



THE UNIVERSITY OF
SYDNEY

Chau Chak Wing Museum

COLLECTIONS GUIDELINES

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SECTION 1: INTRODUCTION

1.1 Overview

1.1.1 Definition

The Chau Chak Wing Museum *Collections Guidelines* informs the management, curation and development of the Chau Chak Wing Museum (CCWM) collections and details the way museum staff discharge their responsibilities.

1.1.2 Purpose

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

1.1.3 Objectives

The objective of this document is to enable CCWM to:

- Align its activities with international and national professional best practice standards.
- Formalise its collection management activities within the larger framework of University heritage management policies.
- Clarify its responsibility for University of Sydney collections that are not within its accessioned collections or current physical control.
- Communicate its collection management and curatorial standards to University and community partners.

1.1.4 Scope

These guidelines cover the moveable heritage items and collections of CCWM as defined in the University's Heritage Management Policy 2014 (amended 2017). Collections of other University departments, except where specifically mentioned, are outside the scope of these guidelines.

1.1.5 Management Authority

CCWM is an administrative unit of the department of Museums and Cultural Engagement, within the Office of the Vice-Principal - External Engagement at the University of Sydney. CCWM is managed by the Director, Museums and Cultural Engagement (CCWM Director). CCWM has the authority to manage heritage assets on behalf of the University.

These guidelines have been endorsed by the CCWM Director.

1.2 Chau Chak Wing Museum

1.2.1 Legal framework

The University of Sydney (ABN 15211 513 464) is a body corporate established under the University of Sydney Act 1989 (NSW). The University was established in 1851 by Act 14 Vic No 31 and is a statutory corporation under the University of Sydney Act 1989 (NSW) (USyd Act). University of Sydney Act of Incorporation 1850. The University of Sydney Act includes a wide range of general and ancillary functions to support the furtherance of those objects. Providing access to cultural collections is consistent with and fall within the University's objects and functions, for example, to provide cultural services to the community (section 6(3)(c)).

The Chau Chak Wing Museum as a named administrative unit within the University was created by operation of the Senate's delegated powers, Senate Resolution 3 August 2015, SEN_5/15_64: Point 3.

1.2.2 History of the Organisation

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

The Chau Chak Wing Museum and its collections are founded on the previously separate, Nicholson collection, Macleay collections and the University Art collection. These collections date to the University's early years. The collections are of considerable historical, cultural and scientific significance and have long histories of use within the University and the larger community.

In 2002 while still operating as separate museums these collections were placed under a single executive structure as Sydney University Museums. This step was taken by the University to better manage its heritage assets, support related research activities and public programs, centralise marketing and promotion and share the skills and experience of specialist staff.

In November 2020 the Chau Chak Wing Museum building opened with the generosity of Dr Chau Chak Wing, the Chinese-Australian businessman and philanthropist and our other donors: The Ian Potter Foundation, Nelson Meers Foundation and Penelope Seidler AM. With the completion of the new museum building a name change to Chau Chak Wing Museum was formalised.

- The Nicholson collection is Australia's oldest university collection and largest of its kind in the Australasian region. It was established in 1860 as the University of Sydney's Museum of Antiquities, renamed in 1904 as the Nicholson Museum in honour of its founder Sir Charles Nicholson. Throughout the 20th century the Nicholson collection has expanded through archaeological excavation and sponsorship, international diplomatic relationships, art market purchases and private donations with a focus on the cultures of the ancient Mediterranean (Greece, Italy and Cyprus), Egypt and the Middle East. Between 1903 and 2002 the Nicholson collection was managed under the auspices of the Department of Classics, later the Department of Archaeology and was primarily regarded as a publicly accessible teaching collection. Prior to its incorporation into the CCWM, the collection had a dedicated exhibition space in the University's Quadrangle.
- The Macleay collections encompass ethnography, historic photography, scientific instruments and natural history. Ethnography and natural history are the foundation collections. The oldest entomology collections were bequeathed to the University of Sydney by William Sharp Macleay, alongside the large donation of natural history and ethnography by his cousin William John Macleay in 1887 to promote the study of science and housed in the purpose-built Macleay Museum building from 1891. From the 1970s the Macleay collections grew to include historic photography plus instruments and apparatus of scientific work. From the 1990s the University's repatriation program has managed the colonial collections of human and highly spiritual material of Aboriginal and Torres Strait Islander peoples. Before moving into the Chau Chak Wing Museum, the collections were displayed as the Macleay Museum on the top floor of the Macleay Building. The collections have longstanding research and teaching relationships with the University's science faculty, particularly biological sciences, as well as with the arts and social science departments.
- The University Art collection began with the foundation of the University itself in 1850. Since then, they have grown to include paintings, photography, prints, sculpture, public art and decorative art objects. The collections are displayed throughout the University and before moving into the Chau Chak Wing Museum had a dedicated gallery space in the War Memorial Arch adjacent to the University's Quadrangle for temporary exhibitions. The University Art collection has strong collaborative relationships with the Department of Art History and Film Studies, Sydney College of the Arts, the Power Institute Foundation for Art and Visual Culture and the University of Sydney Union.
- The University General collection was created in the 2000s and was required when the three separate Museums came together under the umbrella management of Sydney University Museums from 2002. The collection includes objects of importance to the heritage of the University but that are outside the existing remit of the Nicholson, Macleay and University Art collections.

1.2.3 Professional Role within the University

Chau Chak Wing Museum manages, researches and interprets the objects, artwork and specimens of its collections.

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

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

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

1.2.4 Related Collections

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

1.3 Mission

1.3.1 Chau Chak Wing Museum Mission Statement

Chau Chak Wing Museum participates in the continuing excellence of teaching, learning, research and community engagement of the University.

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

1.3.2 Interpretation of the Mission

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

- The collections exist for the benefit of University students and staff and the wider local, national and international community.
- The collections will be strategically developed to reflect and support the historic, cultural and scientific identity of the University.
- CCWM will promote the sharing of knowledge, documentation and collections with museums and cultural organisations in the countries and communities of origin. CCWM will work collaboratively with Aboriginal, Torres Strait and Pacific Islander museums, keeping places and cultural centres to care for the collections.
- The collections will be made accessible to engage visitors through teaching, exhibitions, scholarly research and public events to support the educational and research mission of the University.

1.3.3 CCWM Vision Statement

'Find the Unexpected'.

1.4 The Collections

The University of Sydney holds significant collections of antiquities, archaeology, art, ethnography, history and natural history. These collections are used for teaching and research and provide an opportunity for the University to contribute to the cultural life of the nation.

1.4.1 Significance

The Chau Chak Wing Museum holds almost 500,000 items spanning millennia, across 12 collecting categories which intersect the four principal collections – Nicholson, Macleay, University Art and the University General. The collections form a significant part of the national heritage.

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

As custodians of these uniquely valuable cultural and scientific collections, CCWM is mandated to preserve them so they may be studied and enjoyed by future generations. CCWM acknowledges the differently oriented significance of the collections to Aboriginal and Torres Strait Islanders and are committed to work with communities about their use and material conservation.

1.4.2 Strengths

CCWM collections include material in the following collecting areas within its four principal collections – Nicholson, Macleay, Art and General collections:

- Antiquities
- Archaeology (Aboriginal Australian, Post Classical to Early Modern and Historical)
- Art
- Decorative Arts, Design and Furniture
- Ethnography
- Geology
- Historic Photography
- Natural History
- Numismatics
- Rare Books and Maps
- Reproductions/Casts/Fakes/Forgeries
- Scientific Instruments and Apparatus

The Nicholson collection, principally an antiquities and numismatic collection, is the largest and most prestigious of its kind in Australia. The core strengths encompass: ancient Egyptian cultural heritage from Predynastic to Byzantine - Coptic period including mummified human remains; ancient Cypriot art and artefacts from Early Bronze Age to Late Roman period, including a significant portion from excavations sponsored or conducted by the University of Sydney; ancient Greek and Italian ceramics, sculpture and numismatics with significant holdings of figured South Italian pottery; artefacts and cultural items from the ancient cultures of the Middle Eastern Region including Jericho and the Levantine region, Mesopotamia and Harappa, with representative sherd collections from across West Asia dating from Natufian period into the Islamic period.

The Macleay collection incorporates multiple collections.

Macleay Ethnography collection includes significant material documenting cultural and social life acquired from First Nations cultures of Australia and the Pacific region. The collections document aspects of cultural practice and social life, diverse histories, ancestral achievements and relationships. Collection themes include: trade with Europeans, cultural resistance / accommodation / change in the 20th century, research collaborations and interactions with University staff. Curation depends upon collaboration with First Nations peoples and recognises the collections as part of a continuum of living cultures and histories. Highlights include the oldest known Northern Australian bark paintings in a public museum, UNESCO Australian memory of the World listing project and key images of communities taken by University staff in the early 20th century. The collections originating with Macleay's donation include unique and rare materials of Aboriginal and Torres Strait Islander peoples collected between 1860s-1880s.

Macleay Historic Photograph collection comprises photographs documenting life primarily in Australia and the Pacific region but also with coverage of other parts of the world. Landscape views include sites of antiquity. The collection dates from the 1840s to around the 1970s, as captured by both commercial and amateur photographers. Formats range from direct positives, glass and film negatives, photographic prints and transparencies. An important focus is photographs related to the work of the University, with major holdings being the teaching lantern slide collections of several departments. A representative collection of historic photographic equipment is held in the scientific instruments and apparatus collection.

Macleay Scientific Instruments and Apparatus collection consists primarily of objects formerly used by University departments – in particular by Chemistry, Engineering, Geosciences, Physics, Physiology, Biological Sciences and the Sydney Teachers' College. The collection reflects the history of science at the University, its teaching and research. Collection strengths are microscopy, measuring and calculating instruments and teaching models. A technology collection includes audio-visual equipment, lighting and office equipment and timepieces. There is also a representative collection of historic photographic equipment.

Macleay Natural History collection has its origins in the collection of insects begun by Alexander Macleay and has its origins in the 18th century European expansion, with specimens dating from the 1750s to the 1980s. In 1826 Alexander Macleay brought the collection with him to Australia upon his appointment as Colonial Secretary for NSW in 1826. It has since developed into an extraordinary natural history collection that encompasses several branches of entomological, vertebrate and invertebrate orders. Highlights include 830 name-bearing types of animal species, particularly of insects, fishes, mammals and birds. Adding to the foundation collection, it also includes collections from Australia, Cuba and the Pacific made by key 19th century naturalists, such as Sir William J. Macleay, William S. Macleay, Edward P. Ramsay, Nikolay N. Miklouho-Maclay, Julian Tenison-Woods, George Masters, Frederick W. Hutton and Francoise L. de Castelnau. The collections retain the materials and methods of their 19th curation, such as the historically important entomology cabinetry and are important references for history of science.

The University Art collection comprises visual works by artists from Australia, the Pacific, Asia, Europe and the Americas. The collection began with the gift of European paintings and tapestries by Sir Charles Nicholson in the 1860s. Alongside these treasures, the University initiated commissioned portraits of all Chancellors and Vice-Chancellors for the Great Hall. A century later a major reorientation of the art collection focused on international modernism and contemporary art, inspired by the bequests of Edith Power and JW Power. Other generous bequests from Lucy Swanton, Justice Roderick Meagher, M J Morrissey and most recently Neville Grace, have strengthened the collection in the fields of European and American modernism, Australian art, particularly First Nation art and East Asian art. In the last decade alongside several major Indigenous commissions in the university grounds, the Union art collection and the Tin Sheds poster collection have been transferred to the CCWM.

The University General collection holds items related to the history of the Chau Chak Wing Museum's collections or collectors, or the history of the University of Sydney. Items in this collection represent a variety of media, including visual art, furniture, decorative art, numismatics, cartography, documents and memorabilia and most recently geology. Collections of note include mineral samples acquired in 1866 by Thompson (first reader in geology), Dixon collection of Broken Hill minerals, Liversidge acquired minerals and fossils, Antarctic rocks collected by Edgeworth David.

1.4.3 Purpose

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

- **Research:** The collections inspire and drive research and scholarship, resulting in significant public programs, publications and exhibitions. The multi-disciplinary collections attract research grants, cross-institutional collaborations and the involvement of communities from where the material originated. CCWM aims to present and support the University's broad research programs and stimulate further research and collection. A partnership with Sydney Analytical extends the technological expertise available to researchers.
- **Teaching and Learning:** The collections are used in both the undergraduate and graduate curricula of the University of Sydney, primary through CCWM object-based learning programs. The current schools' education program offers curriculum-based learning for students from Kindergarten to Year 12. Continued learning is key to all other public programs and engagement.
- **Community Engagement:** CCWM is a public museum that provides a wide range of public programs including exhibitions, talks, activities, lectures and heritage and education tours.

1.4.4 Categories

CCWM is responsible for both collections and collections-related property. Every object, artwork or specimen in the CCWM collections will be categorised as being part of the permanent collection, the custodial collection, or the education collection. Related property is categorised as unaccessioned assets.

- **Permanent Collection:** Includes all objects, artworks or specimens that are formally accessioned into the CCWM collections. Material in this category is selected for its appropriateness for exhibition, research and teaching functions of CCWM as informed by its Mission Statement. This collection is maintained for permanence and is subject to the highest professional standards regarding its documentation, inventory control and physical care. Removal from the permanent collection requires formal deaccession per section 3.0 of these guidelines.
- **Custodial Collection:** Ancestral remains and sacred objects of Aboriginal, Torres Strait Islander and Pacific Islander origin have been deaccessioned from the permanent collections and await claim by relevant communities. CCWM does not seek to expand this collection but provides transitional care in line with national and international standards. CCWM is represented through the University's Repatriation Committee and works with the national Advisory Committee for Indigenous Repatriation
- **Education Collection:** Includes material used to support CCWM teaching functions through its hands-on education and public programs and is largely comprised of duplicate or unprovenanced material deaccessioned from the permanent collections. Considered 'consumable' by virtue of its use, its standard of care is intended to prolong its functional life.
- **Unaccessioned Assets:** Comprises a diverse range of objects and specimens that may or may not qualify for inclusion in the permanent or education collections. These can include object related supports, exhibition props or historical associated material associated with the collections. CCWM seeks to reduce its holdings of unaccessioned assets through ongoing assessment.

1.5 Ethics

Chau Chak Wing Museum aims to conduct activities in relation to its collection in a manner that responds to the highest ethical and professional standard.

1.5.1 Legal framework

CCWM will act within local laws, by-laws and regulations, NSW State and Australian Federal laws as well as adhere to international agreements between Australia and other countries.

1.5.2 Code of Conduct

CCWM will abide by international, national and state/territory protocols relating to museum practice, moveable heritage and heritage places and fabric. All collections related activity will be in accordance with the ICOM *Code of Ethics for Museums* 2017, the UNESCO *Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property*, 1970 and the UNESCO *CITES Convention* 1975.

CCWM staff members will act in accordance with the standards of the University of Sydney's *Staff And Affiliates Code Of Conduct* 2021 and *Delegations Of Authority Rule* 2020. All activities relating to the collections including the acceptance of gifts, ownership of intellectual property, outside employment and consulting, personal and professional conduct, public comment and issues of discretion and confidentiality must be within university guidelines.

1.5.3 External interests and conflict of interests

All collections related activity must comply with the University's *External Interests Policy* 2010. All academic staff and professional staff with decision making responsibility are required to make an annual declaration of their external interests. Staff are also required to submit, even if they do not have any external interests to declare. Staff can also submit or update a declaration at any time if their circumstances change.

Private collecting or work product by staff or other persons employed by or closely connected with CCWM is not necessarily a conflict of interest and may enhance expertise. However, no collecting or work product by such persons can in fact or in appearance conflict with the interests of CCWM and its collecting programs. In no case should staff compete with CCWM in any personal activity

or act as or for dealers. CCWM must always be given first right of refusal to acquire any object or specimen. CCWM staff cannot personally profit from any acquisition, exhibition or public program.

1.5.4 Valuations and Appraisals

CCWM staff will not provide appraisals for tax deductions or other external purposes but will assist the University to confirm valuations for internal valuation and insurance purposes.

Identification and authentication will be given only for professional or education purposes.

1.5.5 Aboriginal and Torres Strait Islander cultural heritage

CCWM is represented through the University's Repatriation Committee and works with the national Advisory Committee for Indigenous Repatriation. Collection, curation and management of Australian Aboriginal and Torres Strait Islander items is undertaken with Indigenous engagement. CCWM will respect, connect with and support Aboriginal and Torres Strait Islander people and their Indigenous Cultural and Intellectual Property (ICIP), in all aspects of museum and gallery activities and projects. CCWM supports the University strategy *One Sydney Many People (2021-2024)* and the national Australian Museums and Galleries Association Inc policy, *Continuous Cultures, Ongoing Responsibilities (2005)*.

1.5.6 Sensitive museum items

Collection, curation and management of culturally sensitive objects and ancestral remains from outside Australia will be conducted in line with the ICOM *Code of Ethics for Museums*. Museum collections reflect the cultural and natural heritage of the communities from which they have been derived. As such, they have a character beyond that of ordinary property, which may include strong affinities with national, regional, local, ethnic, religious or political identity. The *Collections Guidelines* are designed to accommodate responsiveness to individual situations.

1.5.7 Restitution and returns

CCWM will actively engage in open dialogues with source communities to share knowledge and collaborate in the identification and documentation of collections that may have been acquired in unacceptable circumstances. CCWM supports the development of the International Council of Museums, UMAC (2022) *Guidance for Restitution and Return of Items from University Museums and Collections*.

1.5.8 Research

In relevant activities relating to collections or exhibition research, CCWM staff members will act in accordance with the University's *Research Code of Conduct 2019*.

1.5.9 Collection Use

CCWM staff will not under any circumstance interact, remove or transport collection material outside their position description or delegation without correct and authorised direction. They will adhere to the *CCWM Collections Management Procedures (draft)*.

1.5.10 Education

CCWM staff will educate its visitors and stakeholders in the ethical and legal responsibilities of natural and cultural heritage material conservation, curation and collecting practices.

1.6 Implementation

1.6.1 Responsibilities

The CCWM Director is charged by the University with stewardship authority for the collections. The CCWM Director reports to the Office of the Vice-Principal, External Engagement who has oversight responsibility for CCWM.

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

CCWM relies on the competence of its staff and the advice of outside experts where necessary to implement provisions of these guidelines. All collections management and curatorial staff must be

thoroughly familiar with this document. Other staff or volunteers whose work relates to CCWM collections should be conversant with its contents. Staff responsibilities specific to each guideline section are outlined therein and detailed in the *CCWM Collections Management Procedures (draft)*.

1.6.2 Documentation

Staff and volunteers working with CCWM collections must document activities as detailed further in section 8.0 of these guidelines and will proceed in accordance with the University's *Recordkeeping Policy* and *CCWM Collections Management Procedures (draft)*.

1.6.3 Reporting

In accordance with the University's formal reporting requirements, CCWM reports on its collections related activities to:

- Office of the Vice-Principal, External Engagement on a regular basis regarding statistics on visitation, teaching use of collections, research enquiries, internship and other student participation, loan activity and new acquisitions.
- Internal Audit Office on an annual basis as per the *Asset Financial Management Procedures* with a "Certificate of Verification of Heritage Assets" for all collections within its care to confirm updated values for correct insurance coverage.

1.6.4 Review

It is intended to be a document that will be adapted in the future to reflect the growth, expansion and developing professional practice of CCWM. It will be reviewed every five years or on an ad hoc basis if required.

Amendment history- *CCWM Collections Guidelines*, Section 1: Introduction

Version	Date	Notes
Draft	2009	
Version 1	2013	Published online
Version 2	2023	Review post opening of CCWM
Review due	2028	

1.7 Related Documentation

1.7.1 University References

ASSET FINANCIAL MANAGEMENT PROCEDURES 2019

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2019/481&RendNum=0>

DELEGATIONS OF AUTHORITY RULE 2020

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EXTERNAL INTERESTS POLICY 2010

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2011/75&RendNum=0>

HERITAGE MANAGEMENT POLICY 2014

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2011/9&RendNum=0>

One Sydney, Many People, Strategy 2021-2024

<https://intranet.sydney.edu.au/content/dam/intranet/documents/strategy-and-planning/osmp-2021-24.pdf>

RECORDKEEPING POLICY 2017

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2011/83&RendNum=0>

RESEARCH CODE OF CONDUCT 2019

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2013/321&RendNum=0>

STAFF AND AFFILIATES CODE OF CONDUCT 2021

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2011/65&RendNum=0>

1.7.2 External References

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

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

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SECTION 2: ACQUISITION

2.1 Overview

2.1.1 Definition

Chau Chak Wing Museum *Collections Guidelines Section 2: Acquisition* informs the management and development of the Chau Chak Wing Museum (CCWM) collections and details the way museum staff discharge their responsibilities.

Acquisition refers to the process by which CCWM obtains material for its collections. Acquisition is defined as the transfer of ownership of property. Acquired material can be officially incorporated into the permanent collection through the accessioning process.

2.1.2 Purpose

CCWM shall strive to build on and refine its existing collections. These acquisition guidelines establish the intellectual and administrative principles that support the collection of cultural and scientific material by CCWM. It defines the structure, standards, collecting principles and priorities of CCWM collections.

2.1.3 Objectives

The objective of these guidelines is to enable CCWM to align its acquisition activities with the *National Standards for Australian Museums and Galleries* (2016), which state that:

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

2.1.4 Scope

These guidelines apply to staff of CCWM.

These *Section 2: Acquisition* guidelines primarily cover the permanent collections of CCWM. Guidelines pertaining to the custodial collection, education collection, or unaccessioned assets are covered only where specifically mentioned.

Files, documents, images and sound and vision recordings associated with material held in the collections, are handled as part of overall collection documentation and are referred to in *Section 8: Documentation and Collection Management Systems* of these guidelines.

2.2 Permanent Collection

2.2.1 Definition

The permanent collection category as noted in section 1.4.4 includes all objects or specimens that are formally accessioned into the collections of CCWM. Items are selected for their utility in fulfilling the exhibition, research and teaching functions of CCWM as informed by its Mission Statement and will conform to the qualitative criteria outlined in sections 2.3 and 2.4 below.

2.2.2 Standard of Care

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

2.3 Selection Criteria

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

2.3.1 Essential Criteria

- **Significance:** The object, specimen or collection has historic, cultural, social, aesthetic, scientific or technological significance that relate to the priorities advanced by Chau Chak Wing Museum and outlined in Section 2.4.
- **Provenance:** The object, specimen or collection has been thoroughly researched and due diligence undertaken. To safeguard the integrity of the collection and guard against misrepresentation, it is critical that, prior to acquisition, regardless of method, the ownership, provenance and authenticity be established and documented. See Section 2.5.4.
- **Representativeness / Rarity:** The object, specimen or collection is unique or relatively rare, a fine example of its type, or not well represented in CCWM holdings.
- **Interpretive Potential:** The object, specimen or collection has high display and / or research value.
- **Completeness / Condition:** The object, specimen or collection is suitable for exhibition, long-term storage and material conservation with minimal resource outlay.

2.3.2 Specific Criteria

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

2.4 Collecting Priorities

Material must conform to the collection priorities outlined below.

These collections are organised within the existing administrative structure and are devised to direct future acquisitions. CCWM acknowledges that its current holdings include some valuable material that falls outside these collection areas, as well as material that fall across them and recognises the value of such interdisciplinary collecting.

2.4.1 Nicholson collection

The Nicholson antiquities collection comprises artefacts from Egypt, Greece, Italy, Cyprus, the Near and Middle East and Europe. It encompasses a wide variety of material types including ceramics, sculpture, metalwork, glassware, numismatics, stone tools, personal items and jewellery, inscriptions, textiles, archaeological sample material and the biological remains of animals and humans. In addition to ancient material, the antiquities collection also includes plaster casts and similar reproduction artefacts produced in the late 19th to early 20th century to supplement the ancient collections.

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

- Antiquities, dating from early pre-history to the 'late antique' period (as defined by the regional standard i.e. Byzantine, Coptic, Early Islamic period), related to the ancient cultures geographically aligned to the collection area strengths outlined in section 1.4.2.
- Ancient to Medieval (defined by regional standards of time periods) period cultural material that strengthens the teaching and learning aims of the CCWM and addresses significant gaps in the collection, including items that reflect East Asia and regions connected to the current collection area strengths.
- Archaeological material from University departments that may broaden CCWM archaeological research potential or link existing collection areas to archaeological research conducted by the University.

2.4.2 Macleay Ethnography collection

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

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

Regional strengths:

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

Thematic strengths:

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

2.4.3 Macleay Historic Photograph collection

The historic photograph collection holds items relating to the history of photography in Australia and the Pacific.

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

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

- Items that relate to significant histories of the University.
- Images of Pacific and Australian Aboriginal and Torres Strait Islander communities dating from early – mid 20th century.
- Images by noted photographers.
- Examples of rare photographic processes.

2.4.4 Macleay Scientific Instruments and Apparatus collection

The scientific instruments and apparatus collection primarily consists of scientific instruments and equipment used by departments of The University of Sydney. The collection reflects the history of science teaching and research at the University within the context of the evolution of scientific practice and the changing materials and equipment in the progress of science. The collection dates mostly from the late 19th century, although there are some earlier dated objects.

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

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

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

- Scientific instruments or equipment used to teach or practice science at the University connected to areas of significant research.
- Significant photographic equipment associated with the Historic Photograph collection.
- Objects that demonstrate the evolution of scientific practice.
- Objects that provide a better example of an existing collection item.

2.4.5 Macleay Natural History collection

The natural history collection is the foundation collection of the Macleay Museum and consists almost entirely of zoological and entomological specimens with most major taxonomic groups represented. It was largely assembled by three generations of the Macleay family before 1900 with the oldest specimens dating to the mid-1700s. The collection has world-wide coverage, with strong representation from Australia, South America, Southern Africa and New Guinea. Across the natural history collections there are over 800 type specimens, the majority within entomology.

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

2.4.6 University Art collection

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

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

2.4.7 University General collection

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

A new area of acquisition is geology, and comprises minerals, rocks, fossils and meteorites. The focus of the geology collection is on historic material used in and related to the teaching of the geosciences at the University from 1866. CCWM will retain discreet historic collections including fine examples of species for display and lesser samples for teaching use.

An item will be considered for acquisition into the University General collection if it firstly does not meet the collecting priorities of the Nicholson, Macleay Ethnography, Macleay Historic Photograph, Macleay Scientific Instruments and Apparatus, Macleay Natural History, or University Art collections. Then if it meets one of the following criteria:

- A significant geology specimen related to the current holdings.

- Holds a significant history related to the Chau Chak Wing Museum's collections or collectors, or the history of the University of Sydney.
- Expresses a significant aspect of the heritage of Chau Chak Wing Museum or the University of Sydney.
- Provides a better example of an existing collection item.

2.5 Standards

2.5.1 Legal Framework

CWM will abide by State and Federal law regulating the protection of environmental and cultural heritage and international agreements between Australia and other countries.

2.5.2 Code of Conduct

CCWM will abide by international, national and state/territory protocols relating to museum practice, moveable heritage and heritage places and fabric.

Acquisitions will be in accordance with the ICOM *Code of Ethics for Museums* 2017, the UNESCO *Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property*, 1970; the UNESCO *CITES Convention* 1975; and with the terms of *Protection of Movable Cultural Heritage Act* 1986 (Cth) and *the Aboriginal and Torres Strait Islander Heritage Protection Act* 1984 (Cth).

CCWM staff members will act in accordance with the standards of the University of Sydney's *Staff And Affiliates Code Of Conduct* 2021 and *Delegations Of Authority Rule* 2020.

2.5.3 External interests and Conflict of Interest

CCWM will have first right of refusal to accept into the collection objects or specimens from a University faculty or administrative unit that are no longer required by that faculty or administrative unit.

All acquisition proposals must comply with the University's *External Interests Policy* 2010. All academic staff and professional staff with decision making responsibility are required to make an annual declaration of their external interests. Staff are also required to submit, even if they do not have any external interests to declare. Staff can also submit or update a declaration at any time if their circumstances change.

Private collecting or work produced by staff or other persons employed by or closely connected with CCWM is not necessarily a conflict of interest and may enhance expertise. However, no collecting or work produced by such persons can in fact or in appearance conflict with the interests of CCWM and its collecting programs. In no case should staff compete with CCWM in any personal activity or act as or for dealers. CCWM must always be given first right of refusal to acquire any object or specimen.

CCWM staff cannot personally profit from any acquisition.

2.5.4 Due Diligence, Authenticity and Provenance

Due diligence requires that every endeavour is made to verify the accuracy of information before deciding a course of action, particularly in identifying the source and history of cultural material and specimens considered for acquisition. CCWM staff will undertake due diligence as detailed in *Australian Best Practice Guide to Collecting Cultural Material* (2015) prior to proposing an object or specimen for acquisition.

Curators must be transparent in providing evidence of their professional judgement in determining the proposed object or specimen's authenticity, legal and ethical status. They must document it is sound and substantially free of risk and if it is appropriate to acquire.

2.5.5 Aboriginal and Torres Strait Islander cultural heritage

CCWM will undertake consultation with relevant communities in considering acquisition of Aboriginal and Torres Strait Islander material, in accordance with the national Australian Museums and Galleries Association Inc Indigenous heritage policy, *Continuous Cultures, Ongoing Responsibilities* (2005).

All proposed acquisition of Aboriginal and Torres Strait Islander cultural material will be done with the endorsement of the CCWM Aboriginal and Torres Strait Islander advisory committee who will confirm consultation with relevant communities especially in circumstances where materials offered are suspected to be of sensitive or cultural significance.

2.5.6 Sensitive material and Custodial collection

CCWM will not acquire sensitive material into the permanent collections.

Sensitive cultural material of First Nations people not able to be transferred to the appropriate First Nations community will be held by CCWM as part of its custody collection on behalf of traditional owners. Legal transfer will be made through a loan agreement.

When relevant community members or their representatives of a sensitive cultural item's community seek the return of material held in custody by CCWM, this will be done with the endorsement of the CCWM Aboriginal and Torres Strait Islander advisory committee who will confirm consultation with relevant communities especially in circumstances where materials offered are suspected to be of sensitive or cultural significance.

2.5.7 Rights

CCWM respects the copyright and moral rights of the creators of all works acquired for the collections. CCWM will adhere to the provisions of the *Copyright Act 1968*.

Rights which fall under the *Copyright Act* include the moral rights of right of attribution, right against false attribution and right of integrity.

CCWM will seek to acquire all intellectual property rights associated with collections material at the time of acquisition. CCWM will conclude a clear agreement with the owners of material or the transferring party on the nature of the acquisition, including the status of any associated intellectual property rights

2.6 Methods of Acquisition

2.6.1 Donations

- Outright Donation

Title in a donation passes when the University of Sydney's Deed Poll for donation is executed by the donor.

- Donations under the Commonwealth Cultural Gifts Program

CCWM participates in the Commonwealth Cultural Gifts Program and will accept transfer of title through the programs certificate of donation or the University of Sydney's Deed Poll for donation.

- Bequests

Title is transferred to CCWM on delegated signature on a Bequest Receipt. This receipt can be executed only after receipt of the will and confirmation of probate being completed. Bequests do not have to be accepted. When bequests are accepted, all, some or none of the bequeathed objects may be accessioned into the CCWM permanent collection.

2.6.2 Purchases

All purchases are made in line with the University's *Procurement Policy*.

- Straight Purchases

Title is transferred as per the University Purchase Order.

- Auction Purchases

Title is transferred as per the auction house terms; their terms must form part of the acquisition proposal.

- Commissions

Title will be transferred as defined in the University of Sydney's Contract with the Artist or as per the University Purchase Order.

2.6.3 Internal Transfers

Internal transfers move items for which the University already holds title to the care and responsibility of CCWM. Transfer from another department of the University to CCWM are

formalised through the execution of the CCWM Internal Transfer agreement by the CCWM Director and the equivalent Head of the department from which the items are coming.

The University's *Asset Financial Management Procedures* require that any University assets being disposed of that may have historical, cultural or scientific significance must be offered by accountability areas to the University's museums or collections.

2.6.4 Acceptance Considerations

CCWM will acquire items only if it can provide adequate resources to protect, document, conserve, store, research, exhibit and interpret those objects, as applicable, in accordance with the highest professional standards.

CCWM intends that all objects or specimens in the permanent collection shall have permanency in the collections as long as they retain their physical integrity, identity, authenticity and documentation and remain relevant as per these guidelines.

CCWM will only acquire items that have restrictive or conditional caveats in the most exceptional circumstances when the long-term advantage to the University is unequivocal. Such acquisitions must be accompanied by a legal document that conveys any restrictions or conditions. A reasonable date will be set for their termination and the conditions under which their force may terminate will be determined at the time of the acquisition. CCWM will strictly adhere to the restrictions unless a change is authorised by a court of the appropriate jurisdiction.

Objects or specimens found in the collections without documentation, or material associated with unresolved unclaimed loans, will be tracked as unaccessioned assets until such time as the University is able to demonstrate superior rights of possession in accordance with the *NSW Limitation Act 1969* and through reasonable steps to identify owner or heirs or other possible claimants. At such time, material will be eligible for accession or disposal.

Acquisitions to CCWM do not guarantee inclusion in the CCWM's permanent collection. Material not accessioned into the permanent collection will be categorised within either the custodial or education collections; or deemed an unaccessioned asset.

CCWM will cooperate with First Nations Art and Culture Centres or Keeping Places, other museums, galleries, historic preservation organisations, libraries and agencies with similar or overlapping interests and collecting policies, in order to avoid duplication and where possible, to develop an integrated plan for material conservation, research and interpretation. Where material offered to CCWM would be more appropriately located in other collecting institutions, donors or vendors will be referred to those organisations.

2.7 Implementation

2.7.1 Responsibilities

Proposals for acquisition are prepared by the relevant curator, with comment from collections management and public program staff. Curatorial staff are relied upon for a judgment of significance, provenance, authenticity and value in their specialist fields. Collection management staff will evaluate storage, conservation and access implications. Public engagement staff will comment on access and education potentials.

Proposed acquisitions are tabled for consideration at scheduled acquisition meetings. Discussion with other curators, collection management and public engagement staff is necessary to ensure comprehensive understanding of proposed donations in context of total CCWM collections. Advice from external experts may be sought where necessary.

Proposals for acquisition will be considered on their merit and reflect these guidelines. Acquisition proposals presented at CCWM acquisition meetings for consideration and endorsed will be submitted to the CCWM Director for consideration and formal approval.

2.7.2 Authority

The CCWM Director has delegated authority to approve acquisitions within established delegation limits. All proposed acquisitions with a value over the Director's delegation must be approved in line with the University's *Delegations of Authority Rule*. The Director will refer specific cases for final approval to the Vice-Principal, External Engagement, who may refer to Vice Chancellor when required based on the required delegation required.

2.7.3 Documentation

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

Complete records must be kept of all acquisition decisions, including material that is not accepted for the collection. For material acquired into the collection, records will include assessment of significance, condition reports, transfer of legal title, provenance verification and any related correspondence, research and images.

Documentation of acquisition and accession activity is detailed further in section 8.0 of these guidelines and will proceed in accordance with the University's *Recordkeeping Policy* and *CCWM Collections Management Procedures (draft)*.

2.7.4 Reporting

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

- Office of the Vice-Principal, External Engagement on a regular basis regarding statistics on visitation, teaching use of collections, research enquiries, internship and other student participation, loan activity and new acquisitions.
- Internal Audit Office on an annual basis as per the *Asset Financial Management Procedures* with a "Certificate of Verification of Heritage Assets" for all collections within its care including a listing of new acquisitions.

2.7.5 Review

The CCWM Collections Acquisition Guidelines will be reviewed every five years or on an ad hoc basis if required.

Amendment history- Section 2: Acquisition

Version	Date	Notes
Draft	2009	
Version 1	2013	Published online
Version 2	2023	Review post opening of CCWM
Review due	2028	

2.8 Related Documentation

2.8.1 University References

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EXTERNAL INTERESTS POLICY 2010

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One Sydney, Many People, Strategy 2021-2024

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STAFF AND AFFILIATES CODE OF CONDUCT 2021

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2.8.2 External References

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https://www.amaga.org.au/sites/default/files/uploaded-content/website-content/SubmissionsPolicies/continuous_cultures_ongoing_responsibilities_2005.pdf

International Council of Museums. (2017). *ICOM Code of Ethics for Museums*. Paris: ICOM.

<https://icom.museum/wp-content/uploads/2018/07/ICOM-code-En-web.pdf>

National Standards Taskforce. (2016). *National Standards for Australian Museums and Galleries (version 1.5 September 2016)*. Melbourne: Australian Museums and Galleries Association Inc (Victoria office).

<https://www.amaga.org.au/resources/national-standards-for-australian-museums-and-galleries>

NSW Limitation Act 1969

<https://legislation.nsw.gov.au/view/html/inforce/current/act-1969-031>

Protection of Movable Cultural Heritage Act 1986

<https://www.legislation.gov.au/Details/C2016C01056>

The World Conservation Union (1975) *CITES (Convention on International Trade in Endangered Species of Wild Fauna and Flora)*

<https://cites.org/eng/disc/text.php>

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

<https://rm.coe.int/090000168079fd8b>



SECTION 3: DEACCESSION and DISPOSAL

3.1 Overview

3.1.1 Definition

Chau Chak Wing Museum *Collections Guidelines Section 3: Deaccession and Disposal* informs the management and refining of the Chau Chak Wing Museum (CCWM) collections and details the way museum staff discharge their responsibilities.

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

3.1.2 Purpose

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

3.1.3 Objectives

The objectives of these guidelines are to enable Chau Chak Wing Museum to:

- Transfer objects or specimens, which by virtue of their subject focus or quality, may be better placed in another part of the University, another museum, recognised Aboriginal cultural centre or keeping place or similar public collecting institution.
- Dispose of items that are not required as part of the collection, in accordance with the guidelines set out under section 3.4 below.
- Repatriate ancestral remains or objects of cultural significance to recognised Cultural Centres, Keeping Places or State or National Museums in other countries associated with the item's communities of origin.

3.1.4 Scope

These guidelines apply to staff, affiliates and volunteers of CCWM.

These *Section 3: Deaccession and Disposal* guidelines cover the deaccessioning and disposal of objects and specimens from the CCWM permanent collection; and highlights guides for the return of custodial collection items, as defined in section 1.4.4.

3.2 Standards

3.2.1 Legal Framework

CCWM will abide by State and Federal law regulating property and the protection of environmental and cultural heritage, as well as any international agreements between Australia and other countries.

3.2.2 Code of Conduct, External interests and Conflict of interest

CCWM will abide by international, national and state/territory protocols relating to museum practice, moveable heritage and heritage places and fabric.

Deaccessioning and disposal of collection related items will be in accordance with the ICOM *Code of Ethics for Museums* 2017, the UNESCO *Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property*, 1970; the UNESCO *CITES Convention* 1975; and with the terms of *Protection of Movable Cultural Heritage Act* 1986 (Cth) and the *Aboriginal and Torres Strait Islander Heritage Protection Act* 1984 (Cth).

CCWM staff members will act in accordance with the standards of the University of Sydney's *Staff And Affiliates Code Of Conduct* 2021 and *Delegations Of Authority Rule* 2020.

Deaccessioned material will be documented, clearly justified, disposed of appropriately and be free from problems of ownership, conflict of interest and ethical and legal issues. CCWM can only dispose of property to which it has clear and unrestricted title.

Objects or specimens proposed for deaccessioning will be carefully assessed on the basis of established criteria outlined in section 3.3 below.

Raising funds for CCWM or the University through the sale of deaccessioned items is not a valid reason for deaccessioning. Such activity undermines the concepts of fiduciary responsibility and public trust. Any proceeds from the disposal of a collection object or specimen must benefit the care and development of the CCWM collections.

CCWM or University employees or anyone whose association with these bodies might give them an advantage in acquiring a deaccessioned object or specimen, may not acquire deaccessioned material by private sale or exchange. Additionally, these parties may neither act as private agents concerning the sale or disposal of collection material nor otherwise benefit from its sale or disposal.

3.2.3 Aboriginal and Torres Strait Islander cultural heritage

CCWM will undertake consultation with relevant communities in considering the repatriation of Aboriginal and Torres Strait Islander ancestral remains or any objects of cultural significance. CCWM will act in accordance with the national Australian Museums and Galleries Association Inc Indigenous heritage policy, *Continuous Cultures, Ongoing Responsibilities* (2005) and the ICOM *Code of Ethics for Museums*.

All proposed repatriations of Aboriginal and Torres Strait Islander cultural material will be done with the endorsement of the CCWM Aboriginal and Torres Strait Islander advisory committee who will confirm consultation with relevant communities especially in circumstances where materials offered are suspected to be of sensitive or cultural significance.

3.2.4 Sensitive material

Requests for repatriation of culturally sensitive objects and ancestral remains from outside Australia will be conducted in line with the ICOM *Code of Ethics for Museums*. Requests will be considered on a case-by-case basis.

3.2.5 Restitution and returns

CCWM will actively engage in open dialogues with source communities to share knowledge and collaborate in the identification and documentation of collections that may have been acquired in unacceptable circumstances. CCWM supports the development of the International Council of Museums, UMAC (2022) *Guidance for Restitution and Return of Items from University Museums and Collections*. Requests will be considered on a case-by-case basis.

3.3 Criteria for Deaccession

Deaccessioning is required only for items being removed from the CCWM permanent collection. Caution and transparency are essential in the deaccessioning process. The same careful assessment must be applied to objects or specimens recommended for deaccessioning as when they are proposed for accessioning. Recommendations should be based on research and consultation with subject specialists.

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

3.3.1 Significance to Collection

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

3.3.2 Significance of Object or Specimen

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

3.3.3 Redundancy

The object or specimen is over-represented in the collection and the multiples are not required for comparative research, the conservation requirements of exhibition changeover, or another CCWM purpose.

3.3.4 Sensitive Materials

Aboriginal and Torres Strait Islander culturally sensitive objects and ancestral remains appropriate for repatriation under endorsement of the CCWM Aboriginal and Torres Strait Islander advisory committee who will confirm consultation with relevant communities. Similar international material requested for return to the country of origin under the ethical principles advocated in the ICOM *Code of Ethics for Museums*.

3.3.5 Illegitimate Possession

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

3.3.6 Condition

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

3.3.7 Hazard

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

3.3.8 Administrative

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

3.4 Disposal

3.4.1 Interest of Donors and Artists

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

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

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

3.4.2 Disposal Options

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

- Repatriation to First Nations communities.
- Objects or specimens that have a significant cultural or scientific value, but which do not conform to these guidelines, should wherever possible be transferred to the most appropriate public institution.
- Objects or specimens accessioned from a faculty within the University may be returned to that faculty for unencumbered use by the faculty.
- Objects or specimens that do not have a significant cultural or scientific value but do have a market value may be disposed of by public auction or tender.
- Available objects or specimens will be transfer to Education collection where the object or specimen meets this collection's needs.
- Objects or specimens are not normally returned to the donor or heirs. However, there may be some cases where return is deemed appropriate. If the objects or specimens were acquired through the Cultural Gifts Program they cannot be returned to the donor or heirs.
- Objects or specimens that are degraded to the point where they are no longer recognisable or restorable may be destroyed or recycled for materials or components where appropriate.

- Objects containing hazardous materials which pose a risk to the collection or staff will be safely disposed.
- Objects or specimens that cannot be disposed of in any other way may be destroyed.

3.4.3 Hazardous Items

Disposal of hazardous objects or material must only be undertaken in line with the University's *Hazardous Waste* guide.

3.4.4 Proceeds from Disposal

All proceeds resulting from the sale of material from CCWM collections will be committed to the care and development of CCWM collections.

3.5 Implementation

3.5.1 Responsibilities

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

Material proposed for deaccession will be assessed by the relevant Senior Curator and Deputy Director in consultation with the Head, Collections Management and submitted to the CCWM Director for formal approval.

3.5.2 Authority

The CCWM Director must give written approval for every deaccession and the method of disposal. In accordance with the University's *Delegations of Authority* rule, the CCWM Director may refer specific cases for final approval to the Vice-Principal, External Engagement or Vice Chancellor as appropriate.

3.5.3 Documentation

Complete records must be kept of all deaccessioning decisions, the object or specimen involved and the disposal of the material. The relevant records will be amended in the collections documentation system, with the registration number retired, not deleted. Documentation of deaccession activity is detailed further in section 8.0 of these guidelines and will proceed in accordance with the University's *Recordkeeping Policy* and *CCWM Collections Management Procedures (draft)*.

3.5.4 Reporting

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

- Internal Audit Office on an annual basis as per the *Asset Financial Management Procedures* with a "Certificate of Verification of Heritage Assets" for all collections within its care including a listing of items deaccessioned from the collections.

3.5.5 Review

The CCWM Collections Acquisition Guidelines will be reviewed every five years or on an ad hoc basis if required.

Amendment history Section 3: Deaccession and Disposal

Version	Date	Notes
Draft	2009	
Version 1	2013	Published online
Version 2	2023	Review post opening of CCWM
Review due	2028	

3.6 Related Documentation

3.6.1 University References

ASSET FINANCIAL MANAGEMENT PROCEDURES 2019

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2019/481&RendNum=0>

DELEGATIONS OF AUTHORITY RULE 2020

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2011/72&RendNum=0>

EXTERNAL INTERESTS POLICY 2010

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2011/75&RendNum=0>

HAZARDOUS WASTE GUIDE

<https://intranet.sydney.edu.au/content/dam/intranet/user-documents/employment/safety-health-wellbeing/guidelines-training/hazardous-waste-guide.pdf>

HERITAGE MANAGEMENT POLICY 2014

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2011/9&RendNum=0>

One Sydney, Many People, Strategy 2021-2024

<https://intranet.sydney.edu.au/content/dam/intranet/documents/strategy-and-planning/osmp-2021-24.pdf>

PROCUREMENT POLICY 2019

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2011/40&RendNum=0>

RECORDKEEPING POLICY 2017

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2011/83&RendNum=0>

STAFF AND AFFILIATES CODE OF CONDUCT 2021

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2011/65&RendNum=0>

3.6.2 External References

Aboriginal and Torres Strait Islander Heritage Protection Act 1984

<https://www.legislation.gov.au/Details/C2016C00937>

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

https://www.amaga.org.au/sites/default/files/uploaded-content/website-content/SubmissionsPolicies/continuous_cultures_ongoing_responsibilities_2005.pdf

International Council of Museums, UMAC (2022) Guidance for Restitution and Return of Items from University Museums and Collections

<http://umac.icom.museum/wp-content/uploads/2022/03/UMAC-Guidance-Restitution-2022.pdf>

International Council of Museums. (2017). *ICOM Code of Ethics for Museums*. Paris: ICOM.

<https://icom.museum/wp-content/uploads/2018/07/ICOM-code-En-web.pdf>

The World Conservation Union (1975) *CITES (Convention on International Trade in Endangered Species of Wild Fauna and Flora)*

<https://cites.org/eng/disc/text.php>

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

<https://rm.coe.int/090000168079fd8b>



SECTION 4: ACCESS and ENGAGEMENT

4.1 Overview

4.1.1 Definition

Chau Chak Wing Museum *Collections Guidelines Section 4: Access and Engagement* informs the management, planning, research and activities of the Chau Chak Wing Museum (CCWM) collections. It details the way museum staff and associates discharge their responsibilities, as well as the ways the public and visitors can access the collections.

Access to collections includes access to objects and specimens, as well as associated data and images either physically or online. Access and engagement to museum collections and associated collections data are made available to museum audiences and stakeholders to achieve the objectives of the museum as set out in its mission.

Means of access are both online and in person; and include public program events, education programs, exhibitions, research, loans and responses to public enquiries.

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

4.1.2 Purpose

CCWM supports access to its collections for purposes consistent with the CCWM mission and the overall goals of the University. CCWM recognises that its collections exist to advance the teaching, learning, research and community engagement goals of the University.

These goals are achievable only if objects and specimens are made available for education, research and exhibition. At the same time, CCWM holds collections in the public trust and their use must be monitored carefully to protect them from misuse and to maximise their future usefulness. The purpose of these guidelines is to establish a system whereby CCWM can make its collections as widely available as possible to the University's students, staff and wider communities, within ethical, conservation, resource and other appropriate limitations.

4.1.3 Objectives

The objectives of these guidelines are to enable CCWM to:

- Standardise its collections access provisions and align them with professional best practices, as outlined by ICOM and Australian Museums and Galleries Association.
- Address the expectations of collections audiences by outlining possible access where appropriate.
- Balance access to collections with their long-term safety.
- Align CCWM access and public engagement with the *National Standards for Australian Museums and Galleries*, which state that:
 - The museum selects significant collection areas, stories or themes to highlight, based on what is most relevant to its purpose and audiences. (Standard B2.1)
 - The museum's exhibitions, activities and events are based on sound research and current museological practices. (Standard B2.2)
 - The museum's exhibitions, activities and events actively encourage lifelong learning. (Standard B2.3)
 - Activities and events include learning experiences suited to people of different ages, cultural backgrounds and abilities. (Standard B2.4)
 - The museum's public programs are as accessible as possible to people of all ages and abilities. (Standard B3.6)
 - The museum makes its collection accessible in digital formats and in online environments, as resources permit. (Standard C1.5)

4.1.4 Scope

These guidelines apply to staff, affiliates, researchers, volunteers and visitors of CCWM.

These *Section 4: Access and Engagement* guidelines focuses on the access to and use of the CCWM collections, as well as associated documentation. It should be read in close conjunction with section 5.0 Loans and section 8.0 Collection Care.

4.2 Standards

CCWM collections are developed, managed and conserved for use in public engagement events, education programs, exhibitions and research for public and academic audiences. To ensure these collections will be available for use in the future, utilisation will be balanced with current material conservation standards and practices.

4.2.1 Legal and Ethical Framework

CCWM will act within local laws, by-laws and regulations, NSW State and Australian Federal laws as well as adhere to international agreements between Australia and other countries.

In providing access to its collections CCWM will uphold its legal and ethical responsibilities to protect intellectual property and moral rights as specified in:

- ICOM Code of Ethics for Museums
- Continuous Cultures, Ongoing Responsibilities: Principles and guidelines for Australian museums working with Aboriginal and Torres Strait Islander cultural heritage. (2005)
- Indigenous Knowledge: Issues for protection and management (2018)
- Australian Government Copyright Act 1968
- Arts Law Centre of Australia Moral Rights (2016).

CCWM expects that all researchers who make use of collections will adhere to any legal or ethical restrictions on research imposed by CCWM or the University and that they will operate in accordance with the established legal, ethical and academic practices of the field in which they are working.

CCWM staff will adhere to the University's *Research Code of Conduct, Disability Inclusion Action Plan* and *Code of Conduct*.

4.2.2 Aboriginal and Torres Strait Islander cultural heritage

CCWM aims to make its spaces culturally safe for all first nations peoples. Aboriginal and Torres Strait Islander cultural objects are continually being reviewed and assessed by curators with the input of Aboriginal community people. All CCWM collections are flagged using a traffic light system to indicate any cultural restrictions. Most of the collections are "green" and are available for appropriate use in public engagement events, education programs, exhibitions and research. Objects flagged as "amber" have some restrictions but does not automatically exclude if from all access or use. "Red" flagged items have been identified as sensitive by community members and are only accessible by those nominated by community members.

CCWM supports the University's One Sydney Many People strategy (2021) and the Australian Museums and Galleries Association Inc. (2005). *Continuous Cultures, Ongoing Responsibilities: Principles and guidelines for Australian museums working with Aboriginal and Torres Strait Islander cultural heritage*.

4.2.3 Sensitive material

Culturally sensitive objects and ancestral remains both from inside and from outside Australia are flagged as "red" restricted material. This material is only accessible with the clear permission of the associated community.

4.2.4 Restrictions

CCWM will restrict access to collection items:

- that are deemed sensitive in consultation with associated first nations peoples.
- where to do so may endanger the safety of the collections.

CCWM will restrict access to information:

- as per the University's *Privacy Policy*, such as personal or contact information for all donors, former owners and lenders
- that breach any agreements, such as names of donors and lenders who wish to remain anonymous.

- that is a potential security issues, such as storage locations, collection values or transport schedules for collection material.
- about culturally sensitive objects that has been restricted in consultation with associated first nations peoples.

4.2.5 Material conservation

All access and use of CCWM collections are subject to the stability of the objects and specimens. See section 9.0 Collection Care.

4.3 Physical Access and Engagement

All approved visitors are required to adhere to the laws, codes of ethics and standards by which CCWM manages its collections.

4.3.1 Methods

Physical access to the collections is most commonly through:

- Public engagement events, see section 9.0 Collection Care.
- Education and Object based learning programs, see section 4.5 Education and Object based learning and section 9.0 Collection Care.
- Exhibitions, see section 9.0 Collection Care.
- Research, see section 4.6 Research and section 9.0 Collection Care.

4.3.2 Inclusion

CCWM will engage audiences in ways that account for different abilities and access requirements.

CCWM will adhere to the University's Disability Inclusion Action Plan and the Commonwealth Disability Discrimination Act 1992.

Any persons with an accredited assistance animal are permitted within any public space of CCWM. As per section 23 of the Disability Discrimination Act 1992, CCWM will not permit animals entry to back of house areas not normally accessible to the public including:

- quarantine areas within Museum buildings
- collection storage spaces.
- collection work areas.

Alternate public areas will be used to provide access to collections for people with accredited assistance animals.

4.3.3 Permission

CCWM will endeavour to facilitate reasonable access to CCWM collections objects and specimens.

Requests for physical access to collections not available on public display should be directed in writing to the associated curator in the first instance. A list of items and the reason for requiring the access needs to be included, along with the requestor's relevant academic history. Students must provide a supporting letter of reference from a faculty supervisor, who will then be responsible for the student.

Curatorial and Collections staff will liaise to determine reasonable access, taking into consideration the nature of the request, the potential risks to objects or specimens, the existing demands on staff time and the museum resources involved in fulfilling the request

Requests by first nations people to use CCWM objects from their cultural heritage is encouraged and will be discussed on a case-by-case basis.

Members of the public and the press shall not be permitted in collection storage areas, except with the permission of the CCWM Director.

4.3.4 Front of House, Public areas

Physical access to the collections will most typically happen in the public areas of the CCWM. These areas include all exhibition spaces, the school room, the study/object-based learning (OBL) rooms, the CCWM multipurpose room.

Access to items though exhibition or display can be undertaken during normal opening hours and without supervision. Access to collection items in the other CCWM Front of house areas are available through public events or request and under supervision.

4.3.5 Back of House, Collection storage and work areas

CCWM staff will permit supervised access to back of house collection and work areas to approved bona fide research, educational, or traditional cultural purposes. Access to these areas is only by appointment and as is permissible given the resources of the CCWM staff.

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

- CCWM will make available a secure work area separate from the collection storage areas where visitors will have access only to the objects or specimens requested, unless impractical.
- No visitor will be allowed into any of the collection storage areas unsupervised. Visitors, researchers and students who require access to collection materials shall always be accompanied by staff.
- Visitors who need to handle objects and specimens must comply with directions as advised by staff.
- Tours of collection storage areas will be accompanied by CCWM staff members on a ratio of at least one (1) staff member for each ten (10) visitors.

4.3.6 Restrictions

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

- Access must not compromise collections' physical integrity, nor violate any associated ethical or confidentiality considerations, nor unduly interfere with the normal operations of CCWM.
- Special attention will be given to controlling access to fragile, valuable, or culturally sensitive material.
- Collection items containing hazardous substances must be handled in accordance with the University's *Work Health And Safety Policy*.
- See section 4.2.2 and 4.2.3 for restrictions to all first nations peoples' sensitive items including Aboriginal and Torres Strait Islander cultural heritage and ancestral remains.
- See section 4.3.2 for restrictions concerning accredited assistance animal.
- See section 4.7 for restrictions concerning permission to sketch, photograph or film collection items.

4.4 Online Access and Engagement

CCWM aims to expand audience access to the collections and associated documentation and research via multiple online platforms.

4.4.1 Methods

Online access to CCWM collections is most commonly through online public engagement events, online education programs, online publications or through the CCWM collections search available through the CCWM website.

CCWM objects and specimens delivered online will be accompanied by sufficient information to allow for correct attribution. Accompanying information should include acknowledgements, captioning, metadata and permissions or restrictions associated with rights management.

Digitisation of the collections done as established in the *CCWM Collections Management Procedures (draft)*.

4.4.2 Inclusion

CCWM will present to online audiences in ways that account for different abilities, requirements and technology access.

4.4.3 Permission

Legal and ethical requirements will be addressed as part of any CCWM collections digitisation program, including adherence to laws regulating privacy, copyright, intellectual property, moral rights and culture-specific sensitivities.

CCWM will continually refine the accessibility of online collection items to protect it from unauthorised duplication and distribution.

4.5 Education and Object Based Learning

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

4.5.1 Methods

Education and Object based Learning (OBL) programs are delivered both within the CCWM and online; most commonly through:

- Schools education program- targeting lessons for kindergarten to year 12, based on the NSW education curriculum. Generally held within the CCWM Schools education room and the exhibition spaces of CCWM. These visits are supervised by trained CCWM education officers. Lessons are also delivered online.
- OBL – run for University students, are developed in line with existing courses, research projects and for extra-curricular programs. Generally held within one of the CCWM study rooms and the exhibition spaces of CCWM These visits are managed by Academic Engagement Curators and supervised. Lessons are also delivered online.
- OBL – run for University staff, alumni and visitors are developed for general education and research. Generally held within one of the CCWM study rooms and the exhibition spaces of CCWM These visits are managed by Academic Engagement Curators and supervised.

4.5.2 Inclusion

As part of its community engagement goals, CCWM will offer a wide range of effective and enjoyable educational and public programs that engage, inspire and interest visitors with a diverse range of backgrounds and abilities. See section 4.3.2.

4.5.3 Permission

Education programs are managed by CCWM Head, Public Engagement.

CCWM academic engagement curators collaborate with staff from all other University departments to develop OBL opportunities for tertiary students.

Use of collection objects and specimens are facilitated in liaison with CCWM collections and curatorial staff. Use must conform to these guidelines and the *CCWM Collections Management Procedures (draft)*.

Only items managed by CCWM are used in program unless it has been approved and processed by CCWM collection management staff as a documented incoming loan.

4.5.4 Education Collection

The Education Collection (as defined in section 1.4.4) is used to support CCWM teaching functions.

The Education Collection is largely comprised of material donated, but unrequired by the permanent collections or deaccessioned from the permanent collections in line with standard deaccession criteria, see section 3.0. Considered 'consumable' by virtue of its use, its standard of care is intended to prolong its functional life.

Items in the education collection will be clearly identified as separate to the permanent collections. See *CCWM Collections Management Procedures (draft)*.

4.6 Research

CCWM supports the University's educational and research mission.

All research must conform to these guidelines, the University's *Research Code Of Conduct* and are protected by the University's *Intellectual Property Policy*.

4.6.1 Methods

CCWM collections can be used in a range of research methods. Research may be for scholarship, collections conservation, exhibition, education, or other interpretive purpose, to support cultural traditions, or develop transdisciplinary research.

4.6.2 Permission

CCWM supports and encourages collections research and will endeavour to facilitate supervised access to its collection and associated data in every way consistent with their security and safety.

Any research design should be discussed with the relevant curator in the first instance. See section 4.3.3 and 4.4.3.

CCWM will support efforts to involve first nations communities associated with collections research. CCWM will ensure that research involving Australian Indigenous collections complies with the Australian Institute of Aboriginal and Torres Strait Islander Studies *Code of Ethics for Aboriginal and Torres Strait Islander Research* and Terri Janke and Company *Indigenous Knowledge: Issues for protection and management*.

Research projects of sufficient scope to impact CCWM resources or staff time will be subject to a written contract agreement between CCWM and the researcher(s) that specifies the scope and timeframe of the project, as well as the level of collection access granted, level of staff time allocated, intellectual property rights and any compensation arrangements.

CCWM must be credited in all publications and interpretive material resulting from research of its collections. CCWM will request two (2) copies of any publication for addition to the permanent record of the collection item.

4.6.3 Destructive Analysis

Research access to collections may involve requests to carry out destructive analysis.

This category of analysis request requires formal submission of a research proposal that includes a detailed justification for the necessity of this type of analysis. Requests will be evaluated on the scientific value of the analysis and an assessment of the impact of the analysis on the integrity of the object or specimen.

Requests for destructive analysis will be considered on a case-by-case basis and permitted only with the written recommendation of the relevant Senior Curator and the approval of the CCWM Director.

Wherever possible destructive analysis will be done to samples already separated from a permanent collection item, or easily accessible without invasion of destruction to the integrity of the object.

4.6.4 Restrictions

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

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

4.7 Images

All reproduction requests for usage of images should be made to the relevant curator in the first instance. CCWM will only grant reproduction permission for materials in which it is the copyright holder or for which there are no restrictions in terms of intellectual property rights. When copyright is not held by CCWM, requesters will be required to seek permission from the copyright holder directly. Decisions will be based on appropriateness of use, security of information, quality of reproduction and any applicable considerations regarding copyright or moral rights.

Fees may apply.

4.7.1 Digitised objects and specimens

CCWM continues to digitise its collections, with accompanying attribution information. CCWM provides images online for fair use as prescribed in the Australian Government Copyright Act 1968.

Collection images should not be used in any situation that is without value or merit or which compromises the integrity of CCWM.

CCWM supports the usage of fair use and authorised copyright cleared collections images for research, exhibit, publication, programming and publicity to share CCWM collections more widely.

4.7.2 Sketching

- Items on public display

CCWM visitors who wish to sketch collection objects or specimens on public display for non-commercial, research or educational uses may do so, if it has no impact on the experience of other visitors. No equipment, including drawing horses, may be left unattended at any time.

Restrictions may be in place for non-CCWM loan items on display.

- Items in back of house, collection storage and work areas

Authorised supervised visitors who have been approved access to back of house collection and work areas must have approval to sketch items. Initial requests must include sketching, if anticipated, as per section 4.3.3.

4.7.3 Non-commercial photography and filming

- Items on public display

CCWM visitors may photograph or film collection objects or specimens on public display for personal non-commercial fair use if it has no impact on the experience of other visitors.

Photographs may be taken using available light the galleries. The use of selfie sticks, extra lighting, tripods or their equivalents, will not be permitted.

Restriction on photography will be indicated by signage, for example in the case of copyright or loan contract agreements.

- Items in back of house, collection storage and work areas

Authorised supervised visitors who have been approved access to back of house collection and work areas must have approval to photograph or film collection objects or specimens. Initial requests must include photography, if anticipated, as per section 4.3.3.

Fees may apply.

4.7.4 Commercial photography and filming

All commercial photography or filming of collections by professional photographers or media representatives must be requested.

Fees for commercial photography or filming will be set on a case-by-case basis, taking into account staff time and the nature of the photography.

4.8 Implementation

4.8.1 Responsibilities

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

All staff and volunteers will be accountable for facilitating, tracking and controlling informational access to the collections.

CCWM Director is responsible for ensuring that the CCWM collections access and engagement programs meet the highest ethical and professional standards.

CCWM Head, Public Engagement, in cooperation with the relevant CWM Deputy Director and Head, Collections Management is accountable for coordinating and implementing education and public engagement programs.

The CCWM Education Collection will be maintained by the Head, Public Engagement, in consultation with CCWM Head, Collections Management and the relevant curator.

CCWM Deputy Director and Senior Curators will approve, facilitate, monitor and document all access and use of collections within their areas of responsibility, in consultation with CCWM Head, Collections Management and relevant collections management and education program staff.

4.8.2 Authority

CCWM Director has final approval of access activities and the associated costs.

4.8.3 Risk management

Collection items containing hazardous substances must be handled in accordance with the University's *Work Health And Safety Policy*.

All access, public engagement and research must conform to these guidelines and relevant University policy to ensure the ethical and safe use of the collections and the appropriate dissemination of information.

4.8.4 Documentation

Complete records must be kept regarding the use of and access to CCWM collections. Associated CCWM staff must document all means of engagement to maintain collection documentation, meet University reporting requirements, track fees charged for certain services and to continually improve museum operations.

Documentation of use of and access to CCWM collections is detailed further in section 8.0 of these guidelines and will proceed in accordance with the University's *Recordkeeping Policy* and *CCWM Collections Management Procedures (draft)*.

4.8.5 Reporting

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

- Office of the Vice-Principal - External Engagement on a regular basis regarding statistics on all levels of access and public engagement.

4.8.6 Review

The CCWM Collections Access and Engagement guidelines will be reviewed every five years or on an ad hoc basis if required.

Amendment history Section 4: Access and Engagement

Version	Date	Notes
Draft	2009	
Version 1	2013	Published online
Version 2	2023	Review post opening of CCWM
Review due	2028	

4.9 Related Documentation

4.9.1 University References

ASSET FINANCIAL MANAGEMENT PROCEDURES 2019

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2019/481&RendNum=0>

DELEGATIONS OF AUTHORITY RULE 2020

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2011/72&RendNum=0>

Disability Inclusion Action Plan

<https://www.sydney.edu.au/content/dam/corporate/documents/about-us/values-and-visions/disability-inclusion-action-plan-2019-24/disability-inclusion-action-plan-2019-24.pdf>

EXTERNAL INTERESTS POLICY 2010

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HAZARDOUS WASTE GUIDE

<https://intranet.sydney.edu.au/content/dam/intranet/user-documents/employment/safety-health-wellbeing/guidelines-training/hazardous-waste-guide.pdf>

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STAFF AND AFFILIATES CODE OF CONDUCT 2021

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2011/65&RendNum=0>

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4.9.2 External References

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AIATSIS (2020) *Code of Ethics for Aboriginal and Torres Strait Islander Research*

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Arts Law Centre of Australia 2016 *Moral Rights*

https://www.artslaw.com.au/wp-content/uploads/2019/04/Moral_Rights_-_29.7.16.pdf

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https://www.amaga.org.au/sites/default/files/uploaded-content/website-content/SubmissionsPolicies/continuous_cultures_ongoing_responsibilities_2005.pdf

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Australian Government Disability Discrimination Act 1992

<https://www.legislation.gov.au/Details/C2016C00763>

International Council of Museums, UMAC (2022) *Guidance for Restitution and Return of Items from University Museums and Collections*

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https://www.ipaustralia.gov.au/sites/default/files/ipaust_ikdiscussionpaper_28march2018.pdf?acsf_files_redirect

The World Conservation Union (1975) *CITES (Convention on International Trade in Endangered Species of Wild Fauna and Flora)*
<https://cites.org/eng/disc/text.php>

United Nations Educational, Scientific and Cultural Organization. (1970). *UNESCO Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property*. Paris: UNESCO.
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SECTION 5: INCOMING LOANS

5.1 Overview

5.1.1 Definition

An incoming loan is any item brought into CCWM, at the request of CCWM, from a third party for a defined period for a stated purpose. Incoming loans do not involve transfer of title but rather the temporary transfer of the care, rights and responsibilities as contracted in the authorised loan agreement.

Chau Chak Wing Museum (CCWM) may receive incoming loans from institutions or bona fide individuals for the following purposes:

- Display as part of a temporary installation or exhibition.
- Research or related educational purposes for stated Museum purposes.
- Temporary custodial care of objects.
- Assessment prior to possible donation or purchase.

CCWM will maintain museum best practice in requesting, contracting and caring for all incoming loan objects and specimens. Loans require specific procedures to assure appropriate management. All loans are contracted for a defined period and for the stated purposes.

5.1.2 Purpose

CCWM acknowledges that borrowing items from other collecting institutions or individuals allows greater capacity to its education and research functions as defined by its Mission Statement and is therefore beneficial.

These guidelines provide the basis for loaning material into CCWM in a safe, documented, professional manner within legal and ethical policies, with the intent of improving the quality and relevance of CCWM exhibitions, research and public engagement.

5.1.3 Objectives

The objectives of these loan guidelines are to enable CCWM to:

- Participate with loan partners in well-regulated and documented transactions that have reciprocal benefits for all parties and ensure the safety of loan material.
- Meet national and international standards of due diligence, ethics, collections care and risk management.

5.1.4 Scope

These guidelines apply to all CCWM staff, affiliates, researchers and volunteers.

These *Section 5: Incoming Loans* guidelines apply to the incoming loan of collection material, as well as associated documentation to CCWM from other administrative units within the University, external institutions and individuals. It should be read in close conjunction with section 8.0 Documentation and Collection Management Systems and section 9.0 Collection Care.

5.2 Standards

5.2.1 Legal Framework

CCWM will abide by State and Federal law regulating the protection of environmental and cultural heritage and international agreements between Australia and other countries.

CCWM must be satisfied that a valid title is held for all loan material. Loan material will be received only from the legal owner or authorised agent. CCWM will not participate in loans involving material that is known to have been collected or imported in violation of state, federal or international restrictions, or which may otherwise place the CCWM in a compromising legal or ethical position.

5.2.2 Code of Conduct

CCWM will abide by international, national and state/territory protocols relating to museum practice, moveable heritage and heritage places and fabric.

Loans will be in accordance with the ICOM *Code of Ethics for Museums* 2017, the UNESCO *Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property*, 1970; the UNESCO *CITES Convention* 1975; and with the terms of the *Aboriginal and Torres Strait Islander Heritage Protection Act* 1984 (Cth). *Protection of Cultural Objects on Loan Act* 2013 (Cth) • *Protection of Cultural Objects on Loan Regulation* 2014, *Protection of Movable Cultural Heritage Act* 1986 (Cth).

CCWM staff members will act in accordance with the standards of the University of Sydney's *Staff And Affiliates Code Of Conduct* 2021 and *Delegations Of Authority Rule* 2020.

5.2.3 External interests and Conflict of interest

All loan proposals must comply with the University's External Interests Policy 2010. All academic staff and professional staff with decision making responsibility are required to make an annual declaration of their external interests. Staff are also required to submit, even if they do not have any external interests to declare. Staff can also submit or update a declaration at any time if their circumstances change.

Private collecting or work produced by staff or other persons employed by or closely connected with CCWM is not necessarily a conflict of interest and may enhance expertise. However, no loan into CCWM from such persons can in fact or in appearance conflict with the interests of CCWM. In no case should staff compete with CCWM in any personal activity, act as or for dealers, or profit financially.

5.2.4 Due Diligence, Authenticity and Provenance

Due diligence requires that every endeavour is made to verify the accuracy of information before deciding a course of action, particularly in identifying the source and history of cultural material and specimens considered for loan. CCWM staff will undertake due diligence as detailed in *Australian Best Practice Guide to Collecting Cultural Material* (2015) prior to proposing an object or specimen for incoming loan.

Curators must be transparent in providing evidence of their professional judgement in determining the proposed object or specimen's authenticity, legal and ethical status. They must document it is sound and substantially free of risk and if it is appropriate to loan.

5.2.5 Aboriginal and Torres Strait Islander consultation

CCWM will undertake consultation with relevant communities in considering incoming loans of Aboriginal and Torres Strait Islander material, in accordance with the national Australian Museums and Galleries Association Inc Indigenous heritage policy, *Continuous Cultures, Ongoing Responsibilities* (2005).

All proposed loans of Aboriginal and Torres Strait Islander cultural material will be done with the endorsement of the CCWM Aboriginal and Torres Strait Islander advisory committee who will confirm consultation with relevant communities especially in circumstances where material requested are of a sensitive or cultural significance items.

5.2.6 Rights

CCWM respects the Intellectual property, copyright and moral rights of the creators of all works loaned into CCWM.

CCWM will adhere to the provisions of the *Copyright Act 1968*, including moral rights which include right of attribution, right against false attribution and right of integrity.

CCWM will seek to request associated image requests at the time of the initial loan request, to insure CCWM holds the required permissions.

5.3 Incoming loan types

5.3.1 Incoming short-term loans

CCWM may borrow material on a short-term basis from other institutions or individuals for the purposes of research or display. Short term is usually less than 2 years. Six (6) to 12 months is most common.

The agreement contract will usually be issued as an outgoing loan agreement from the lending institution, otherwise the CCWM incoming loan agreement will be used.

5.3.2 Incoming internal loans

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

The agreement contract will be the CCWM internal loan agreement.

5.3.3 Incoming long-term loans

CCWM may enter into long-term loan agreements of items that are potentially to become acquired by CCWM. CCWM will endeavour to obtain comparable rights over such material as it has over its own collections in terms of display, conservation, storage and photography, subject to proper acknowledgment of the owning institution.

Long-term incoming loans will be subject to periodic inspection, re-valuation and review, depending on the terms negotiated with the lender.

The agreement contract will be the CCWM incoming loan agreement, with a specific end date of less than 3-years, with provision for renewal.

5.3.1 Incoming international loans and the Protection of Cultural Objects on Loan (PCOL) Scheme

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

CCWM is not a recognised PCOL institution. Where a lending institution for an international loan requires participations in PCOL, CCWM will seek a partnership with an Australian PCOL institution.

The agreement contract will usually be issued as an outgoing loan agreement from the lending institution, otherwise the CCWM incoming loan agreement.

5.3.2 Incoming artist exhibition loans

CCWM often works directly with artist to produce exhibition content. All material brought into CCWM must still go through the standard requirements of an incoming loans

The agreement contract may be a University commission purchase contract, an artist agreement or a CCWM incoming loan agreement, or a combination.

5.3.3 Incoming travelling exhibitions

Travelling or package exhibitions on loan to CCWM require the same checks as all other loans.

The agreement contract may be a travelling exhibitions contract, or a CCWM incoming loan agreement.

5.3.4 Custodial loans

CCWM may enter into custodial loans with individuals, communities or institutions to temporarily care for sensitive or vulnerable items. Such items will be documentation and cataloguing into the CCWM Custodial collection as defined in section 1.4.4.

CCWM will not display or research such material, but endeavour to return the material to an appropriate community or institution.

5.3.5 Abandoned incoming loans

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

5.4 Incoming loan management

5.4.1 Incoming loan proposals

All incoming loan proposals are to be forwarded to the CCWM Director and CCWM Head, Collections Management.

Loans require specific procedures to assure appropriate management. CCWM loans are managed through CCWM Head, Collections Management.

5.4.2 Incoming loan assessment criteria

All incoming loan proposals will be assessed for their appropriateness.

All incoming loans must confirm to the following criteria before a formal request is sent from CCWM Director to the lender. The lending individual or institution will then have their own lending criteria which CCWM will have to meet before negotiation of an incoming loan agreement will be entered.

- Be for a purpose of display or research within CCWM.
- Confirm to standards in section 5.2.
- Formal loan request can be sent a minimum of 12 months prior to desired loan receipt.
- Loan material must be in stable condition.
- CCWM must have the resources to transport, store and displayed the loan in appropriate environmental conditions, in places with adequate security and supervision, equivalent to the care of CCWM collection items, or to a higher standard as agreed with lender.
- Loan material must be able to be quarantined before entry into CCWM collection areas.
- CCWM must have funding to cover all possible cost contingencies of the loan.

5.4.3 Incoming loan approval

Incoming loans are administered through the Head, Collections Management or designated delegate and approved by the CCWM Director. In accordance with the University's Finance and Accounting Delegations policy, contracts are to be signed in line with the appropriate officer financial approval equivalent to the loans insurance value.

All proposed loans of Aboriginal and Torres Strait Islander cultural material will be done with the endorsement of the CCWM Aboriginal and Torres Strait Islander advisory committee who will confirm consultation with relevant communities especially in circumstances where material requested are of a sensitive or cultural significance items.

5.4.1 Insurance

The University must be able to show proof it will insure all incoming loan items to its full value, unless the lender expressly elects to maintain its own insurance cover.

Confirmation of loan cover is provided to CCWM Head, Collections Management through the University's insurance brokers who provide art specialist insurance, the value of which is changed year-to-year based on need with information provided by CCWM Head, Collections Management.

Confirmation that the proposed loan items are fully covered by appropriate insurance, stating where liability commences, including packing, transit, unpacking and installation must be documented prior to loan approval.

5.4.2 Incoming loan agreement

A loan agreement is a signed contract document between the lender and borrower that specifies the purpose and timeframe of the loan, as well as the responsibilities of both lender and borrower

concerning the use, care, maintenance and insurance of the loaned material. All loans must be defined for a fixed period.

Loan agreements must be completed for all loan items. If the lending institution or individual does not provide a loan agreement, CCWM will use its incoming loan agreement to document the transaction, as outlined in section 5.3. Where differences exist between loan conditions, those imposed by the lending institution will take precedence over those of CCWM unless otherwise agreed in writing. CCWM will not lend borrowed material to third parties, without prior written approval of the lender. Withdrawal, termination, or cancellation of the contract by the lender or borrower will be addressed under the terms of the loan agreement. Loans no longer required for the purpose for which they were borrowed will be returned to the lender.

Loan agreements are to be signed and exchanged prior to the acceptance of the loan material on CCWM premises.

5.4.3 Incoming loan receipt

All incoming loan material will be condition reported or checked upon receipt. CCWM will use the condition reporting method that originated with the lender. If no condition reports accompany an incoming loan, CCWM will use its own reporting forms. A condition report is a detailed written description of the observable physical condition of a collection item. The report records specific features of the object or specimen and often includes photographic documentation. Collection material is condition reported when it arrives and leaves for loan. If an item is damaged, its condition report will help to determine what damage occurred and may assist with party disputes and insurance claims.

Unless stated in the loan agreement, photography, filming or reproduction is not permitted except for condition reports.

Loan material will be stored or displayed in appropriate environmental conditions, in places with adequate security and supervision, in compliance with the signed loan agreement.

No activity except those articulated in the loan agreement are to be undertaken unless prior written approval is gained from the lender.

Loan material may not be cleaned, modified, conserved, mounted, or in any way altered without the express written permission of the lender.

No loan material will be used for hands-on programs unless specifically loaned for that purpose.

Loan material may not leave the premises of the loan venue without the express written permission of the lender.

Loan material must be sent in appropriate containers to give it maximum protection and by the most appropriate method to minimise loss and considering the scientific, cultural and/or commercial value of the item and legal requirements for shipping dangerous or prohibited goods.

Incoming loan material will be inventoried and inspected for condition change and pests as per CCWM schedules, or as specified by the loan agreement. Any inconsistency or change in the condition of the loan material must be reported immediately to the Head, Collections Management, who will notify the relevant parties, including the insurance company if appropriate.

5.4.4 Acknowledgements

The label and catalogue acknowledgment for incoming loans will be in the standard format adopted by CCWM. The credit line will read as specified by the lender on the loan agreement. No addresses or advertising material will be included on the label or in the catalogue, special sponsorship agreements notwithstanding.

5.5 Implementation

5.5.1 Responsibilities

Collections management and curatorial staff cooperate closely to implement the CCWM loan program. Loans can be informally initiated by any relevant staff member. The Head, Collections Management will be responsible for the overall administration and monitoring of the loan program, including loan agreements and contracts, conservation assessment (facilities reports and condition

reports), insurance matters, packing and transportation. All loans and final approval of associated costs are by the authority of the CCWM Director.

5.5.2 Authority

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

5.5.3 Documentation

Complete records must be kept regarding incoming loans involving CCWM. Associated CCWM staff must document all loan activity to maintain collection documentation, meet University reporting requirements, track fees charged for certain services and to maintain compliance requirements.

Documentation of CCWM loans is detailed further in section 8.0 of these guidelines and will proceed in accordance with the University’s *Recordkeeping Policy* and *CCWM Collections Management Procedures (draft)*.

5.5.4 Reporting

In accordance with the University’s formal reporting requirements, CCWM reports on its collections related activities to:

- Office of the Vice-Principal, External Engagement on a regular basis regarding statistics incoming loans.
- Internal Audit Office as required to maintain information about incoming loans to update values for correct insurance coverage.

5.5.5 Review

It is intended to be a document that will be adapted in the future to reflect the growth, expansion and developing professional practice of CCWM. It will be reviewed every five years or on an ad hoc basis if required.

Amendment history- *CCWM Collections Guidelines, Section 5: Incoming Loans*

Version	Date	Notes
Draft	2009	
Version 1	2013	Published online
Version 2	2023	Review post opening of CCWM
Review due	2028	

5.6 Related Documentation

5.6.1 University References

ASSET FINANCIAL MANAGEMENT PROCEDURES 2019

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2019/481&RendNum=0>

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5.6.2 External References

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<https://www.legislation.gov.au/Details/C2016C00937>

Australian Government Copyright Act 1968

<https://www.legislation.gov.au/Details/C2021C00407>

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<https://cites.org/eng/disc/text.php>

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<https://rm.coe.int/090000168079fd8b>

SECTION 6: OUTGOING LOANS

6.1 Overview

6.1.1 Definition

An outgoing loan is the loan of Chau Chak Wing Museum (CCWM) collection items or other property of CCWM to an external institution for a purpose independent from CCWM (generally for public exhibition or research) and held at a site or venue not part of or the responsibility of CCWM.

Outgoing loans do not involve transfer of title but rather the temporary transfer of the care and rights and responsibilities as contracted in the authorised loan agreement.

CCWM may agree to the outgoing loan of items from its collections to bona fide bodies for the following purposes:

- Display as part of a temporary installation or exhibition
- Research or related educational purposes for stated Museum purposes
- Conservation, identification, valuation or other examination.

CCWM will maintain museum best practice in assessing, contracting and providing all outgoing loan objects and specimens. Loans require specific procedures to assure appropriate management. All loans are contracted for a defined period and for the stated purposes.

6.1.2 Purpose

CCWM recognise that its collections are maintained for the benefit of the wider community and material is loaned to reach broad audiences and facilitate research. CCWM acknowledges that lending material is part of its professional obligation to share its resources with the larger University, museum and research communities; and is also beneficial to its goals of education and research as defined by its Mission Statement.

These guidelines provide the basis for loaning material from CCWM in a safe, documented, professional manner within legal and ethical policies, with the intent of improving the quality and relevance of CCWM collections, research and public engagement.

6.1.3 Objectives

The objectives of these loan guidelines are to enable CCWM to:

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

6.1.4 Scope

These guidelines apply to all CCWM staff, affiliates, researchers and volunteers

These *Section 6: Outgoing Loans* guidelines apply to the outgoing loan of CCWM collection items, as well as associated documentation from CCWM to other units within the University or external bodies. It should be read in close conjunction with section 8.0 Documentation and Collection Management Systems and section 9.0 Collection Care.

6.2 Standards

6.2.1 Legal Framework

CCWM will abide by State and Federal law regulating the protection of environmental and cultural heritage and international agreements between Australia and other countries.

These include the UNESCO *Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property*, 1970; the UNESCO *CITES Convention* 1975; and with the terms of the *Aboriginal and Torres Strait Islander Heritage Protection Act* 1984 (Cth). *Protection of Cultural Objects on Loan Act* 2013 (Cth) • *Protection of Cultural Objects on Loan Regulation* 2014, *Protection of Movable Cultural Heritage Act* 1986 (Cth).

Loans involving material covered by such protective legislation and international treaties will require appropriate permits or other legal guidelines be followed.

6.2.2 Code of Conduct

CCWM will abide by international, national and state/territory protocols relating to museum practice, moveable heritage and heritage places and fabric.

Loans will be in accordance with the ICOM *Code of Ethics for Museums*.

CCWM staff members will act in accordance with the standards of the University of Sydney's *Staff And Affiliates Code Of Conduct* 2021 and *Delegations Of Authority Rule* 2020.

6.2.3 External interests and Conflict of Interest

All loan requests must comply with the University's *External Interests Policy* 2010. All academic staff and professional staff with decision making responsibility are required to make an annual declaration of their external interests. Staff are also required to submit, even if they do not have any external interests to declare. Staff can also submit or update a declaration at any time if their circumstances change.

Private collecting or work produced by staff or other persons employed by or closely connected with CCWM is not necessarily a conflict of interest and may enhance expertise. However, no loan from CCWM initiated by such persons can in fact or in appearance conflict with the interests of CCWM. In no case should staff compete with CCWM in any personal activity, act as or for dealers, or profit financially.

6.2.4 Due Diligence, Authenticity and Provenance

Due diligence requires that every endeavour is made to verify the accuracy of information before deciding a course of action, particularly in identifying the source and history of cultural material and specimens considered for loan. CCWM staff will undertake due diligence as detailed in *Australian Best Practice Guide to Collecting Cultural Material* (2015) prior to approving an object or specimen for outgoing loan.

Loans involving material covered by protective legislation and international treaties may require appropriate permits or other legal guidelines to be followed, particularly in regard to CITES Convention regulation and the Commonwealth's *Protection of Movable Cultural Heritage Act* (1986).

6.2.5 Aboriginal and Torres Strait Islander consultation

CCWM will undertake consultation with relevant communities in considering outgoing loans of Aboriginal and Torres Strait Islander items, in accordance with the national Australian Museums and Galleries Association Inc Indigenous heritage policy, *Continuous Cultures, Ongoing Responsibilities* (2005).

Loans requesting Aboriginal and Torres Strait Islander cultural material will be done with the endorsement of the CCWM Aboriginal and Torres Strait Islander advisory committee who will confirm consultation with relevant communities especially in circumstances where material requested are of a sensitive or cultural significance items.

6.2.6 Rights

CCWM respects the intellectual property, copyright and moral rights of the creators of all items held by CCWM.

CCWM will adhere to the provisions of the *Copyright Act 1968*, including moral rights which include right of attribution, right against false attribution and right of integrity. The responsibilities of these rights as they related to items approved for outgoing loan will be documented and communicated to borrowers. Except for condition reports, all photography, reproduction, or replication of outgoing loan items must be specified in the loan agreement.

6.3 Outgoing loan types

6.3.1 Outgoing short-term loans

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

The agreement contract will be the CCWM outgoing loan agreement.

6.3.2 Outgoing internal loans

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

The agreement contract will be the CCWM internal loan agreement.

6.3.3 Outgoing long-term loans

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

Long-term loans may be approved for a period of up to three (3) years. Requests for renewals will only be considered in exceptional circumstances.

Long-term outgoing loans will be subject to periodic inspections by the CCWM Head, Collections Management or delegate.

The agreement contract will be the CCWM outgoing loan agreement.

6.3.4 Outgoing international loans

International loans will be released only to approved institutions, consistent with national and international import/export and state and federal heritage legislation. A courier must be engaged for the transport of collection material.

For courier arrangements, CCWM must comply with the travel requirements as outlined in the University's Finance and Accounting Travel policy.

The agreement contract will be the CCWM outgoing loan agreement.

6.3.5 Outgoing research loans

Loans for research purposes will be made to the institution with which the borrowing scholar is affiliated, and that institution will assume full responsibility for the proper administration of the loan and the care and security of the loan material.

Tertiary students will receive loans only when the supervising staff member, as a permanent employee within and representing a bona fide institution, accepts signature responsibility for the loan.

Loans that will radically alter or destroy an object or specimen through destructive analysis may be permitted only with submission of a research proposal, the written recommendation of the relevant curator and the approval of the CCWM Director (for details of research access, see section 4.6).

The agreement contract will be the CCWM outgoing loan agreement.

6.3.6 Outgoing travelling exhibitions

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

The agreement contract will be the CCWM outgoing loan agreement for travelling exhibition to be arranged by a third party. For those initiated and arranged by CCWM, the CCWM Traveling exhibitions contract will be used.

6.3.7 Outgoing campus loans

A campus loan is the outgoing loan of collection objects or specimens, most commonly artworks for display in prominent locations within the University to benefit students, staff and visitors to the campus. Campus loans are subject to special conditions and administrative procedures. Campus loans are only for specified CCWM items and only available to designated spaces. See *CCWM Campus loan guide, conditions, procedures and request form 2021*.

Campus loans shall be for a period of two (2) years. Extensions may be provided at time of review.

The agreement contract will be the CCWM internal loan agreement.

6.3.8 Outgoing commercial loans

Loans associated with commercial activities may serve promotional as well as educational purposes. CCWM may lend collection materials for commercial purposes provided the use of the material is consistent with the University's public purpose and the borrower is able to meet the conditions of loan set out in these guidelines and in the loan agreement.

Commercial loans will be subject to a loan fee and a separate contract to articulate the services provided. All profits derived from commercial loans will be retained for collection related purposes. Such fees are to be set out in a schedule of fees approved by the CCWM Director.

6.3.9 Outgoing loans to individuals

CCWM will not loan collection material to individuals.

6.4 Outgoing loan management

6.4.1 Outgoing loan requests

All outgoing loan requests are to be forwarded to the CCWM Director and CCWM Head, Collections Management.

Loans require specific procedures to assure appropriate management. CCWM loans are managed through CCWM Head, Collections Management.

6.4.2 Outgoing loan assessment criteria

All outgoing loan requests will be assessed for their appropriateness. Formal agreement for a loan request can only be approved by the CCWM Director. All outgoing loans must meet the following criteria:

- Request should be received by CCWM Head, Collection Management a minimum of 12 months prior to desired loan receipt.
- The loan purpose must align with CCWM mission statement and conform to standards in section 6.2. Any interpretation made of the material by the borrower in displays and display material, publications or research is consistent with the aims and objectives of CCWM.
- Requested items must be in stable condition, to withstand packing, transport, quarantine and installation. The borrower agrees to comply with any specific conservation instructions that CCWM may impose.
- Loan material must be able to be quarantined before return into CCWM collection areas.
- The borrower must have the resources and be able to demonstrate appropriate security, conservation checks, transport, storage and display methods, in appropriate environmental conditions, and satisfy any other requirements specified under the loan agreement. Loan material will be stored or displayed in appropriate environmental conditions, in places with adequate security and supervision. The borrowing institution will provide a Facility Report detailing evidence of adequate security, environmental conditions, insurance and professional standards of care and handling.
- The borrower must have the resources to meet the costs of the loan preparation, including conservation treatment, exhibition mounting, crating, transport and courier costs.

- Loan material must be sent in appropriate containers to give it maximum protection and by the most appropriate method to minimise loss and considering the scientific, cultural and/or commercial value of the item and legal requirements for shipping dangerous or prohibited goods.
- There are limitations on items available for loan request based on existing allocated for its use during the proposed loan period, item category, item sensitivity, materiality, rarity, monetary value, research priority and/or management considerations of the object or specimen.
- Where CCWM Head, Collections Management is satisfied that handling procedures at the borrowing institution meet CCWM requirements, installation will be the responsibility of the borrower. Otherwise, material will be installed at the loan venue under the supervision of CCWM staff, at the cost of the borrower.
- Loan material may not be cleaned, modified, conserved, mounted, or in any way altered without the express written permission of the lender.
- No loan material will be used for hands-on programs unless specifically loaned for that purpose.

6.4.3 Outgoing loan approval

Outgoing loans are administered through CCWM Head, Collections Management or designated delegate and approved by the CCWM Director. In accordance with the University's Finance and Accounting Delegations policy, contracts are to be signed in line with the appropriate officer financial approval equivalent to the loans insurance value.

All proposed loans of Aboriginal and Torres Strait Islander cultural material will be done with the endorsement of the CCWM Aboriginal and Torres Strait Islander advisory committee who will confirm consultation with relevant communities especially in circumstances where material requested are of a sensitive or cultural significance items.

6.4.4 Outgoing loan costs

- Short term, internal, long-term, international and research loans
There is no loan fee for loans to sector institutions. However, the borrower is required to cover all direct costs incurred in relation to the loan activity. Such costs may include research, photography, conservation, supports, packing, transport, travel and subsistence for couriers.

- Travelling exhibition loans

Loans to sector institutions who will use CCWM as part of a travelling exhibition are treated as a short-term loan, so there is usually no fee. Travelling exhibition packages which are created and toured by CCWM will have an exhibition fee.

- Campus loans

CCWM has a standard loan fee for campus loans. See *CCWM Campus loan guide, conditions, procedures and request form 2021*.

- Commercial loans

Commercial loans will be subject to a loan fee, set out in an individual contract schedule of fees, approved by the CCWM Director.

6.4.5 Insurance

- All incoming and outgoing loans must be insured.
- CCWM will cover each incoming loan under the University of Sydney policy unless the lender expressly elects to maintain its own insurance cover.
- The borrower will insure outgoing loan material for the amount specified on the loan agreement. This cover must be wall-to-wall and all risk. The borrower may be asked to provide evidence of the cover before the loan material leaves CCWM premises. CCWM must be notified of any change in insurance coverage.
- If the borrower is unable to provide insurance for an outgoing loan, University coverage may be extended to cover the loan in exceptional circumstances. Permission for such exceptions must be sought from the University's Risk Management Office and approved by the CCWM Director.
- The value stated on incoming and outgoing loan agreements will be the lender's estimate. For insurance purposes assessment will be based on current fair market value only. CCWM staff will not give formal appraisals for incoming loan material.

- Borrowed objects unaccompanied by loan documentation are not covered by the University's insurance policy and CCWM cannot be held responsible for their safekeeping.
- CCWM will not be responsible for the security of privately owned objects held or used by CCWM staff members on University premises unless such material is required for CCWM purposes and is borrowed as specified in these outgoing loan guidelines.
- and other display requirements and security.

6.4.6 Outgoing loan agreement

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

No CCWM collections material or unaccessioned property will be lent without the completion of an outgoing loan agreement.

- Loan agreements will be signed and exchanged prior to the release of loan material from CCWM premises.
- CCWM reserves the right to terminate a loan and recall the loan material with notice given to the borrower per the loan agreement.
- The loan period will be specified and will coincide with the proposed use of the object or specimen.
- Collection material will normally be lent on a short-term basis for a period of up to twelve (12) months. The loan period may be extended on application subject to the borrower demonstrating that acceptable standards of care are being met.
- Normally, no material shall be on exhibition loan for longer than one (1) year, or on research loan for more than two (2) years. Travelling exhibitions may warrant a contract for a longer loan period.
- Loans will be returned promptly when the loan period expires. CCWM reserves the right to terminate or deny renewal of any loan.
- All collection material entering or leaving CCWM premises on a temporary basis will be accompanied by a signed loan agreement detailing the rights and responsibilities of each party.
- Loan agreements will stipulate a fixed purpose and period and conditions to insure adequate storage, environmental protection and safety precautions during transit, handling and use. Issues of insurance and indemnity, copyright and reproduction and credit lines will also be addressed.
- CCWM will respect the conditions set out in the loan agreement.
- No objects or specimens will be accepted or loaned on an indefinite or permanent basis. All long-term loans must be defined for a fixed period and be renewed or recalled as required.
- Withdrawal, termination, or cancellation of the contract by the lender or borrower will be addressed under the terms of the loan agreement.
- CCWM will not lend borrowed material to third parties, nor permit borrowers to lend its collection material to third parties, without prior written approval of the owner.

6.4.7 Outgoing loan receipt

- All outgoing loan material will be condition reported. CCWM will use the condition reporting method that originated with the lender. If no condition reports accompany an incoming loan, CCWM will use its own reporting forms.

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

6.4.8 Acknowledgements

- The label and catalogue acknowledgment for incoming loans will be in the standard format adopted by CCWM. The credit line will read as specified on the loan agreement, unless written permission is provided.
- CCWM must be credited in all publications and exhibitions associated with its collection materials on outgoing loan. The credit line will read as specified in loan agreement. CCWM must receive two (2) copies of any publication.

6.5 Implementation

6.5.1 Responsibilities

Collections management and curatorial staff cooperate closely to implement the CCWM loan program. Outgoing loan requests should be directed to contact the CCWM Director in writing. The Head, Collections Management will be responsible for the overall administration and monitoring of the loan program, including loan agreements and contracts, conservation assessment (facilities reports and condition reports), insurance matters, packing and transportation. All loans and final approval of associated costs are by the authority of the CCWM Director.

6.5.2 Authority

- Loans will be made only in accordance with these guidelines. No loan will be solicited or accepted without timely consultation with the Head, Collections Management and written approval by the CCWM Director. The CCWM Director may add special conditions to loans as required, provided they are not at variance with the guidelines
- In cases of disagreement over the fact of a loan or conditions imposed, the CCWM Director will determine the issue in dispute, with advice from University General Counsel as necessary.

6.5.3 Documentation

Complete records must be kept regarding incoming loans involving CCWM. Associated CCWM staff must document all loan activity to maintain collection documentation, meet University reporting requirements, track fees charged for certain services and to maintain compliance requirements.

Documentation of CCWM loans is detailed further in section 8.0 of these guidelines and will proceed in accordance with the University's *Recordkeeping Policy* and *CCWM Collections Management Procedures (draft)*.

6.5.4 Reporting

In accordance with the University's formal reporting requirements, CCWM reports on its collections related activities to:

- Office of the Vice-Principal, External Engagement on a regular basis regarding statistics outgoing loans.
- Internal Audit Office as required to maintain information about outgoing loans to update values for correct insurance coverage.

6.5.5 Review

It is intended to be a document that will be adapted in the future to reflect the growth, expansion and developing professional practice of CCWM. It will be reviewed every five years or on an ad hoc basis if required.

Amendment history- *CCWM Collections Guidelines, Section 6: Outgoing Loans*

Version	Date	Notes
Draft	2009	
Version 1	2013	Published online
Version 2	2023	Review post opening of CCWM
Review due	2028	

6.6 Related Documentation

6.6.1 University References

ASSET FINANCIAL MANAGEMENT PROCEDURES 2019

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2019/481&RendNum=0>

CCWM Campus loan guide, conditions, procedures and request form 2021

[2021 CCWM Campus loan guide, conditions, procedures and request form.pdf](https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2021/1&RendNum=0)

DELEGATIONS OF AUTHORITY RULE 2020

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2011/72&RendNum=0>

EXTERNAL INTERESTS POLICY 2010

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2011/75&RendNum=0>

HERITAGE MANAGEMENT POLICY 2014

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2011/9&RendNum=0>

INTELLECTUAL PROPERTY POLICY 2016

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2016/418&RendNum=0>

One Sydney, Many People, Strategy 2021-2024

<https://intranet.sydney.edu.au/content/dam/intranet/documents/strategy-and-planning/osmp-2021-24.pdf>

PRIVACY POLICY 2017

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2011/81&RendNum=0>

RECORDKEEPING POLICY 2017

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2011/83&RendNum=0>

RESEARCH CODE OF CONDUCT 2019

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2013/321&RendNum=0>

STAFF AND AFFILIATES CODE OF CONDUCT 2021

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2011/65&RendNum=0>

WORK HEALTH AND SAFETY POLICY 2016

<https://www.sydney.edu.au/policies/showdoc.aspx?recnum=PDOC2011/231&RendNum=0>

6.6.2 External References

Australian Government (2015), *Australian Best Practice Guide to Collecting Cultural Material*

<https://www.arts.gov.au/publications/australian-best-practice-guide-collecting-cultural-material>

Australian Government *Aboriginal and Torres Strait Islander Heritage Protection Act 1984* (Cth).

<https://www.legislation.gov.au/Details/C2016C00937>

Australian Government Copyright Act 1968

<https://www.legislation.gov.au/Details/C2021C00407>

Australian Government *Protection of Cultural Objects on Loan Act 2013* (Cth) •

<https://www.legislation.gov.au/Details/C2016C00162>

Australian Government *Protection of Cultural Objects on Loan Regulation 2014* (Cth)

<https://www.legislation.gov.au/Details/F2014L01329>

Australian Government *Protection of Movable Cultural Heritage Act 1986* (Cth).

<https://www.legislation.gov.au/Details/C2016C01056>

Australian Museums and Galleries Association Inc. (2005). *Continuous Cultures, Ongoing Responsibilities: Principles and guidelines for Australian museums working with Aboriginal and*

Torres Strait Islander cultural heritage. Canberra: Australian Museums and Galleries Association Inc (national office).

https://www.amaga.org.au/sites/default/files/uploaded-content/website-content/SubmissionsPolicies/continuous_cultures_ongoing_responsibilities_2005.pdf

International Council of Museums. (2017). *ICOM Code of Ethics for Museums*. Paris: ICOM.

<https://icom.museum/wp-content/uploads/2018/07/ICOM-code-En-web.pdf>

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

<https://legislation.nsw.gov.au/view/html/inforce/current/act-1969-031>

The World Conservation Union (1975) *CITES (Convention on International Trade in Endangered Species of Wild Fauna and Flora)*

<https://cites.org/eng/disc/text.php>

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

<https://rm.coe.int/090000168079fd8b>

Terri Janke and Company. (2017) *Indigenous Knowledge: Issues for protection and management*.

https://www.ipaustralia.gov.au/sites/default/files/ipaust_ikdiscussionpaper_28march2018.pdf?acsf_files_redirect

The World Conservation Union (1975) *CITES (Convention on International Trade in Endangered Species of Wild Fauna and Flora)*

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