



KENTUCKY HISTORICAL SOCIETY

Collections Management Policy

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A note on definitions:

KHS and Society refers to Kentucky Historical Society.

The Policy refers to the Collections Management Policy.

“Collections staff” refers to those employees who have primary responsibility for the stewardship of the Kentucky Historical Society’s (KHS) object and archival collections. The collections staff will have specialized training and experience and may be identified with position titles such as Curator, Registrar, Archivist, Digital Archivist, Collections Specialist, and Processing Specialist.



MISSION STATEMENT

We educate and engage the public through Kentucky history in order to meet the challenges of the future.

FROM THE CHARTER OF THE KENTUCKY HISTORICAL SOCIETY (KRS 171.311)

The Kentucky Historical Society "shall collect, maintain, and preserve authentic records, information, and artifacts connected with the history of the Commonwealth and the genealogy of her peoples; and promote a wider appreciation of the American heritage, with particular emphasis on the advancement and dissemination of knowledge of the history of Kentucky. The society may receive and hold by donation or devise, real or personal property to any extent and may, by gift, loan, purchase, or otherwise hold books, papers, documents, historical memorials, and any other articles suited to promote the objects of the society in the Thomas D. Clark Center for Kentucky History, the Old State Capitol Building, or the Kentucky Military History Museum, but all such property shall be held in trust for the Commonwealth of Kentucky according to the terms of acceptance."

GOVERNANCE

The Kentucky Historical Society's Charter (KRS 171.311) establishes that the agency is governed by a seventeen-member governing board that appoints an Executive Director and establishes policies for the institution. The Executive Director, who serves as the operating management officer of the Society, is guided by the direction of the board president and by all policies established by the board. All other staff positions are employed by the Executive Director and operate under the Executive Director's supervision.

APPLICABLE LAWS

Legal and Professional Ethical Statement

The Kentucky Historical Society abides by state and federal laws as well as professional ethics that govern collecting activities. All actions shall be evaluated to avoid violations of legal and ethical standards.

KHS ethical guidelines are modeled on:

American Alliance of Museum
Society of American Archivists

Applicable State laws related KHS collections include:

KRS 171.311
KRS 171.321
Kentucky Antiquities Act 1962 (KRS 164.705 - KRS 164.735; KRS 164.990)
Violating Graves Statute (KRS 525.115)
Property on Loan Museums Statute (KRS 171.830 to .849)
Kentucky Open Records Act (KRS 61.870 to KRS 61.884)

Applicable Federal Laws:

American with Disability Act of 1990
Visual Artist Rights Act (AVARA) 1990
Antiquities Act 1906
Archeological Resources Protection Act 1979
Lacey Act 1900
Endangered Species Act 1973
Convention on International Trade in Endangered Species (CITES)
Native American Grave Protection and Repatriation Act 1990

PURPOSE AND MANAGEMENT RESPONSIBILITY

The Executive Director of the Kentucky Historical Society, with the assistance of the Director of Research and Collections, shall recommend to the Governing Board policies that ensure the acquisition, preservation, use, and disposition of collections materials.

The Executive Director designates that the Director of Research and Collections shall monitor compliance with the Collection Management Policy. This director will periodically review the policy for effectiveness and flexibility. As appropriate, policy improvements will be recommended to the Executive Director and sent to the Governing Board for approval. The Registrar is responsible for reporting annual activities covered in the Policy to the Executive Director each fiscal year.

The Executive Director delegates to the Director of Research and Collections the responsibility for ensuring that this policy and all related policies and procedures are implemented. The collections staff shall develop and implement necessary procedures to govern the day-to-day conduct of collections-related activities. These procedures shall include, but not be limited to, the acquisition, accession, processing, cataloging, research use, exhibit, care, loan, and deaccession of KHS collections. These procedures shall reflect the highest standards of the profession.

COLLECTIONS COMMITTEE

The Executive Director appoints members of the Collections Committee based on recommendations from the Director of Research and Collections, who chairs the Collections Committee. The Collections Committee will open its deliberations to all interested staff members and keep a record of its proceedings.

The Collections Committee will consist of staff who are knowledgeable in Kentucky history and will make recommendations regarding the Society's collection management activities. Collection Committee members will represent a cross-section of KHS.

The Collections Committee will review donation assessments, potential purchases, and transfers on a regularly announced schedule. A quorum of at least half of the voting members of the committee must be present for a vote to occur. A majority vote of the committee members present is required for a collection to be accepted into a KHS Collection.

Using established procedures, the Collections Committee shall make recommendations regarding:

1. New acquisitions of KHS Collection items.
2. Determination the appropriate placement within KHS Collections. (See Types of Collections)
3. Review Collections staff recommendations for care, preservation, and conservation priorities and conservation treatments.
4. Review of loans to and from the Society.
5. Proposed deaccessions from any KHS Collection, except Special Use Collection items, and the appropriateness of the disposal methods.
6. Actions to ensure the proper care and documentation of collections at the Society.

Actions of the Collections Committee, including recommendations regarding acquisition, loans, deaccession, and disposal, will be recorded in official minutes and presented to the Executive Director monthly.

SCOPE OF KHS COLLECTIONS

The Kentucky Historical Society prioritizes the collecting of authentic and original objects, artworks, documents, recordings, digital materials, and images related to human experience in the geographical area currently known as Kentucky for its KHS Collection. KHS also collects similar material related to the



lives of prominent or significant people who are identified with the geographical area now known as Kentucky for its KHS Collection.

KHS also collects nonoriginal materials representative or illustrative of the history of Kentucky and Kentuckians for its Library and Special Use collections.

Criteria

These issues will be considered based on the needs outlined in the KHS Collecting Plan as well as the answers to the following:

Does it support KHS's charter and mission?

Does it have multiple potential uses for our staff and audiences?

Is KHS the most appropriate place for it?

Can KHS adequately care for it?

Does it duplicate something KHS already has?

TYPES OF KHS COLLECTIONS

The KHS Collection shall be divided into the following sub-collections:

1. **Permanent Collection:** Historically significant objects, rare books, and archival materials that help the Society preserve Kentucky's diverse heritage. Accessions to the Permanent Collection are intended to be in the Society's care and held in public trust for future generations. The Permanent Collection is subject to special procedures for handling, storage, recordkeeping, and exhibition.
2. **Oral History Collection:** The Oral History Collection, which includes interviews collected by KHS and those submitted by the Kentucky Oral History Commission (KOHC), is part of the Permanent Collection. KRS 153.380, which establishes the KOHC, directs KHS to store and process KOHC-submitted oral history collections. Collections submitted by the KOHC may be subject to joint ownership and special access procedures enumerated elsewhere.
3. **Library Collection:** Books, pamphlets, serials, maps, atlases, microfilm, microfiche, and other written or digital documentation intended for public dissemination. Printed/published materials are available for research by staff and the public and may also be used for loans and exhibitions. The Library Collection is subject to its own accessioning and deaccessioning procedures enumerated elsewhere.
4. **Special Use Collection:** Items that have a lower standard of care which allows use in hands-on activities and demonstrations or as display props. Procedures overseeing Special Use collections use are not include of the KHS Collection and therefore are not subject to accessioning and deaccessioning policies of the KHS Collections. Objects and archival material transferred from other KHS Collections to the Special Use Collection must first be deaccessioned. Special Use pieces have alternate procedures for handling, storage, and recordkeeping.

Temporary Custody

The Kentucky Historical Society may retain materials on temporary custody for the purpose of acquisitions, staff study or research, or photographic or digital reproduction. Placing materials on temporary custody at the Kentucky Historical Society does not constitute a transfer of legal title. Pursuant to KRS171.830 to 171.849 materials placed in temporary custody to KHS are legally defined as loans.

1. Only collections staff may place materials into temporary custody. The Registrar shall maintain all records of the temporary custody to ensure the adherence to all stated conditions.

2. KHS will abide by all conditions found on the reverse of the temporary custody form or other appropriate form used by collections staff.
3. The period of temporary custody shall not exceed 90 days. KHS, with the permission of the owner, may renew the temporary custody receipt for an additional period not to exceed 90 days. The Registrar will report any items remaining in temporary custody beyond this time to the Collections Committee.
4. Materials on temporary custody to the Kentucky Historical Society will receive the same professional level of care as similar collection materials owned by KHS. The Society, however, will not insure materials received on temporary custody unless otherwise agreed to and noted on the appropriate form.
5. It is the owner's responsibility to notify KHS of any change in contact information or transfer of ownership. If the owner refuses to or cannot claim any materials left in temporary custody, the Kentucky Historical Society will apply the Kentucky Property on Loan to Museums Law, KRS171.830 to 171.849.

Care, Preservation, and Conservation

The Kentucky Historical Society understands and follows accepted professional practices concerning care, preservation, storage, security, and use of all items in the KHS collection. Strenuous efforts will be made to monitor and protect all items in the KHS collection from careless handling, vandalism, theft, fire, water, infestation, exposure to environmental hazards (including excessive light, pollution, humidity, etc.), and natural disasters.

Records

KHS will maintain records on all items accepted into the KHS Collection. These records are maintained to establish clear title, provide accountability, and provide access to information for staff, researchers, and the public. KHS strives to maintain these records according to current accepted professional practices. Each discrete collection—object, archival, oral history, and library collections—will use the appropriate electronic format and accepted professional organizational guidelines to maintain these records. All records pertaining to legal ownership of collections items will be maintained by the Registrar.

The records of the Kentucky Historical Society institutional archives are maintained by the KHS Records Officer (the Archivist) in accordance with state and agency records retention policies.

Inventory

Regular, periodic comparison between collections records and the physical collection provides accountability to the board and staff of the Kentucky Historical Society as well as the public. Inventories of the KHS Collection will be performed by the appropriate collections staff for the purpose of confirming the status of and reconciling an object's location with its current record. The collections staff is responsible for all inventory records produced. Reports of completed inventories will be submitted to the Director of Research and Collections.

ACCESS TO COLLECTIONS

The Kentucky Historical Society supports and encourages research and the scholarly use of its collections. The Society seeks to provide maximum access to its collections through various means and media in accordance with best museum and archival practices. This access may include, but is not limited to, exhibitions, examination, loans, education, and interpretive programs, institutional or other scholarly research publications, websites, and other media.

For patrons wishing to access objects, KHS will follow relevant procedures to ensure the safety of the objects. Anyone using the collections for publication, broadcast, or exhibition must follow the Society's Rights and Reproductions process. Patrons are responsible for obtaining necessary rights and/or copyright clearances prior to any publication use.

LOANS

The Kentucky Historical Society encourages loans to provide maximum public accessibility to all its collections. This loan program will strive to be consistent with the needs of the Society's education,

research, and exhibition programs while serving the need of long-term collections preservation. Loans will be governed by the following regulations:

1. With the exception of Library and Special Use materials, the Collections Committee must approve all incoming or outgoing loan proposals of collections materials.
2. All loans, whether incoming or outgoing, will be for a specified period of time agreed to in advance. With the agreement of both parties, loans may be renewed or extended for additional specified periods.
3. The Kentucky Historical Society will not establish loans of material on a "long-term" (i.e. any loan over two years) or "indefinite" (any loan without an end date) basis under any circumstances.
4. All incoming and outgoing loans must be accompanied by a formal, written agreement specifying both the beginning and end date for the loan.
5. No materials from the KHS Permanent Collection will be loaned for use in theatrical productions. Requests for materials from the Special Use Collection for theatrical productions will be subject to the Special Use Collection guidelines.
6. With the exception of Library and Special Use materials, the Registrar's office is responsible for the documentation of all incoming and outgoing loans. The Registrar's office will monitor loan agreements to ensure that the conditions of the loan are met and that loan items are returned in a timely manner.
7. The Kentucky Historical Society's loan agreement will be the primary legal document of record for all outgoing loans. All loans are subject to the conditions as stated on the reverse of the agreement. Other restrictions may be added on a case-by-case basis.
8. Outgoing loans may be made to institutions for exhibition, educational, or scholarly purposes, providing the borrowing institution can provide adequate care for the object to prevent loss, damage, or deterioration.
9. The borrowing institution will insure all items loaned at the value assessed by KHS. A copy of the certificate of insurance will be requested and secured before the beginning date of the loan.
10. Loaned materials must be able to withstand the rigors of travel, climate changes, and handling. The Registrar's office will make sure all loan materials are appropriately packaged for transportation.
11. Loaned objects must be numbered and registered by accession or catalog number prior to shipment.
12. Items which are unavailable for loan due to condition or other factors may be provided through facsimile reproduction, at the expense of the requesting organization/office.

SPECIAL OUTGOING OBJECT LOANS

A special policy is established to regulate use of items from the Kentucky Historical Society's object collection by officials of the government of the Commonwealth of Kentucky. The purpose of this policy is to facilitate compliance with the needs of those officials in conducting their duties while maintaining the integrity of the Society's collections, insuring proper care of KHS collection items, and helping the Kentucky

Historical Society fulfill its charter and public trust obligations. The following guidelines apply for the use of the KHS Collection by only the following specified government officials and within specified areas: the Governor of the Commonwealth of Kentucky (public office space), the Adjutant General of Kentucky (public office space), and the Division of Historic Properties (Executive Mansion and Old Governor's Mansion). **In all cases, approved officials are required to provide timely notice in arranging loans, bearing in mind the Kentucky Historical Society's limited staff size and ongoing responsibilities.** Offices and agencies of the Kentucky state government not included in the following Special Outgoing Loan agreement must follow the Kentucky Historical Society's Loan Policy.

1. Office of the Governor
 - A. Objects loaned to the Office of the Governor will not be taken from permanent exhibits in the museums, and such loans will not be disruptive of exhibits or educational programs open to the general public.
 - B. Loans to the Office of the Governor will be considered intramural loans within the Kentucky Historical Society as the governor is Chancellor of the Society. The Registrar will document these loans.
 - C. Collections staff will periodically inspect all items displayed in the Governor's office (at least once a year) at a time convenient to the Governor. Objects demonstrating deterioration shall be removed and replaced with other appropriate items.
 - D. Loans arranged by members of the staff of the Office of the Governor for purposes other than display in that office must comply with normal outgoing loan procedures of the Kentucky Historical Society.
 - E. All loaned materials must be returned at the end of the Governor's term in office and a new loan agreement will be negotiated with the staff of the incoming Governor.
2. The Adjutant General of Kentucky
 - A. Objects from the Kentucky Historical Society's collection may be loaned to the Office of the Adjutant General following the above policy reading "adjutant general" in place of "governor," and "Office of the Adjutant General" in place of "Office of the Governor."

RIGHTS AND REPRODUCTIONS

The Kentucky Historical Society follows all federal copyright laws, guidelines, and Open Records requests.

The collections of the Kentucky Historical Society contain materials for which KHS does not possess copyright. These items include, but are not limited to, books, pamphlets, films, oral histories, manuscripts, photographs, and various digital media. These items are provided for educational and research purposes as provided for under the fair use section of the United States copyright law (Title 17, United States Code). KHS staff will provide information regarding the status of its collections; however, it is the responsibility of researchers to determine the copyright status of materials and to comply with all copyright laws.

The Kentucky Historical Society maintains and publishes electronic databases which contain digital collections content and collections metadata. Use of these materials must be consistent with the policies and procedures of the Kentucky Historical Society and the Commonwealth of Kentucky.

The Society also licenses the non-commercial use of proprietary, electronic databases for the use of staff and researchers for educational and research purposes only. Anyone wanting to publish, copy, redistribute, sell, or alter the information contained within these databases should contact the appropriate vendor or publisher.

REPRODUCTIONS

KHS reserves the right to limit use, reproduction, or publication of all collections regardless of copyright status.

1. Researchers may be charged a fee for the reproduction of collections. Fee schedules will be made available by collection staff. All reproductions must be fully credited when used. Reproduced materials may be subject to copyright.
2. Staff will not reproduce an item if it could be damaged in the process.
3. This section does not cover the physical reproduction of three-dimensional objects. Anyone wishing to reproduce an object should contact the appropriate curator on the collections staff for more information.
4. Artwork in the collection may be reproduced, however, it is the responsibility of the patron to research and receive permission from any artists that may still have the divisible rights of reproduction for their artwork under the copyright law and the Visual Artists Rights Act.

DEACCESSION

The Kentucky Historical Society periodically deaccessions and disposes of KHS Collection items. The term "deaccession" refers to the internal procedural steps by which a collection or item may be removed from the official inventoried collection of KHS. Any deaccession of a collections item should be solely for the advancement of KHS's mission. The term "disposal" refers to the sale, exchange, witnessed destruction, or other transfer of the item.

KHS may deaccession collections items because:

1. The item is no longer relevant to the mission of KHS.
2. The item is redundant or is a duplicate and is not necessary for research or study purposes.
3. The item is in poor physical condition, whether through accidental damage, deterioration, infestation, or inherent vice and which are beyond restoration to a level suitable for public display, scholarly use or other appropriate KHS purposes.
4. KHS is unable to preserve or store the item in a responsible manner.
5. KHS is ordered to return an object to its original and rightful owner by a court of law. KHS determines that another entity is the rightful owner of the object. Or, KHS determines that the return of the object is in the best interest of the institution.

No board member, employee, volunteer, or their family members may purchase deaccessioned objects directly from KHS or at auction if consigned by KHS. All funds received from deaccessioned objects shall be used to fund the purchase of other objects or the direct preservation of existing collections.

Potential deaccessions must be proposed by a collections staff member and be brought to the Collections Committee. Once approved, the Committee will submit the recommendation to the Executive Director for approval by the Governing Board. Detailed procedures for Deaccessioning are included in the Collections Procedure Manual.

Archival Processing Discards

In accordance with professional archival practices, KHS may dispose of materials found within archival collections during processing which are determined not to have historical value or which may present a danger to the long-term preservation of items in the collection. These items may include, but are not limited to, binders, envelopes, fasteners, frames, duplicate materials, or materials too badly damaged to



be used for research. Removing these materials is considered basic collections maintenance and as such, are not subject to the deaccession policy. Review of processing discards and their disposal shall be governed under the appropriate archival processing procedures.

ETHICS

Financial Appraisals

All KHS staff members will adhere to the KHS Code of Ethics.

No staff member of the Kentucky Historical Society may provide financial appraisals of items for any reason, including tax deductions for donation. Donors or their agents are solely responsible for obtaining appraisals for tax deductions or other purposes. KHS will provide appropriate access to collections to facilitate the appraisals of donations for tax deduction purposes and will comply with all current Internal Revenue Service rules and reporting regulations for charitable contributions.

The Society's staff may refer donors or visitors to appropriate resources for locating appraisers but will not recommend specific appraisers.

Personal Collecting by KHS Staff

The acquiring, collecting, and owning of historic materials is not in itself unethical and can enhance professional knowledge and judgment. However, the acquisition, maintenance, and management of a personal collection by a KHS employee can create ethical questions. Extreme care is required whenever an employee collects historic materials like those collected by the Kentucky Historical Society.

No KHS staff member, volunteer, trustee, or member of a governing body may compete with the Society for collections or may take advantage of privileged information received because of his or her position relevant to the Kentucky Historical Society's collecting scope. Should a conflict of interest develop between the needs of the individual and the Society, those of the Society will prevail. Special care is also required in considering any offer of an item either for sale or as a tax-benefit gift from members of governing bodies, members of staff, or the families or close associates of these.

No private collecting by staff and other persons employed by or closely connected with the Society can be tolerated if, in fact or appearance, it conflicts with the interests of the Society and its collecting program.

Members of the Kentucky Historical Society staff and boards will sign a non-competition ethics statement.

POLICY REVIEW, MONITORING, AND COMPLIANCE

Any revisions to the Collections Management Policy must be approved by the Governing Board of the Kentucky Historical Society. Any changes supersede all previous collections management policies.

This policy will undergo a thorough review every five years through a committee appointed by KHS's Executive Director. Other revisions may be undertaken through a committee appointed by the Society's Executive Director to ensure the proper care and maintenance of the collections and their records when collections staff deem it necessary. Once approved, the committee will submit their recommendation to the Executive Director for approval by the board.

It is the responsibility of collections staff to align their activities to this policy. Questions regarding compliance should be directed to the Director of Research and Collections, who will take appropriate action to ensure compliance.

A copy of this policy will be made available to all board, staff, volunteers, and the public.