

**Antonio J. Waring, Jr.
Archaeological Laboratory**



COLLECTIONS MANAGEMENT POLICY

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College of Arts and Sciences
University of West Georgia
Carrollton, Georgia**

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PART I: REVISION

- The Antonio J. Waring, Jr. Archaeological Laboratory's (Waring Laboratory) *Collections Management Policy* is reviewed, minimally, every five years by the Laboratory Coordinator, who provides recommendations for revision to the Laboratory Director. The Laboratory Director, Laboratory Coordinator, Waring Laboratory Advisory Committee, and others who may be appointed by the Laboratory Director shall address any recommended changes and resolve any issues raised about their interpretation or implementation. A copy of the policy revisions is sent to each member of the Waring Laboratory Advisory Committee and person(s) appointed by the Laboratory Director for review. The Chair of the Waring Laboratory Advisory Committee has the option of calling a formal meeting to discuss any questions or concerns about proposed changes in policy. The Laboratory Director has authority to approve proposed changes.

PART II: GOVERNANCE

ORGANIZATIONAL STRUCTURE AND STATEMENT OF AUTHORITY

- The Waring Laboratory is a component of the Department of Anthropology of the College of Arts and Sciences of the University of West Georgia within the University System of Georgia. The Laboratory Director has administrative responsibility for the Laboratory and its operations. The Laboratory Director is appointed by the President of the University of West Georgia and reports to the Chair of the Department of Anthropology. The Departmental Chair reports to the Dean of Arts and Sciences, who reports to the Vice President of Academic Affairs, who reports to the President of the University of West Georgia, who reports to the Board of Regents of the University System of Georgia. The Laboratory Coordinator has responsibilities for Collections Management, Registration, and Education, and reports to the Laboratory Director. Curators have responsibilities appropriate to their areas of expertise and report to the Laboratory Director. The Waring Laboratory Advisory Committee is chaired by the Departmental Chair and is composed of the tenured and tenure-track Anthropology Faculty and others who may be appointed by consensus of the committee. The term of the Chair of the Waring Laboratory Advisory Committee shall be concurrent with his or her appointment as Chair of the Department of Anthropology. The Waring Laboratory Advisory Committee consults with and advises the Laboratory Director concerning various and extraordinary issues pertaining to (but not limited to) policy development, funding, acquisitions, deaccessions, and the appointment of Curators.
- The Waring Laboratory may enter into formal agreements with federal, state, local, and private agencies or owners (i.e., grants and contracts) through the Sponsored Operations Office of the University of West Georgia. All agreements and contracts must be in accordance with the Mission of the Waring Laboratory, the policies and regulations of the Board of Regents of the University System of Georgia on behalf of the University of West Georgia, and are negotiated by the Laboratory Director subject to the approval of the President of the University of West Georgia.
- The Waring Laboratory may agree to curate object(s) under loan agreements or Held-In-Trust agreements.

- The policies established herein are carried out under the direction of the Laboratory Director and supervision of the Laboratory Coordinator.

COLLECTION OWNERSHIP

- The Waring Laboratory may acquire legal ownership rights to collections accepted for accession into the permanent collection. These permanent collections are owned by the Board of Regents of the University System of Georgia on behalf of the Waring Laboratory, as organized within the University of West Georgia. The Waring Laboratory holds these permanent collections as a public trust in keeping with its Mission.
- Ownership does not transfer to the Waring Laboratory for collections accepted as Held-In-Trust or through a loan. The Antonio J. Waring, Jr. Archaeological Laboratory shall use or permit the use of curated or loaned collections as specified within curation or loan agreements.

PART III: MISSION

MISSION STATEMENT

- The Antonio J. Waring, Jr. Archaeological Laboratory is an academic research facility dedicated to the scholarly pursuit of knowledge about past cultures within Georgia and surrounding areas of the southeastern United States. The Laboratory supports the active research and instructional interests of its Curators and the Anthropology Faculty of the University of West Georgia and is a repository for appropriate archaeological collections from local, state, and federal agencies and private entities. Through facilitated research access, education, loans, and public outreach the Laboratory serves the university, local, state, and national community of residents, students, and scholars.

STATEMENT OF PURPOSE

- The Antonio J. Waring, Jr. Archaeological Laboratory (Waring Laboratory) is a non-profit 501(c)(3) educational research facility through its organization within the University of West Georgia, dedicated to the scholarly pursuit of knowledge about past cultures within Georgia and surrounding areas. The Waring Laboratory was specifically designed to meet both academic needs and the Federal standards (36 CFR 79 and Antiquities Act of 1906 [16 USC 431-433 Sec 3]) for curation of archaeological collections. The Waring Laboratory serves as a repository for the University's research collections, for those from local, state, and federal agencies with responsibilities for archaeological resources management, and for collections resulting from compliance research projects undertaken by private archaeological firms.
- The Waring Laboratory's purpose is to support the academic and intellectual Mission of the University of West Georgia. Its purpose is accomplished through interwoven research, teaching, service activities, faculty research, and creative endeavors. These activities promote knowledge, enhance professional development, provide significant opportunities for student involvement and field-based experience, and serve as an important resource for visiting scholars from across the United States. In addition, the Waring Laboratory serves the needs of state and federal agencies with interests in and critical responsibilities for preserving and managing Georgia's archaeological resources. Collections research is carried out by students and professional archaeologists, from within and beyond the walls of the University, and contributes to the advancement of general knowledge about Georgia's rich cultural heritage.

- The Waring Laboratory strives to enhance its contributions to Georgia's academic, governmental, private sector, and public archaeological community through a broad range of public service activities. These activities include educational outreach programs for the local community and proactive partnerships with other agencies to promote more effective utilization of Georgia's human and natural resources. These activities contribute to economic, social and technical development, and enhance the quality of life within the University's scope of influence.

SCOPE OF COLLECTIONS

- Collections are acquired, managed, and maintained in accordance with the Waring Laboratory's Mission. The foundation of the Waring Laboratory is the archaeological collections that are held and managed in the public interest. In accordance with its Mission, the Waring Laboratory maintains two collection categories.

Research Collection

The Waring Laboratory provides long-term care and curation of archaeological collections. These collections are used for research, exhibitions, and loans. These collections are accessioned into the permanent collection and are acquired (Part IV) primarily by field research and curation agreements with local, state, federal agencies, and private entities. The focus of collections development is archaeological materials pertaining to the prehistoric, protohistoric, and historic cultures of Georgia, as well as complementary archaeological collections from surrounding areas of the Southeastern United States associated with prehistoric and protohistoric sites. Accessioned, cataloged, and documented, these collections are upheld to the highest standards of care.

Education Collection

Objects in this collection are used for teaching purposes through various educational activities that include, but are not limited to, use for comparative materials and education programs. These objects are given reasonable care and are viewed as important to the Mission of the Waring Laboratory. These objects may lack provenience and documentation or have little or no continuing research value. These objects are subject to possible damage or destruction due to supervised utilization and are usually available for consumptive use. Objects in the Education Collection are owned by the Waring Laboratory and are inventoried, but not accessioned, and are maintained separate from the Research Collection.

PART IV: ACQUISITIONS AND ACCESSIONS POLICY

Acquisition is the means by which a collection is accepted for curation. Accession is the legal transfer of title or transfer of responsibility for the care of a collection to the Waring Laboratory. Collections acquired and accessioned by the Waring Laboratory must meet the Mission Statement as defined by this policy. The Laboratory Director will act in consultation with the Laboratory Coordinator and the Waring Laboratory Advisory Committee for collections that are questionable for acquisition, either because of the nature of the material or large size and excessive costs for its care. The final decision for acquisition rests with the Laboratory Director, based on the collection's ability to fulfill the Waring Laboratory's Mission as defined in this policy along with the ability of the Waring Laboratory to properly care for the collection.

COLLECTION TYPES

As stated in the Scope of Collections in Part III, the Waring Laboratory maintains two categories of collections. This section further defines which objects can be considered for each type of Collection. These collections may be acquired through various means (see *Acquisition Methods*) and must meet all required criteria identified below and throughout this policy.

Research Collection

Collections in the Research Collection are either owned by the Waring Laboratory as an agent of the State of Georgia, or Held-in-Trust for federal, state, and local agencies. The Waring Laboratory may charge a fee for the acquisition and accession of an archaeological collection accepted into the Research Collection. An archaeological collection is any coherent set of archaeological information and is understood to consist of artifacts and other material remains, as well as associated descriptive and contextual documentation (e.g. catalogs, reports, site forms, field notes, photographs, maps, drawings, videos, computer data or other records). Collections accepted must have continuing research value. These collections are given the highest level of care and protection. These collections are considered on a case-by-case basis and must meet the *Requirements of Eligibility* in the Acquisition Policy below. Collections accepted for curation are accessioned, documented, and cataloged into the permanent collection.

Education Collection

Objects in the Education Collection must be owned by the Waring Laboratory. Unlike the Research Collection, the Education Collection consists of partial or incomplete collections and/or singular objects. These objects have lost their provenience and documentation, or have little or no research value. Objects in the Education Collection must be inventoried but are not accessioned and are maintained separately from the Research Collections. Although not part of the permanent collections, the Education Collection must adhere by the laws and regulations cited in this policy and must meet the *Requirements of Eligibility for Acquisition* in the *Acquisition Policy* below.

ACQUISITION POLICY

Requirements of Eligibility

- Acquisitions must have continuing research or educational value and meet the Mission of the Waring Laboratory (Part III).
- The Laboratory Director, in conjunction with the Laboratory Coordinator, is responsible for ensuring that all legal qualifications, including title, are met. The Waring Laboratory does not support illicit trade by acquiring, authenticating, or commenting upon collections and does not participate in transactions involving any collection by any museum or private person or institution that knowingly does so. The Waring Laboratory will not violate any federal or state law or regulation pertaining to the acquisition or possession of illegally acquired object(s). Suspect materials will be reported to the appropriate legal authority for investigation. If the Waring Laboratory should inadvertently acquire an object that is later determined to have been collected, exported, imported, transported, or otherwise obtained in violation of this policy, the Waring Laboratory will make every practicable effort to return the object or objects to the rightful owner.

- The Waring Laboratory must have the means and resources to care for the collection in perpetuity, including funds, housing, and staff qualified to care for each object in the collection. Acquisition is subject to the Waring Laboratory's ability to manage and preserve the object(s) according to federal regulation “Curation of Federally-Owned and Administered Archeological Collections” (36CFR79).
- When a collection is from Native American lands, a statement that the Native American landowner and the tribe having jurisdiction over the lands consent to the disposition must be presented under terms pursuant to 43CFR7, 36CFR296, 18CFR1312, and 16 U.S.C. §470.
- Objects must be ethically obtained as defined in the Code of Ethics (Part XI). Ethical standards governing the possession and use of the object, preservation and long-term care requirement, value and contribution to the collection's priorities will be considered.
- The Waring Laboratory does not accept conditional or restricted collections without prior approval of the Laboratory Director in consultation with the Laboratory Coordinator, Waring Laboratory Advisory Committee, and legal counsel (when necessary). Conditions that may restrict the collection include intellectual property rights (copyright), the collection's nature (physically hazardous, invasion of privacy, etc.), and other scenarios incurred by the donor. Before accepting a collection, the Waring Laboratory must take into account all four copyright considerations that may restrict the access and use. These considerations include the Right of First Publication, Right of Derivative Works, Right of Publication, and Right of Restrict Copying. The final decision is based on the Waring Laboratory's ability to meet any special procedures and restrictions for handling, storing, inspecting, inventorying, cleaning, conserving, exhibiting the collection, and providing access to qualified researchers. Preference will always be given to those collections without restrictions.
- Legal ownership of the collection must be clearly identified. If it is for the Research Collection, unless otherwise stipulated, the archaeological contractor assumes the role of agent for the legal owner. However, contractual obligations remain the responsibility of the legal owner. If it is for the Education Collection, title of ownership must be clearly transferred to the Waring Laboratory.
- Research Collections must meet the *Standards for Archaeological Collections*, reflecting current professional standards of collections management. Minimally, these standards include a statement that the collection is complete and accompanied by documentation indicating collection information, collection ownership, collection summary, collection type and general condition of the collection. A separate, abstract statement that describes the collection and its continuing research value shall be provided by the Principal Investigator (or be otherwise professionally prepared). This statement shall accompany each collection or each of its component parts, as may be appropriate. Any culled, deaccessioned, missing or loaned objects no longer present in the collection must be documented. Each collection must be accompanied by a collection catalog in archival printed form and a clear explanation of the catalog system. All artifacts must be packaged by provenience. Diagnostic artifacts and a representative sample of undiagnostic artifacts must be labeled with catalog numbers using archival quality methods as appropriate for the type of material.
- Additional requirements are specified in the *Acquisition Methods* (below).

Acquisition Methods

- The Waring Laboratory has five different methods of acquisition. Each method must comply with the *Requirements of Eligibility for Acquisition* (listed above) and with any additional requirements defined below for specific types of collection. All items acquired for the permanent collections of the Waring Laboratory will be accessioned in a timely manner. No acquisition may be purchased (Part XI: Code of Ethics). Regardless of method, each collection is considered on a case-by-case basis and the final decision to accept/reject a collection is to be made by the Laboratory Director in consultation with the Laboratory Coordinator.
- *Gift* - The acquisition may be from an individual, private entity, or public organization, either through donation or bequeathment. A gift involves a transfer of title to the Waring Laboratory wherein the University of West Georgia on behalf of the University System of Georgia becomes the collection owner. The Waring Laboratory is not required to accept objects donated or bequeathed that have not been approved in advance by the Waring Laboratory. Compliance with NAGPRA and other Federal and State laws and regulations rests with the Waring Laboratory upon acquisition of a Gift. The donor must transfer all associated rights to the Waring Laboratory, including all copyright and associated rights, and be able to attest that he/she holds clear title and has the right to donate the said object(s). All supporting documentation of gifts must accompany the collection and will be treated as “associated documents”. The potential donor may either bring the object(s) to the Waring Laboratory or the object(s) may be viewed at a designated location. If the potential donor deposits the object(s) in the Waring Laboratory for review, a signed *Transmittal Form* must be completed. A potential donor must be informed of the restrictions under which gifts may be given to the Waring Laboratory. If it is being donated to the Education Collection, the donor must be made aware of the potential uses and dispositions of the donation.
- *Exchange or Transfer* - This defines the acquisition of collections through another laboratory, repository, or museum. If an exchange, the collections must go to an institution that is able to care for the collection (Part V). A *Deed-of-Gift* form must be completed for Exchange or Transfers. Held-in-Trust collections may be accepted for Exchange or Transfer only with written permission from the collection owner and a *Held-in-Trust Memorandum of Agreement* form must be completed.
- *Field Generated* - This defines collections generated in-house through research conducted by faculty, curators, as well as student fieldwork supervised by a professional archaeologist on the faculty of the University of West Georgia. In the process of acquiring or gathering field specimens, Waring Laboratory personnel will not knowingly or intentionally violate local, state, federal, or international laws or statutes and will comply with the *Waring Laboratory Archaeological Collection Standards*, Ethical Standards (as defined in *Part XI: Code of Ethics*), 36 CFR Part 79 (specifically Section 79.8), the Archaeological Resources Protection Act, Endangered Species Act, National Highway Salvage Act, and NAGPRA. It must be determined whether the collection generated will be Held-in-Trust or received as a gift, and then appropriate documentation must be completed. Field generated collections may be assigned an accession number before the research project begins, but after all permissions and/or permits (may be in the form of an executed research grant or contract) have been received, reviewed by the Laboratory Director, and are on file with the Laboratory

Coordinator. The permissions must identify any restrictions regarding use and care of the collection. These documents are part of the collection records and as such become a part of the permanent Accession and Acquisition File.

- *Contracted Collections* - All contracted collections are Held-in-Trust and no transfer of ownership to the Waring Laboratory occurs. Charges for curation are established annually and contracts are negotiated by the Laboratory Director. Charges for cleaning, cataloging, and other laboratory services required to bring the collection into compliance with 36 CFR Part 79 and current curation standards also may be negotiated with the collection owner or representative.
- All Contracted Collections must comply with the *Standards for Archaeological Curation* (see *Requirements of Eligibility* above). In the process of acquiring Contracted Collections, the Waring Laboratory will not knowingly or intentionally violate local, state, federal, or international laws or statutes, Ethical Standards, (as defined *Part XI: Code of Ethics*), 36 CFR Part 79 (specifically Section 79.8), the Archaeological Resources Protection Act, Endangered Species Act, National Highway Salvage Act, and NAGPRA.
 - All Contracted Collections must be fully assessed in a timely manner when a collection is brought to the Waring Laboratory for curation. The assessment must identify deficiencies and needs for the collection to bring it up to standards. No other work is to be performed on a collection or any of its components(s) during the assessment process unless the object is severely unstable and requires immediate attention. The collection owner and/or their representative must be notified by the Laboratory Director through the Laboratory Coordinator of the assessment results, including any existing deficiencies. If deficiencies are noted, a letter must identify all deficiencies and their recommended remedies, verify ownership and other pertinent information, confirm that the collection owner and/or their representative agrees to remedy the deficiencies and still has the intention of curating the collection at the Waring Laboratory.
 - Revitalization may not begin until all issues identified in the assessment have been resolved. If the Waring Laboratory charges for revitalization, then an itemized list of time and materials must be maintained. Charges by the Waring Laboratory for revitalization are calculated on an at-cost basis, per published schedule, for time and materials. All parties must be informed of the estimated costs before any work is performed on a collection and if, during revitalization, other collection needs become apparent. A letter must be sent to all parties by the Laboratory Coordinator identifying that revitalization has been completed.
- *Loan* - Collections may be acquired on a temporary basis through the process of Incoming Loans and must adhere to the *Loan Policy* (Part VI).

ACCESSION POLICY

- If a collection has been determined to be suitable for acquisition and has met the above criteria, it may then be formally accessioned into the permanent collections at the Waring Laboratory. Completion of the paperwork entails a signed *Deed-of-Gift*, *Held-in-Trust*, or a *Curation Contract*, depending on the method of acquisition and the type of collection. The Laboratory Coordinator assigns an Accession Number only after receiving confirmation from the Laboratory Director that the collection will be curated at the Waring Laboratory.

- Once accessioned, object(s) are subject to the *Deaccession Policy* (Part V) of this document and, except as specifically stated, are never removed from the care and protection of the Waring Laboratory.
- Education Collections are not accessioned but are maintained as a separate inventory. The Laboratory Coordinator maintains all documentation regarding acquisition.
- The Laboratory Coordinator maintains a detailed record and full documentation of all objects acquired, accessioned, or received by any approved means into the Waring Laboratory's care.

Accession Methods

- *Gift* - A *Deed-of-Gift* form must be completed for Gifts. Donor information and credit is maintained as part of the accession and acquisition file and all confidentiality is maintained. A donor is entitled to claiming the value within current tax laws. The amount that can be deducted is solely a matter between the donor and the United States Internal Revenue Service. Staff of the Waring Laboratory will not provide appraisals or otherwise become involved in this decision. The Waring Laboratory, however, may accept the valuation provided by the Donor(s) for insurance purposes.
- *Exchange or Transfer* - A *Deed-of-Gift* form or *Held-in-Trust Memorandum of Agreement* must be completed.
- *Field Generated* - Collections and associated documentation generated through research projects conducted by archaeologists on the faculty of the University of West Georgia are owned by the University of West Georgia on behalf of the University System of Georgia, and Held-in-Trust by the Waring Laboratory. Documentation must show evidence that the land owner(s) or their agent(s) has given permission for field research with the Antonio J. Waring, Jr. Archaeological Laboratory. If a collection is acquired on private land, a *Deed-of-Gift* or other agreement must be signed by the landowner or their agent(s). If a collection is from public land, a *Held-in-Trust Memorandum of Agreement* form or other agreement must be signed by the collection owner.
- *Contracted Collections* - The Waring Laboratory may enter into agreements with other legal entities and charge for curation of archaeological materials as defined in 36 CFR Part 79.4a. All contracted collections are Held-in-Trust and no transfer of ownership occurs. Acquisition and curation costs may include attorney's fees, transportation fees and any other appropriate charges. Charges for cleaning, cataloging, and other laboratory services required to bring the collection into compliance with 36 CFR Part 79 and current curation standards also may be negotiated with the collection owner or representative. Charges must be specified in the *Curation Contract*. Contracts must be signed for all Contacted Collections and must identify the work of all interested parties, size of the collection, accession number(s), and follow all regulations of the University of West Georgia.
 - The Laboratory Director is in charge of preparing the contract for execution. The contract takes the place of a *Held-in-Trust Memorandum of Agreement* form. The specific nature of the contract may vary depending on the needs of the collection or collection owner. The contract minimally must include (1) a statement of costs associated with the agreement, funds to be provided by the contracting agency and the schedule for any

- payments, (2) a statement of work to be performed by the Waring Laboratory, (3) a statement of responsibilities of the contracting agency, (4) a summary of what is to be curated, and (5) the contract must comply with all laws and regulations, including 36 CFR Part 79 and the University of West Georgia. A collection may not be curated until the contract is fully executed.
- When the contract is fully executed, the collection proceeds to curation where the collection is processed to its permanent storage location, its information added to the database, and a copy of the final report and catalog are transferred to the Ingram Sullivan Library at the University of West Georgia to fulfill 36 CFR Part 79.9.b.6.ii.

Documentation

- All Registration Records are maintained and secured by the Laboratory Coordinator. All records must be accurate and complete regarding collection-related activities up to and subsequent to accessioning. Registration records include a descriptive catalog and should provide easy retrieval of object information as well as current object location(s). All accessioned collections must have a copy of registration records at the Ingram Sullivan Library and minimally include a copy of the catalog and documentation of legal ownership. Documentation is maintained in a cross-reference file and updated as appropriate in a timely manner.

Collection

- A collection is defined as a complete set of archaeological objects and associated documentation acquired as the result of an archaeological project or coherent set of projects. A collection is not considered complete unless all required documentation is received as outlined in the Waring Laboratory's *Standards for Archaeological Collections*. A project is defined in 36 CFR Part 79.4a as "material remains that are excavated or removed during a survey, excavation or other study of a prehistoric or historic resource, and associated records that are prepared or assembled in connection with the survey, excavation or other study" and may contain one or more archaeological sites.

Accession Numbers

- An accession is defined by the NPS Museum Handbook II as the "acquisition of a single items or a collection from one source under one type of transaction [i.e., a gift or curation package] on one date" (pg. 2:1). The Waring Laboratory, following its receipt and acceptance of a collection, assigns an Accession Number to each acquisition. This number supplements, but does not replace, catalog numbers used by the submitter of the collection.
- Accession numbers are maintained and assigned by the Laboratory Coordinator with the prefix 'UWG-?'. Accession Numbers are sequentially numbered and may be subdivided with extensions added as necessary for each project within the collection. Each collection must have its own accession number.
- The Laboratory Coordinator maintains Accession Numbers in the Accession Register. The Accession Register includes collection name and associated projects acquired, complete donor and/or collection owner information, accession date, and a summary list of collection contents.

Catalog Numbers

- Cataloging Methods will be decided by the Principal Investigator of the collection/project(s), fully documented, and follow minimal standards defined by the *Standards for Archaeological Collections*. Regardless of the artifact catalog type, it must include a system of unique catalog numbers within the collection, clearly reflect the organization of the artifacts, minimally include a quantified (counts or weights) descriptive inventory at either the artifact or lot level, and associated provenience information.
- A catalog number for the Education Collection is maintained in the Education Catalog Register by the Laboratory Coordinator using a standard trinomial accession numbering system. The trinomial is expressed as ‘UWG.ED-’. [year it was cataloged]. [lot number within that year]. [item or group of items within that lot].

PART V: DEACCESSION POLICY

The Waring Laboratory recognizes its special responsibility for the receipt and maintenance of collections of cultural, historical, and scientific significance in the public trust and the significance of each decision to deaccession collections or objects. In order to serve the cultural and educational needs of various state-holders, collections cannot remain static. Periodic reevaluations and thoughtful decisions are necessary for the growth and proper care of collections. An object must be in the Waring Laboratory’s care for five consecutive years before it can be considered for deaccessioning, unless the collection is held under a curation agreement and the legal owner requests its return (resulting in the deaccession of the collection). The Waring Laboratory requires written permission to deaccession from the collection owner for any collections or objects held under a curation agreement. Collections or objects curated at the Waring Laboratory must not have restrictions that prohibit deaccessioning. Careful consideration will be given to maintaining the best interests of the public before any deaccession is approved. Collections or objects within an accessioned collection of the Waring Laboratory may be considered for deaccession upon recommendation of a Curator or the Laboratory Coordinator to the Laboratory Director, or upon recommendation of the Laboratory Director. The Laboratory Advisory Committee will be notified by the Laboratory Director of each significant deaccession and may make recommendations as an advisory body. The Laboratory Director makes the final decision on a case-by-case basis, adhering to written guidelines.

Deaccessioning may occur because the collection or an object within a collection:

- Does not or no longer contributes to the stated Mission of the Waring Laboratory.
- Lacks provenience and has no value for research, exhibit, or educational purposes.
- Has decomposed to a point where it has no value for research, exhibit, or educational purposes, or its condition constitutes a hazard to other objects in the collection.
- Has been determined to be not authentic.
- Is Held-in-Trust for an agency or legal owner requesting its return from the Waring Laboratory.
- Has been declared lost after a thorough and extensive search.

- Is of sacred or ritual significance and return is requested under the terms and conditions of applicable state and federal laws. All claims must be made in accordance with relevant statutes and laws and the Waring Laboratory will respond accordingly.

Note: Consumptive use or destructive analysis of an object or objects does not constitute deaccession. The accession number and catalog number is retained and assigned to the extracted data which then is maintained as a part of the collection.

Approved methods for deaccessioning a collection or an object(s) within a collection include:

- Donation, transfer, or exchange with public or private institutions. The obtaining institution must present the Waring Laboratory with evidence that proper care will be provided for the object(s).
- Return to the legal owner of the collection upon their written request. The Waring Laboratory strongly encourages the collection owner to discuss with the Laboratory Director and Laboratory Coordinator any special conditions and needs inherent to the collection prior to deaccessioning. Special packing and transportation is the responsibility of the collection owner, unless special arrangements are made in advance with the Waring Laboratory. The Waring Laboratory is released of all responsibility to the collection owner when the collection leaves this facility.
- Return of burial remains and associated objects. Objects for repatriation will be given the utmost respect and follow the procedures as outlined in NAGPRA and Georgia Code Annotated Protection of American Indian Human Remains and Burial Objects (§44-12-260, et seq.).
- Loss through deterioration beyond repair or through natural disasters. Object(s) are deaccessioned with an official letter from the Laboratory Director describing the circumstances.
- Physical destruction if none of the methods above are appropriate. Object(s) shall be destroyed beyond recognition, have all identification numbers removed, and removed from the Waring Laboratory.

Notes:

1. At no time does the Waring Laboratory engage in the sale of objects as a means for deaccessioning.
2. Objects deaccessioned are not normally returned to the donor or heirs. However, in any case where the Laboratory Director deems the return of an object(s) appropriate, the Laboratory Coordinator sends a report of that action to the Internal Revenue Service if a tax donation originally was taken by the donor.
3. Object(s) that follow the stated Mission, but do not have continuing research value, may be transferred from the Research Collection to the Education Collection as a method of deaccessioning.
4. Objects lost, stolen, or missing may be deaccessioned only after an extensive investigation and thorough search is completed. The Laboratory Coordinator is responsible for conducting the search, maintaining all paperwork regarding the search process, amending all paperwork, and reporting findings to the Laboratory Director. For object(s) Held-in-Trust under curation agreement, the Laboratory Director shall notify the collection owner.

PART VI: LOAN POLICY

- A loan is a transfer of an object(s) from one institution (Lender) to another (Borrower) that does not include a transfer of title. The purpose of this policy is to set forth the conditions for conducting a loan and to define the circumstances under which a loan may be granted at the Antonio J. Waring, Jr. Archaeological Laboratory (Waring Laboratory). A loan is permissible

only if the object(s) are needed for exhibit or if the research cannot be undertaken in-house with the resources available at the Waring Laboratory. Furthermore, only object(s) that are archivally stable may be released through loan. The Laboratory Director, in consultation with the Laboratory Coordinator, has the sole authority to approve a loan and may grant exceptions to any of these circumstances as long as all parties agree to it in writing. Approval of the Collection Owner also is required for a loan of any collection(s) Held-in-Trust by the Waring Laboratory and the Collection Owner may impose additional loan conditions. An object(s) will be released on loan only with prior written approval from the Laboratory Director and the Collection Owner.

- Both incoming and outgoing loans are permitted for a loan period of either 6 months or 12 months. The loan terminates no later than the due date for the return of the loan. A loan may be renewed with the completion and approval of a Loan Renewal Request. The Waring Laboratory reserves the right at any time to terminate a loan and to request a written evaluation (*Condition Report*) stating the stability and condition of an object(s).
- An object(s) may be loaned for exhibit, conservation, education, acquisition assessment, identification, religious uses, or scientific research. Object(s) eligible for a loan are those that are stable, able to withstand acceptable methods of transportation, and legally and ethically obtained. Type specimens and human skeletal remains are not eligible for loan except as outlined in 36 CFR 79.10. At no time may an object(s) be loaned for commercial purposes or private pecuniary gain except where specifically authorized by the Copyright Law (US Title Code 17 Chapter 1). A loan may only be made to an institution that is able to care for the object(s) as defined in 36 CFR 79.9(b)(3)-(5). Any and all exceptions must be stated on the *Loan Agreement Form* and agreed to by the Collection Owner. The *Loan Agreement Form* must be signed by the Collection Owner, Borrower, and Laboratory Director, or duly authorized agents thereof.
- Before a loan can be granted, the Borrower must provide a written statement that describes how the safety of the object(s) will be maintained during the loan period against damage, loss, or deterioration due to theft, vandalism, fire, smoke, water, insects, pests, mold, light, pollutants, and extreme changes in temperature and relative humidity. The Borrower must agree to not repair, restore, or in any way alter a loaned object(s) without the Lender's written permission. Damage to any loaned object(s) must be reported immediately to the Lender. Reproductions (including photographs, casts, molds, etc.) of a loaned object(s) covered by the Copyright U.S. Title Code 17 are permissible if allowed by local law and authorized by the true owner of the copyright title.
- The Borrower is not permitted to make third-party loans.
- It is the responsibility of the Lender to inform all parties involved of change of collection ownership. If change of ownership occurs through death, dissolution of the collection owner's organization, or transfer of title, a new loan agreement may be executed or the loaned object(s) shall be returned.
- The Borrower agrees to assume full responsibility for insuring the material(s) on loan or for providing funds as specified by the Waring Laboratory for the repair, replacement, and handling of an object(s) that is damaged or lost during transit or while in the Borrower's possession. The terms of the insurance and a list of exclusions must be stated on the *Loan Agreement Form*. If either party makes changes in the terms or adjustments on the insurance values, it must notify all of the other parties involved. Each object is considered to be in stable condition unless

otherwise noted. All parties must agree in writing to waive insurance, if necessary. The Laboratory Coordinator of the Waring Laboratory has the authority to process loans and to negotiate claims.

- The Laboratory Coordinator will send a written notification to the Borrower stating that the loan term is about to end. The Laboratory Coordinator will acknowledge the condition of the collection object(s) by giving the Borrower a receipt within 30 days after the return of the loan.
- In the event that the Waring Laboratory is functioning as Borrower, the Laboratory Coordinator will send a written notification to the Lender stating that the loan term is about to end. A receipt must be signed by the lending institution within 30 days to acknowledge the return and condition of the object(s) or any claim for damage or loss will be forfeited.
- The Waring Laboratory as borrower assumes no responsibility to search for a Lender who cannot be reached at the address of record. If material cannot be returned to the owner at the termination of a loan, it will be maintained at the Waring Laboratory at the Lender's expense and risk for a period of seven (7) years. A notice of intent to terminate will be sent to the last known address, following Georgia's Museum Property Act (O.C.G.A. Chapter 1 of Title 10, Article 17B). If no claim has been made to the property within 60 days, a second notice will be given of the abandoned property by publication once a week for two consecutive weeks in the official county organs of the county in which the museum or archives repository is situated and the county of the owner's last known address. After an additional 60 days from the date of the 2nd published notice, the property will be deemed abandoned and shall become the property of the Board of Regents of the University System of Georgia on behalf of the University of West Georgia and the Antonio J. Waring, Jr. Archaeological Laboratory. The Waring Laboratory acknowledges that other provisions of Georgia State Law may supersede this policy.

PART VII: COLLECTIONS CARE

DUTIES

- It is the duty of the Waring Laboratory to maintain the highest standards of care for all the collections it curates.
- The Laboratory Coordinator is responsible for managing Collections Care and maintaining all documentation.
- Collections care is an ongoing process. Each staff member, student worker, and volunteer at the Waring Laboratory is responsible for monitoring and ensuring the safety of each object by reporting problems and potential hazards to the Laboratory Director or Laboratory Coordinator. In order to orient staff, students, and volunteers, each is required to complete the on-line course *Managing Archeological Collections* (<http://www.cr.nps.gov/aad/collections/index.htm>) and demonstrate competence with a grade of at least 80% on each course section. A copy of the test results must be on file before the person can process or maintain a collection.

RECORDS

- The Laboratory Coordinator is responsible for all Registration Duties. These duties include all paperwork regarding Acquisition, Accession, Collection Activities, Loans, Information Requests/Technical Assistance, etc., and must document access, use, condition reports,

inventories, and any other activities pertaining to the collection subsequent to a collection's acquisition or accession.

- All paperwork is organized and filed according to professional standards, as defined by the Society for American Archivists. Collection documentation must include a finding aid. All records must be accurate and complete regarding collection-related activities, up to and subsequent to accessioning. Registration records include a descriptive catalog and should provide for easy retrieval of object information as well as current object location(s). All accessioned collections must have a copy of registration records on file at the Ingram Sullivan Library; these minimally include a copy of the catalog and documentation of legal ownership.

STORAGE

- Collections are divided into two rooms at the Waring Laboratory. The Special Collections Room is reserved for especially rare items, collections judged to have exceptional research value, and objects with unusual archival restrictions. The Curation Range is reserved for the Research Collection and the Education Collection.
- Object(s) or other collection components are not to be removed from their storage location or room without prior approval from the Laboratory Director or Laboratory Coordinator.

CONSERVATION

- Preventive conservation has precedence over remedial conservation.
- The Laboratory Coordinator consults with the Laboratory Director regarding all conservation measures that could potentially alter the research value of an object. Remedial conservation is undertaken only if the object(s) is required for exhibition, study, or if stabilization is necessary to prevent it from deteriorating beyond its usefulness.
- All remedial conservation must be performed in a professionally acceptable manner and should be fully reversible, whenever possible.

HANDLING

- The Laboratory Coordinator is responsible for packing and shipping all collections for loan. A condition report is required before and after all outgoing loans and conservation and whenever necessary during inventories.

SECURITY

- Security involves preventing damage to objects as related to the effects of fire, theft, flood, pests, etc. Details for security are outlined in the *Emergency Preparedness Plan* of the Waring Laboratory. The *Emergency Preparedness Plan* minimally includes prevention and reaction to theft, vandalism, fire, flood, and an *Integrated Pest Management Plan*. The *Emergency Preparedness Plan* is designed to work in conjunction with the University of West Georgia's *Emergency Plan* and in consultation with the Office of Public Safety at the University of West Georgia.
- All Laboratory work areas are to remain clean and orderly. No food or drink is allowed in the Special Collections Room or Curation Range. Both the inside and the outside of the building is maintained on a regular cleaning schedule minimally includes dusting, sweeping, and security checks. The Laboratory Coordinator is in charge of executing and overseeing the cleaning. The Laboratory Coordinator reports facility concerns to the Laboratory Director, including concerns about security issues and risks.

- Keys to the Waring Laboratory are issued by the University of West Georgia Office of Public Safety upon recommendation by the Laboratory Coordinator and approval by the Laboratory Director.
- Only authorized persons are allowed in areas with collections. No one is allowed access to collection areas without the expressed authorization of the Laboratory Coordinator or Laboratory Director. The Special Collections Room is to remain secure at all times and is accessible only with the direct supervision of the Laboratory Coordinator or Laboratory Director.

PART VIII: INVENTORY

- A current, reconciled inventory of collections is the primary tool for maintaining accountability, providing access to collections, monitoring the condition, identifying the presence or absence of parts, and examining the effectiveness of collections care. Regular, periodic comparison between inventory records and physical collections is necessary for prudent collections management.
- Inventories will be conducted in the manner and frequency as stated in 36 CFR 79.11 (a-d). The inventory process will be determined based upon the nature and type of information needed. Regardless of the purpose of the inventory, it must be conducted in such a manner as to minimize deterioration to unstable object(s).
- The Laboratory Coordinator is responsible for devising, conducting, and overseeing the inventory and must complete a report at the end of each inventory. The report must include all pertinent paperwork and a statement correlating it with prior inventories.
- Changes and deletions to the inventory records must be properly documented to provide an audit trail.
- Items that appear to be missing due to theft of, deterioration and damage to, or destruction of the collection (or a part thereof) must be reported to the Laboratory Coordinator. The Laboratory Coordinator, in consultation with the Laboratory Director, must prepare and provide the Collection Owner with a written notification of the circumstances surrounding the loss, theft, deterioration, damage, or destruction as stated in 36 CFR 79.11 a.10.

PART IX: INSURANCE

- Insurance coverage is provided through the State of Georgia Self-Insured Program and is underwritten by the Department of Administrative Services under the Risk Management Division at the University of West Georgia. Insurance for collection object(s) follows the policies and procedures of the University of West Georgia.
- Object(s) in an incoming loan for research purposes may be insured once the loan is in the care, custody, and control of the Waring Laboratory and after the Risk Management Division at the University of West Georgia has been notified.

- Appraisals are conducted in accordance with the policies and procedures of the University of West Georgia and comply with the *Code of Ethics* (Part XI) in this document. The Waring Laboratory does not appraise objects for any purposes other than insurance reasons for this facility.

PART X: ACCESS TO COLLECTIONS

- The Waring Laboratory's collections and associated records are available for scientific, educational, and religious uses, subject to such terms and conditions necessary to protect and preserve the condition, research potential, religious or sacred importance, and uniqueness of the collection. Access is granted through a variety of sources including, but not limited to, on-site research access, outgoing loans (see Part VI: *Loan Policy*), and public outreach programs.
- Access is granted only during normal operating hours. Collection materials accessed may not be altered or modified in any way, except as approved in advance in writing by the Laboratory Director. Access to the Collections Range and Special Collections Room are limited to the Laboratory Director, Laboratory Coordinator, and other authorized personnel. Collections will be brought to the individual(s) needing to review object(s) in an area designated by the Laboratory Coordinator. Changes in identification and/or condition concerns regarding any part of the Collection must be reported to the Laboratory Coordinator.
- Research Access must be approved in advance by the Laboratory Director. The Waring Laboratory may use or permit the use of curated or loaned collection as specified within the curation or loan agreements for legitimate research and study by responsible investigators, subject to procedures necessary to safeguard the objects and to restrictions imposed by limitations of space and facilities, curation requirements, resources, and availability of appropriate laboratory staff. A *Collections Access Agreement Form* must be completed for all Research Access. Any resulting publications, reports, or exhibitions shall acknowledge the Collection Owner and the Antonio J. Waring, Jr. Archaeological Laboratory of the University of West Georgia. The Waring Laboratory must receive two (2) copies of any data, reports, publications, and photographic imagery resulting from the research use of the Collection. All users will exercise due care in the handling, transport, unpacking and repacking of the Collection materials.
- Education collections shall be made available to users for educational and instructional uses through on-campus classroom use by faculty, public outreach programs, tours, and other activities provided by the Waring Laboratory. All public programming, including tours, are subject to prior approval by the Laboratory Coordinator and/or the Laboratory Director and are granted based on availability of resources and its compliance with the Waring Laboratory's Mission Statement.
- Access to curated collections by representatives from Native American Tribes shall be available upon request and shall be subject to the same restrictions as research access.
- The Waring Laboratory reserves the right as per 32 CFR 229, Protection of Archaeological Resources, to limit access to information about specific locations of archaeological sites. Exact site location information is controlled and not accessible to the general public.

- Requests for access to human remains, associated and unassociated funerary objects, sacred objects, and objects of cultural patrimony are subject to approval by the Collection Owner and maybe subject to consultation with, and approval by, lineal descendants and other groups with expressed legal interests in these remains and objects.

PART XI: CODE OF ETHICS

- The Waring Laboratory adheres to the highest professional standards in caring for its collections. The Waring Laboratory maintains its archaeological collections in compliance with the federal standards as outlined in the Curation of Federally-Owned and Administered Archeological Collections (36 CFR 79).
- The Waring Laboratory recognizes and adheres to the code of ethics of the American Association of Museums (Code of Ethics for Museums, 2000), the Society for American Archaeology (Principles of Archaeological Ethics April 10, 1996), and the National Park Service Museum Handbook (Part I, Museum Collections).
- The Waring Laboratory works with consideration of culturally affiliated Native American or ethnic group advice and any other relevant and appropriate recommendations as to the care of archaeological collections in order to prevent degradation of collections by human or environmental factors.
- The Waring Laboratory does not buy or sell collections or individual objects.
- No faculty or staff member is permitted to start a personal collection that may be in conflict with the Waring Laboratory's interests. Where such collections already exist, the Waring Laboratory is to be given serious consideration as the final repository. If a staff member is offered an item known to be desired for the laboratory's collections, the Waring Laboratory's option to acquire the item must be considered paramount over the individual's opportunity to acquire the object. Only if the Waring Laboratory is not interested in securing the objects may the individual acquire it without being considered in conflict of interest.
- Each staff member is to abide by the rules and regulations set forth by the Board of Regents of the University System of Georgia *Policy Guidelines on Gifts and Conflict of Interest Statues* (Policies 802.16 through 802.1603). A gift is from any vendor or lobbyist as those terms are defined in Georgia statues (O.C.G.A. 21-5-70(6) and 45-1-6(a)(5)b). Conflict of Interest is defined in Georgia Statues O.C.G.A. 45-10-20 through 45-1070.
- The Waring Laboratory or employees thereof cannot ethically or legally appraise objects, retain an appraiser for a private citizen, or refer an appraiser to a private citizen, and, therefore, shall not be involved in appraisal activities. This restriction does not apply to in-house assessments of value for collection object for insurance purposes.
- This Code of Ethics is superseded by all laws, regulations, and international agreements of the United States and the State of Georgia, including the Native American Graves Protection and Repatriation act (NAGPRA), 36 CFR 79, and Endangered Species Act (16 USC 1531 et seq.) of 1973. Within this framework, this Code of Ethics also is superseded by the general policies and regulations of the University of West Georgia.

PART XII: RESEARCH LIBRARY

- The Waring Laboratory maintains a Research Library. The purpose of the Research Library is to serve needs of faculty and professional staff, students, and visiting scholars, as well as to preserve those publications of extreme value or rarity. The library contains reference material in both written and non-written forms for research and use in exhibit preparation and other educational activities. The Research Library is available to faculty, staff, students, and the professional community for in-house research under appropriate supervision. The Research Library is maintained by the Waring Laboratory using standard library procedures and is not accessioned and not considered a part of the Research Collection or Education Collection. Items in the library are for in-house use only and may be removed from the Waring Laboratory only under exceptional circumstances and with the explicit authorization of the Laboratory Director or Laboratory Coordinator.

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GLOSSARY OF TERMS

Accession Number - A unique number assigned to a collection or, in some cases, an object for purposes of identification not description (Buck and Gilmore 1998).

Accession - Property management term is “acquisition”. A transaction whereby one or more objects and/or specimens is or are acquired in the same manner from one source under one type of transaction [(i.e., a gift or curation package)] on one date. Accessioning is the process of formally accepting and establishing permanent legal title (ownership) and/or custody (Malaro 1985; NPS 1996: 2:1; Childs and Corcoran 2000).

Acquisition - See Accession.

Agreements - See *Curation Contract*.

Appraisal - The practice of an expert assigning a monetary value to the museum property for a specific management purpose (e.g., to designate controlled museum property, or in preparation for an exhibit, loan, or deaccession) (Malaro 1985).

Archival - "Materials that have been manufactured of inert materials specifically designed to extend the life of artifacts and records by protecting them from agents of deterioration" (Griset and Kodack 1999:156).

Associated Records - “Original records (or copies thereof) that are prepared, assembled and document efforts to locate, evaluate, record, study, preserve or recover a prehistoric or historic resource” (36 CFR 79.4(a)(2)).

Catalog - A unique representative number that relates an artifact/lot to its provenience information. May be completed at the artifact or material class level.

Collection - “Material remains that are excavated or removed during a survey, excavation or other study of a prehistoric or historic resource, and associated records that are prepared or assembled in connection with the survey, excavation or other study” (36 CFR 79.4(a)).

Conservation - The interventive (hands-on) work of preserving object(s). Conservation is a stabilizing technique, which maintains the object's physical, historic, and/or scientific integrity (Childs and Corcoran 2000).

Consumptive Use - The conscious damage of objects and/or specimen through use that results in loss due to wear, weathering, destructive analysis, hands-on educational activities, or other uses in which the interpretive or scientific benefits are considered to justify the degradation or loss.

Cultural Affiliation - As defined under NAGPRA, cultural affiliation is "a relationship of shared group identity which can be reasonably traced historically or prehistorically between a present day Indian tribe or Native Hawaiian organization and an identifiable earlier group" (25 U.S.C §3001.2(3)).

Cultural Patrimony (objects of) - "An object having ongoing historical, traditional, or cultural importance central to the American Indian group or culture itself, rather than property owned by an individual Native American, and which, therefore, cannot be alienated, appropriated, or conveyed by any individual regardless of whether or not the individual is a member of the Indian tribe or Native Hawaiian organization and such object shall have been considered inalienable by such Native American group at the time the object was separated from such group (25 U.S.C §3001.2(3)(D)).

Curation - Embraces all aspects of professionally caring for the collections and the objects they contain, including, but not limited to accessioning, cataloguing, maintaining, preserving, and deaccessioning the collections and their parts (Malaro 1985). The process of "managing and preserving a collection according to professional museum and archival practices" (36 CFR 79.4(b)).

Curation Contract - A written agreement between the Waring Laboratory and another entity that may or may not involve transfer of money for the explicit purpose of the care and maintenance of an archaeological collection. Transfer of ownership does not occur.

Deaccession - The formal process used to remove permanently an object from the collections (Malaro 1985: 138).

Deed-of-Gift - A contract whereby the collection owner gives up all rights and privileges to a collection to the Waring Laboratory. Transfer of ownership does occur (Buck and Gilmore 1998).

Funerary Objects - "Items that, as part of the death rite or ceremony of a culture, are reasonably believed to have been placed intentionally at the time of death or later with or near individual human remains (25 U.S.C §3001.2(3)(A)).

Held-In-Trust - Refers to a collection that is cared for by the Waring Laboratory but owned by another outside agency.

Inventory - An itemized listing of objects; the act of physically locating all or a random sample of the items for which a unit is responsible (Malaro 1985).

Lineal Descendant - "An individual tracing his or her ancestry directly and without interruption by means of the traditional kinship system of the appropriate Indian tribe or Native Hawaiian organization or by the common law system of descentance to a known Native American individual whose remains, funerary objects, or sacred objects are being claimed under these regulations" (43 CFR 10.2(b)).

Loans - Temporary assignments of collection objects from or to the Waring Laboratory of similar objects for stated purposes such as exhibition and research. These assignments do not involve a change in ownership (Malaro 1985).

Material Remains - "Artifacts, objects, specimens and other physical evidence that are excavated or removed in connection with efforts to locate, evaluate, document, study, preserve or recover a prehistoric or historic resource" (36 CFR 79.4(a)(1)).

NAGPRA - Native American Graves Protection and Repatriation Act. 43 CFR Part 10. 2003.

Preventive Conservation - "Delays deterioration by providing a favourable environment for every object" (Thompson 1992).

Provenance - The background and history of ownership for an object or records (Childs and Corcoran 2000).

Provenience - The original physical context or location of an object or group of objects.

Records - "(1) All information fixed in a tangible (textual, electronic, audiovisual, or visual) form that was created by an organization as part of its daily business. (2) Two or more data fields that are grouped as a unit in machine-readable records." (NPS 1996:D:64). "Federal records are defined as all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them" (36 CFR 1222.12).

Remedial Conservation - "Removing destructive elements and introducing unobtrusive support for degraded material, aims to prolong the life of objects, and to present them in a form which enables their original purpose and qualities to be understood and appreciated" (Thompson 1992).

Repatriation - To return or restore the control of an object or collection to the country of origin or rightful owner. Used to describe the return of items to lineal descendants or culturally affiliated tribes under NAGPRA (25 U.S.C §3005(c)).

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