

# Collection and Curation Policy

# AMERICAN INSTITUTE of PERFORMING ARTS COLLECTION AND CURATION POLICY

## Contents

1. Purpose
2. Acquisitions
3. Institute Collections
4. How AIPA Objects and Collections are Acquired
5. Priorities for Acquisition
6. Ethics of Acquisition
7. Laws Governing Acquisition
8. Conditions of Acceptance
9. Standards of Documentation
10. Appraisal and Authentication of Acquisitions
11. Accessioning Acquisitions
12. Maintenance of the Collections
13. Curation
14. Dispositions
15. Legal and Ethical Constraints
16. General Policy on Dispositions
17. Recommendation of Curator
18. Transfer
19. Disposal
20. Private Collections: Conflicts of Interest and Ethical Constraints
21. Use of Collections
22. Loans
23. Incoming Loans
24. Outgoing Loans
25. Access to Collections
26. Destructive Analysis
27. Use in Exhibitions
28. Commercial Use of Institute Objects

**1. Purpose.** The Purpose of AIPA is educate, entertain and inspire the general public and increase its appreciation of the performing arts by providing to it on a noncommercial not for profit manner, media of productions of performing arts emphasizing art music performances of symphonic orchestras, lyric operas and ballet, traditional music including genres of folk, blues and jazz, regional and national music and popular music to be distributed on noncommercial public and educational broadcasting and alternative noncommercial not for profit distribution, such as web casts.

To support the performing arts by distributing the recording of its performances to schools and universities to be used in connection with the Music Appreciation curriculum in a noncommercial not for profit manner.

To support the performing arts by distributing exchanges of media of productions of regional and national performing arts to be distributed on noncommercial public and educational broadcasting and alternative noncommercial not for profit distribution, such as web casts, and in so doing to educate, entertain and inspire the general public and increase its appreciation of the performing arts.

To support the educational, entertainment and inspirational purpose of the organization by the production and distribution of companion website materials suitable for K-12 and adult education to supplement broadcast material and to make this material available on noncommercial public and educational broadcasting and alternative noncommercial not for profit distribution, such as public television, educational, and the Institute's web sites

This document reaffirms existing policies and explains administrative intent governing the acquisition, use, and disposition of those collections by the AIPA Institute and its staff, both herein after referred to as AIPA. The rules set forth in this policy statement:

- Outline basic priorities for adding new objects to the collections.
- Provide direction for acquisition of collections by AIPA.
- Affirm that the highest ethical standards will be met by AIPA staff in all transactions, including avoidance of conflicts of interest.
- Affirm that AIPA staff will comply with all domestic and foreign laws and regulations governing the collecting of objects, the transfer of ownership of those objects, and the movement of objects and collections across political boundaries
- Assure that the standards of documentation for acquisitions shall equal or exceed those current in the respective musical disciplines relating to particular collections.
- Define the conditions of acceptance that may be placed upon objects to be acquired by AIPA or on its behalf.
- Define the conditions and procedures for permanent removal of objects from AIPA collections.

These policies are concerned with AIPA's musical archives, herein after referred to as 'archives' However, unless explicitly excluded below, these policies also apply to any 'teaching collections' maintained by AIPA whether or not they are from the archives, borrowed from outside sources, or specially purchased for the purpose.

The following definitions apply:

- 'Collection' is an assemblage of performing arts objects acquired, accessioned, and conserved because of their musical and historic significance and educational value.
- 'Object' encompasses all recordings, tapes, collection materials, including, but not limited to, specimens, artifacts, articles, photographs, illustrations, drawings, archival and library materials, and records, and exhibits and licenses to use same whether limited by time or broadcasts.
- 'Acquisition' involves all transactions by which title to incoming objects is transferred to AIPA or by which the objects come under the professional

- administrative and curatorial control of AIPA, and includes licenses, gifts, bequests, purchases, exchanges, and other transfers, in addition to collection by Institute staff.
- 'Disposition' involves all transactions by which title to outgoing objects is transferred from AIPA to another institution or individual, as well as disposal by intentional destruction.
  - 'Accession' refers to the specific procedures that are followed in the preliminary logging of new objects into AIPAs collections following acquisition.
  - 'De-accession' refers to the specific procedures that are followed in removing objects from AIPA's collections in preparation for disposition.
  - 'Curation' embraces all aspects of professionally caring for the collections and the objects they contain, including, but not limited to, acquiring, accessioning, cataloging, maintaining, preserving, restoring, de-accessioning, and disposing of the collections, objects, field notes, databases, and other associated records and documentation.

Note that acquisitions and dispositions do not include 'loans' or 'chain of custody evidence' both of which are the temporary transfer of collection objects to and from AIPA without a change of ownership (see '23. Incoming Loans' and '24. Outgoing Loans' below).

## 2. ACQUISITIONS.

3. **Institute Collections.** Just as libraries are archives of printed and recorded materials, Institutes are archives of objects; Performing Art Institutes assemble archives for collections of recordings of performances and related materials. These collections form a basis for the continuing reappraisal of our knowledge of the past, present, and future. AIPA is not intended as a repository of archives. Original musical research, based upon archives, is not ordinarily carried out at AIPA, which has as its primary purpose the distribution of performances to educate, entertain and inspire the general public. Our acquisitions, therefore, are ordinarily not objects acquired for their musical or historic significance, but ordinarily are objects or copies of objects acquired for primary and direct use due to their educational value in the context of the Institute. AIPA's teaching collections are usually of objects with demonstrative rather than primary musical value on public display in the exhibits prepared by AIPA. Our knowledge about performing arts is explained to the public through production exhibits, lectures, multimedia companion website materials, and other appropriate methods. Such explanations depend on carefully selected objects from the collections and exhibits coupled with the knowledge and expertise supplied by the musical staff, consultants, the Board and the Advisory Board.

Thus AIPA's policies toward its collections bear directly on its continuing ability to influence and support both the musical community through research and educational activities and the lay community through education, inspiration and entertainment.

4. **How Musical, Objects and Collections are Acquired.** AIPA is empowered to accept, preserve, maintain, or dispose of the specimens and materials to build its archives and exhibits. Many of the objects are collected by AIPA staff in the course of their cultural enrichment activities. The title to objects created, produced or collected by full time Institute staff, or part-time employees during their regular working hours, or with public or private grant funding is vested in AIPA. Most research or curation grants and contracts for AIPA provide for the objects collected or produced by Institute staff to be placed in AIPA. Most of the collection consists of licenses for limited purposes and duration.

5. **Priorities for Acquisition.** It is intended that the collections will be of international significance and are used in research, identification services, and educational activities. The collections can be improved by selective addition of new objects.

AIPA cannot engage in indiscriminate acquisition. The diversity of performing arts is so extraordinarily large that physical space limitations alone make comprehensive collecting impossible. The financial aspects of fulfilling AIPA's continuing obligation to preserve, maintain, and use representative samples of the universe of performing arts media limits our acquisition capabilities. Consequently, a schedule of priorities for new acquisitions has been adopted. Consideration must be given to policies covering disposition of objects that may no longer be appropriate or necessary for AIPA's areas of interest.

**First Priority.** To strengthen collection areas in which AIPA has a current specialization and recognized interest, and for which there is an interest to use these collection items for non-commercial public broadcasting and education.

**Second Priority.** To broaden the comparative base of our established collection areas.

**Third Priority.** To obtain collections of a general nature that are within the broad interests of AIPA.

It is recognized that acquisition of objects often must be opportunistic. From time to time, collections of recognized national or international significance become available from individuals or institutions that no longer are able or willing to preserve, maintain, and use them in research and educational activities. Acceptance of responsibilities for such collections may involve establishing a new area of interest within AIPA. Acquisition of such collections must be judged on their individual merits, carefully weighing the values and costs of such additions against the evolving programs and emphases of AIPA (see '11. Accessioning Acquisitions' below).

6. **Ethics of Acquisition.** All acquisitions by AIPA staff shall reflect its commitment to preserve and guard the cultural heritage of mankind. Objects that have been collected recently in such a careless manner as to impair their musical value shall not be accepted, e.g., objects taken without proper recording of provenance documentation.

7. **Laws Governing Acquisition.** Objects will be acquired only when they have been collected, exported, possessed, and imported in full compliance with the laws and regulations of the country or countries of origin, of the Federal Government of the United States, and of the individual states within the United States. These standards also will be taken into account in determining whether to accept loans or licenses for exhibition or other purposes. Reasonable efforts will be made to ensure that these conditions are met, that title to the object or objects may properly be transferred to AIPA, and that AIPA keeps up to date on the changing laws and regulations concerning object collecting, ownership, and movement across political boundaries. AIPA will cooperate with authorities of the United States and other countries in legal action against those committing improprieties.

In an attempt to avoid encouraging, even indirectly, trade in illicit or irresponsibly recovered objects, AIPA will not authenticate any object whose acquisition does not meet AIPA's own criteria for acquisition. In addition, if AIPA should inadvertently acquire an object that is later determined to have been exported or recovered in violation of AIPA's acquisition policy, AIPA will promptly return the object to the owner or transferor, or to the government of the country of origin, or to another appropriate recipient.

8. **Conditions of Acceptance.** With very few exceptions, all acquisitions are unconditional. AIPA normally cannot accept objects on which the owner has placed restrictions that would prevent effective research examination, normal exhibition use, loan, or disposal in accordance with this established policy. AIPA also cannot accept objects with restrictions requiring that they be placed on exhibition, or that the collection of which they form a part should be kept together permanently and/or displayed only as a discrete collection. Under extraordinary circumstances, objects can be accepted with the requirement that AIPA retain ownership for a negotiated period of time or where use is restricted by license to a number of broadcasts or a duration.

9. **Standards of Documentation.** Minimum requirements of documentation, including provenience, vary in accordance with the specific standards of the archives. Such standards are necessary requisites for objects to be added to the archives. We cannot afford to permanently house objects lacking musical or educational value. Objects with less than complete data, but having musical or educational value, may be accessioned at the discretion of the Executive Director.

10. **Appraisal and Authentication of Acquisitions.** No member of AIPA staff shall, in his or her official capacity, give appraisals for the purpose of establishing the tax deductible value of gifts or purchases offered to AIPA. The U.S. Internal Revenue Service prohibits appraisals from a recipient institution that is directly involved in the transaction. Only appraisals from disinterested third parties are accepted. No member of AIPA staff knowingly shall appraise, identify, or otherwise authenticate objects or cultural objects for other persons or agencies under circumstances that could encourage or benefit illegal, unethical, or irresponsible traffic in such objects. Identification and authentication may be given for professional or educational purposes and in compliance with the legitimate requests of professional or governmental bodies or their agencies.

Where appropriate, AIPA will assist owners in finding qualified professionals who can provide appraisals.

11. **Accessioning Acquisitions.** Before any nationally or internationally renowned, monetarily valuable, or musically extraordinary collection is accessioned into an Institute collection, a summary report must be completed and filed in the permanent records of that research collection. The report shall contain the following information:

1. Which research collection will receive the acquisition.
2. Name of collection being acquired.
3. Summary of contacts with owner or administrator; names and dates.
4. Name of collection owner if different from initial contact.
5. Items in collection, e.g., number of objects or number of lots, books, notes, photographs.
6. Statement about the provenience of the objects - a brief summary should be provided for large collections containing hundreds of objects with varied or extensively detailed provenience.
7. Copies of documentation certifying to the legality of the collection, e.g., export permits from the country of origin, U.S. federal or state permits, statement from owner.
8. Signed letter, document, or certificate from the owner stating that title to the collection is being transferred to AIPA.
9. Date collection was transferred to AIPA.
10. Names of people involved in the acquisition.
11. Date and signature of the curator and/or collection manager.
12. A copy of the acknowledgment certificate given to the owner.
13. Information detailing the circumstances of original acquisition and the curatorial history of the collection.

**If the collection is a large one**, which will require considerable curation (i.e., expense) before it is fully incorporated into the research collection and available to researchers, the following additional information must be included:

14. How the collection will be transported to AIPA.
15. Cost of transporting the collection to AIPA.
16. Where the collection will be held while it is being processed into the research collection.
17. Projected time needed for curation.
18. Projected cost of curation, including extra staff, cabinets, labels, computer entry, etc.

Before any sizable collection can be acquired and accessioned, the Executive Director of AIPA must be made aware of the curatorial time and budget that will be committed to integrating the collection into the research collection.

## 12. MAINTENANCE OF THE COLLECTIONS

13. **Curation.** All the collections in AIPA shall be curated consistent with our mission and purpose according to the highest professional standards. That curation aims to preserve and maintain the collections, and the objects and associated data they contain, so they will be available in perpetuity for use in studies and exhibitions (the rare exceptions are discussed below under '19. Disposal' and '26. Destructive Analysis'). To assure that those standards are met, each collection in AIPA shall be assigned the responsibility of a particular curator.

## 14. DISPOSITIONS

15. **Legal and Ethical Constraints.** All of the provisions for disposition shall be consistent with the ethical and legal constraints set forth in '6. Ethics of Acquisition', '7. Laws Governing Acquisition', and '13. Curation' above. No transfer or disposal shall be made of any objects held by AIPA in bond. AIPA acts as custodian of objects for the broader benefits of society. This, at times, requires permanent removal of objects from AIPA. AIPA's legal, professional, and moral obligation to maintain its collections for the public good extends even to dispositions. When dispositions are appropriate, every effort should be made to transfer objects to other Institutes or public institutions where they will continue to be available for research and education. See also '26. Destructive Analysis' below. Such transactions must not profit individuals or private institutions. A record of all transfers and disposals shall be maintained as part of the permanent records of AIPA. AIPA's Policy as expressed herein is intended to incorporate, take account of and comply with all applicable laws and regulations including, where applicable, those indicated in the UNESCO Convention 1970.

16. **General Policy on Dispositions.** Objects in the collections should be retained permanently if they continue to be useful to the purposes and activities of AIPA; if they continue to contribute to the integrity of the collections; and if they can be properly stored, preserved, and used. Upon the recommendation of the curator, objects may be disposed of by formal de-accessioning when the above conditions no longer exist, or if it is determined that such action would ultimately improve or refine the collections, upon compliance with all legal requirements.

17. **Recommendation of Curator** Each object being considered for de-accessioning must meet the following criteria as evidenced by the written recommendation of the curator in charge to the Executive Director of AIPA, and based upon one or more of the following:

- The object lacks value for musical research or documentation, or for educational use.
- The object no longer retains its physical integrity, its identity, its provenience, or its authenticity.
- The object is not relevant to or consistent with AIPA's function and purpose.



- Exchange of a redundant object (one of a series of similar objects with similar provenience in the collection) with a recognized public systematics collection or natural history Institute will improve and refine AIPA's collection.

Such de-accessions shall be made by transfer or disposal.

18. **Transfer.** Permanent transfers of musically valuable objects may be recommended by the curator in charge and approved by the Executive Director of AIPA in compliance with the statutes and regulations of the State of Illinois and of the United States. Except in extraordinary circumstances they shall be made only to other public institutions. Transfers to private individuals shall be made only when the curator can demonstrate a benefit to the collection or Institute, and only after approval of the Director.

All objects or collections with a fair market value reasonably expected to be in excess of \$1,000.00, shall require prior approval of the Director before transfer from AIPA.

19. **Disposal.** Over the years, as standards of object documentation change, as the collections grow and objects suffer deterioration, biological and anthropological objects that formerly were a significant part of the archives may become surplus. Removal or culling of such objects from the archives is a continual and routine process.

Departments of AIPA may devise specialized discard procedures for certain types of collections, but any such specialized procedure must be approved by, and on file with, the department Executive Director.

If objects in AIPA's collections were acquired from U.S. Federal agencies with the legal obligation to curate these objects in perpetuity, before AIPA can dispose or transfer any such objects from federal agencies, the appropriate agency must agree in writing to the de-accessioning.

20. **Private Collections: Conflicts Of Interest and Ethical Constraints.** If a curator, collection manager, technician, research assistant, or other Institute employee were to maintain a private collection in his or her professional field of interest, the temptation would be great to put particularly valuable objects in the private collection rather than in AIPA collection. Because of this potential conflict of interest, Institute employees are prohibited from having private musical collections, or objects of musical interest in collections, that are in their professional field of interest.

Collections of performing arts interest and associated field notes or xerographic copies made by professional Institute employees with the use of Institute funds, direct or indirect, complete or partial, in the broadest sense, within the field of the persons employed shall be Institute property. Similar collections made by other Institute employees outside their professional field of interest and outside the areas in which AIPA has active interest or maintains curated collections, are permitted with AIPA reserving the option of first refusal. No authority shall be granted AIPA to restrain or restrict the

principal investigator's use of his or her own field notes. Should the principal investigator leave AIPA staff, a complete copy of the field notes shall be left with AIPA.

Personal collections, where permitted by the above policy, may be amassed by Institute employees only through compliance with applicable state and federal laws.

These restrictions also apply to synoptic collections. However, if a person leaves AIPA, such collections may then be made available to his or her new institution.

In addition, every student working in AIPA is subject to the above policies which will be communicated by consultation between the student and his or her immediate supervisor in AIPA.

Objects in private collections made before association with AIPA, are exempt from the policy in this 'conflict of interest' section.

The private collection policies set forth in this apply to employees only.

Any dispute arising from this section shall be resolved by an ad hoc collections committee composed of one curator from Anthropology, one from Natural Sciences, one collections manager from the department concerned, and AIPA Director.

## 21. USE OF COLLECTIONS

22. **Loans.** Materials from the archives may be loaned to or borrowed from other Institutes, universities, and other appropriate public institutions for research and/or exhibition purposes. A record of all incoming and outgoing loans shall be maintained as part of the permanent records of AIPA.

23. **Incoming Loans.** Incoming loans shall be accepted only for purposes of research or exhibition under the following conditions:

1. No indefinite or long-term loans shall be accepted, but exceptions may be authorized by the Executive Director on recommendation of the staff.
2. Incoming loans shall not be accepted if they do not meet the same standards set forth in '6. Ethics of Acquisition' and '7. Laws Governing Acquisition' above.
3. While the loans are in our care, they will be handled, conserved, stored, and exhibited, as required by the lending institution or otherwise accorded the same professional care as if they were part of AIPA's collections.

24. **Outgoing Loans.** AIPA lends objects to qualified institutions for scholarly research and exhibition subject to the policies and practices consistent with each of AIPAs collections. However, the following pertain to all outgoing loans:

1. Objects shall not be lent to individuals except under exceptional circumstances and then only on the recommendation of the Curator and with the approval of the Executive Director. Before lending to individuals, the curator in charge must make every effort to seek an institutional affiliation or endorsement for that person. If an institutional affiliation is impossible to establish, then written reasons must be stated with the loan form.
2. Objects requested by students will require faculty or institutional endorsement and will be considered the direct responsibility of the faculty member or institutional representative endorsing the request.
3. Loans shall not be transferred by the borrower to any other institution or individual without prior written approval.
4. The maximum duration of any loan shall be one year, but shall be subject to renewal.
5. Objects shall not be loaned for destructive analysis except as provided in '26. Destructive Analysis' below.

25. **Access to Collections.** During normal operating hours, the collections shall be accessible 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, exhibition requirements, and availability of appropriate curatorial staff.

26. **Destructive Analysis.** Since aspects of it are related to '13. Disposal', research involving destructive analysis is a specialized use and requires special consideration. Destructive analysis is not allowed, except under exceptional circumstances, and requires the prior approval of the curator in charge. AIPA's legal, professional, and moral obligation to maintain its collections for the public good extends even to destructive analysis.

On occasion, destructive analysis of specimens yields information which benefits the research collection and is in the public interest. This is particularly true when redundant, not unique, specimens or materials are involved.

When destructive analysis is appropriate, every effort should be made to limit destruction to less than the entire specimen and to save what remains so it will continue to be available for research and education.

Requests for destructive analysis must detail the specimens or materials required and the procedures to be conducted. Any remains from the analysis remain the property of AIPA unless other provisions are specifically allowed in writing by the curator in charge prior to destruction. The data resulting from the destructive analysis shall become part of the collection of AIPA and will be maintained with the records associated with the materials analyzed.

27. **Use in Exhibitions.** AIPA places original, reconstructed, and duplicated objects from the collections on public exhibition. These objects remain the curatorial

responsibility of the archives from which they originated, and shall be treated in a manner consistent with the policies stated above. If the Executive Director determines that exhibition will damage the objects, or is damaging the objects, from the research collection, the situation shall be remedied immediately. Such remedy may entail removal of the objects from.

28. **Commercial Use of Institute Objects.** AIPA collections normally are not available for commercial non-educational use. However, at the discretion of the curator in charge and with approval of the Director, objects may be made available for reproduction for commercial sale. The curator and other Institute professionals shall be the judge of quality control, selections, and marketing with approval of the Director. Such commercial use shall be consistent with this collections policy. Copyright for reproduction of Institute objects shall remain the property of AIPA (as dictated above in '4. How Objects and Collections are Acquired').