in-house loans.

Loan returns

Loans of Museum specimens must be returned promptly. The sender is responsible in all transactions for the coverage of shipping and insurance costs. The Museum may request special shipment conditions, including the use of overnight services, registered mail, or other such requirements. Loan conditions are appended to all loan forms and are signed by both parties at the start of the loan period.

Loans from the Museum may not be forwarded to a third party without prior written approval of the owner. Borrowers who do this without the Museum's permission may be barred from any future use of Museum collections.

Lending of type, iconic, research, and other specimens of high significance or high value

Type, iconic, research, and other specimens of high significance and/or high value in Museum holdings are not lent or otherwise made available off-site, even within SD Mines. These specimens, as designated by the curators and proved by the Director, may only be studied in Museum facilities under the direct supervision of Museum curators.

The *Triceratops* specimen on permanent display is the representative specimen state fossil and as such is considered an iconic specimen, managed to the same standards as those for a type specimen.

Borrowing

Only active Museum staff members can borrow specimens on behalf of the Museum. Specimens borrowed by other SD Mines current or emeritus faculty, students or staff for non-Museum purposes may be stored or used in Museum facilities with express advance arrangements made with the Associate Director and Director.

Museum staff are required to comply with all loan conditions and restrictions made by the lending institution or agency, including standards of care, restrictions on unapproved research techniques, and

prompt return or renewal of the loan, as well as all Museum standards, practices and conditions. The Associate Director tracks all incoming loans and arranges packing and shipment as needed.

Loans that cannot be returned to the original lender must be referred to the Associate Director. Resolution of this problem may require administrative advice and consent as well as legal counsel.

Repository materials are considered to be special long-term loans from the agency of record, and as such cannot be lent to a third party without the agency's express written permission. All requirements of the agency must be observed, including all restrictions on access, use, and exhibition or other public use.

Destructive analysis

The Museum permits destructive analysis and sampling of its own non-repository collections specimens and objects, but only with the express approval of the appropriate Curator and the Director, obtained in advance and in writing. The importance of test results must be weighed against the partial or total loss of the collection item and its value. Information gained from the analysis should be included in the Museum's records and in the permanent file for the collection item. Specimens and objects subjected to destructive analysis are never considered to be deaccessioned, even if they are wholly consumed.

Any alternative or destructive procedures or sampling of Museum specimens conducted without the knowledge or consent of the Museum will result in immediate suspension of loans, access and future use of Museum collections.

Repository specimens may not be used for destructive analysis without the express written consent of the appropriate agency. Information obtained from such testing must be provided to the agency as well as to the specimen files at the Museum.

INVENTORY

Inventory is an information base containing sufficient information to allow retrieval of collection items, group, or lots; the process of physically locating all or a selection of items for which the museum is responsible; and appropriate information to facilitate research, collections management, security, and access.

Effective collection management requires a system to support decisions regarding collections use, growth, storage, and security. In addition to facilitating research, documentation, and storage, an ongoing inventory program is an essential security device to deter and detect theft of collection items. Inventory records serve as a tool for accountability and are also useful in supporting other Museum programs when augmented with additional documented information.

Inventory plans are also required of all Federal repositories. The policy of the Museum as a repository is to comply with all such requirements and to implement procedures to facilitate both regular and

unscheduled inventories by Federal repositing agencies. There are three basic types of inventory used by repositories.

- A *complete inventory* accounts for every object.
- A *sectional inventory* involves the inventory of only one section of the storage area, one collection, or one type of object. Sometimes, depending on funds and staff, a repository may devise and implement a continuing cyclic schedule of sectional inventories to make up a complete inventory over a particular period of time.
- A *spot inventory* is the third type. It is very limited in scope and only involves checking a small part of the collection, often using a random sampling procedure. Spot inventories are useful for quickly checking the accuracy of records and location information.

An inventory plan should ensure adequate separation of duties and other internal controls to minimize the possible unauthorized removal of collection items and corresponding records. This should include a regularly updated inventory of all type specimens, repository specimens, specimens of particular scientific or historic value, specimens on loan, and specimens and items on exhibit. The Associate Director and Director, working with Museum staff, will determine which specimens are subject to annual inventory. Federal collections are routinely inventoried by the repositing agencies as spot inventories.

The Associate Director, who maintains inventory records, must document all collection items entering or leaving Museum collections areas. Unauthorized addition or removal of specimens without permission or notification will result in the loss of access to collections areas.

Inventory records may not be electronically disseminated if there is any risk that the physical location of specific collections items could be made public.

DEACCESSION AND DISPOSAL

Deaccessioning is the process used to formally approve and record the removal of a collection item or group of items from accessioned collections.

Disposal is the act of physically removing a collection item or group of items from a Museum collection.

As a general rule, collections are acquired for Museum collections only when there is a good faith intention to retain the material for an indefinite time period. Collections are retained as long as they continue to serve the goals and objectives of the Museum and can be properly maintained and used.

Deaccessioning and disposal are legitimate parts of responsible collections management. Deaccession and disposal procedures are designed to insure thoughtful, well-documented consideration of each proposed collection item for deaccessioning in the context of the long-term interest of the Museum, the general public, and the collection item.

Without proof that the Museum holds clear and unrestricted title to the item, deaccessioning or disposal may not proceed. Items may be not disposed of without undergoing the deaccession process unless they meet the following criteria:

- They are unaccessioned or have no evidence of ever having been accessioned, and have no associated number; **and**
- They lack any and all data needed to associate them with a donor or other records

Destructive analysis

Destructive analysis is not considered to be a deaccession of a specimen; specimens consumed wholly or partially in approved destructive analysis will not be deaccessioned and are still considered to be Museum specimens. The information gained through such analysis is considered to represent the specimen itself and will be maintained with the specimen records.

Conditions under which deaccessioning may be considered

- Irreparable deterioration of the specimen, rendering it useless for any further purposes.
- Loss or absence of critical information, compromising the specimen's scientific value.
- Innate hazardous nature of the specimen (e.g. radioactivity, arsenic contamination, etc.) that cannot be sufficiently controlled or contained to permit safe handling and display.
- Research exchange with or transfer to another non-profit institution, under the terms of an approved exchange agreement or contract benefiting the interests of both institutions.
- Lack of relevance to the museum's mission and purpose, necessitating a transfer to a more appropriate institution or owner.

Repository collections are never deaccessioned and can only be disposed of through return to the repositing agency, unless the agency itself authorizes other action in writing.

Approval

No one person can deaccession an item. Deaccessioning can be recommended by any Museum staff member, but requires a unanimous vote of the Museum staff and the approval of the Director. Higher approval by the SD Mines administration and the SD Board of Regents is required if the item is high-profile, is valued at \$10,000 or more, or is considered to be culturally or politically sensitive.

Written records of deaccession transactions must be promptly forwarded to the Associate Director for the permanent specimen files.

Means of disposal

Only the following disposal methods may be used:

- Exchange with recognized educational organizations involved in similar research;
- Transfer to another museum or educational organization;
- Authorized public sale;
- Destruction **only if there is no reasonable alternative.**

Exchange or transfer

Exchange of items may not proceed without pre-existing exchange agreements signed by both parties. The Associate Director will keep copies of exchange agreements.

Transfers must have a signed agreement in which the recipient agrees in advance and in writing to accept and house the materials.

Destruction

Destructions requiring a high level of approval must be approved and witnessed by the Director. This is required before the destruction, including destructive analysis, of any item(s) meeting one or more of the following criteria:

- The specimen is a type, iconic, research, and/or other specimen of high significance and/or high value as designated by a curator and approved by the Director
- The specimen has been independently appraised as having a value of over \$10,000 and is being considered for outright destruction rather than analytical sampling
- The specimen is considered to have a very high public profile in the United States and/or in its country of origin

Statement on sale of collections

Collections of the Museum will not be sold to any entity for any reason. There will be no exceptions to this policy.

Subsequent ownership restrictions

Formally accessioned collection items, once deaccessioned, may not be acquired for private ownership by Museum staff, students, associates, volunteers, administration or governance. Donated items cannot be returned to the donor.

Repository specimens

Repository specimens can never be deaccessioned by the Museum, but must be returned to the appropriate agency if the Museum can no longer justify their care and conservation. Only the agency can make decisions about the accession status of the specimen. Any exceptions to this require the express advance written consent of the agency.

CONSERVATION

Conservation is the protection and stabilization of collections, as well as their associated information, through a coordinated set of activities aimed at minimizing chemical, physical, and biological deterioration and damage and preventing loss of intellectual, aesthetic, and monetary value. Conservation is a continuing process with the goal of making collections available for current and future use.

The Museum's ability to carry out its mission is directly related to its commitment and ability to provide for the physical health and adequate storage of collections as well as preserving their inherent information.

Conservation intervention, restoration, destructive sampling, or consumptive use of collection items shall not be pursued except as authorized by the Director and the Associate Director, who shall appropriately document these activities.

The Museum will address the conservation and preservation of collection items on loan to others, whether internal or external, through the loan agreement at the time the loan is established.

Museum will balance current research and educational use with the preservation requirements of collection items to ensure that collection items are maintained for future generations and technologies, and rightfully serve their intended purpose.

INTEGRATED PEST MANAGEMENT POLICY

Pests in museum and collection areas will be monitored and documented before any action is taken. This is the responsibility of the Museum Manager and of the Associate Director, who will develop a monitoring and response plan. The plan will address human health and safety concerns for both collections users and the general public, specimen stability and integrity for both collections and exhibits, and minimal uses of any repellent or killing substances.

Where possible, pest infestation will be controlled through preventive measures such as freezing, anoxia, caulking and gasketing, and control of food, drink and plant materials in collections and work areas.

This plan will be made available to all collections staff and users. The Associate Director will issue an annual report on any pest infestations noted during the year and the responses to those infestations.

RISK MANAGEMENT, SECURITY, HEALTH AND SAFETY ISSUES

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

The programmatic activities of the Museum naturally involve an exposure of collections to risks of damage or loss. Exposure to risks can occur to a collection item when it is on exhibition or loan, in transit, in storage, or while being studied, treated, or handled. Potential hazards include natural disasters, vandalism, terrorism, theft, disease, space and environmental deficiencies, human error, mechanical or operational system failure, and deterioration.

Prudent collections management requires identification, reduction or avoidance, and elimination of risks to the collections through a systematic risk management assessment program. Risk management requires thoughtful review of potential hazards.

The Museum may own and have custody of items that may pose some risk to health and safety, either due to their inherent nature (e.g. radioactivity), or as a result of post-collection alterations with hazardous materials (e.g. arsenic). The Museum will provide awareness of any potential hazards, and will establish protective work practices for those at risk.

People at potential risk who need to receive occupational hazard awareness information include Museum and SD Mines employees, students, volunteers, visiting researchers, and contractors who are in contact with these collections. In addition, anyone to whom the Museum loans, deaccessions, or transfers objects with hazardous materials will also be notified.

The visiting public will be protected from adverse health or safety risk from objects on display.

The Museum protects the environment from undue contamination through proper disposal of any waste materials generated during curation, treatment, and management of Museum collections.

The Museum will endeavor to minimize and control the level of risk of loss or damage to collections through established collections management practices. Effective management controls are the responsibility of all Museum staff, students, volunteers, and administration.

Insurance

Insurance proceeds from the settlement of claims for damage to Museum collections will be used for the conservation and restoration of the specific collection item. Such proceeds may not be applied to purposes other than collection restoration or replacement. If received on account of a total loss of a collection item or in excess of the cost of conservation and restoration of a damaged collection item insurance proceeds will be designated only for collections acquisition in the collection unit that sustained the loss.

Disaster plan

The Associate Director will develop and maintain a disaster preparedness and response plan that includes planning, response, and recovery from disasters as well as evaluation and assessment following an incident. The Associate Director will also establish procedures for immediately reporting and documenting damage, loss, or possible theft of collections in the Museum's custody and on loan.

EXCEPTIONS TO THIS POLICY

Prudent exceptions to this collections management policy may be permitted in appropriate cases when in the best interests of SD Mines and the Museum. Exceptions to this collections management policy must be approved by the Director, according to the procedures set forth in this policy.