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Introduction

SPECTRUM represents a common understanding of good practice for collections management in museums. It contains detailed procedures for managing the processes that an object goes through during its lifecycle in a museum.

SPECTRUM draws directly on the expertise and experience of practising museum professionals both within the UK and internationally. Work on the first version of SPECTRUM began in 1991 and since its launch in 1994 it has been reviewed and updated periodically to encompass changes in professional practice.

SPECTRUM has also been recognised internationally as the leading standard for collections management and has been licensed for translation and use in over 100 countries around the world.

In this most recent edition, SPECTRUM has been given a new structure and format, making the procedures easier to use, and reducing the publication to a more manageable size. The 21 procedures are presented as workflow diagrams and duplicate information has been removed from within each of the procedures. The core information for each procedure remains unchanged, but subject specialist advice and supporting information has been removed and integrated into fact sheets now grouped together on Collections Link under the title of SPECTRUM Advice. The second part of SPECTRUM 3.2, the Information Requirements section, has been removed, and is now a standalone publication called SPECTRUM 4.0 Appendix 1, Information Requirements.

Modified and new in SPECTRUM 4.0

- Each procedure has been represented as a workflow diagram with five headings – People, Process, Linked procedures, Information and Systems.
- The Before You Start section which detailed the policy and legal environment for each procedure has been removed and replaced with a general chapter at the start of SPECTRUM 4.0, titled Policies and Legal Context
- Sources of help and advice have been removed from each procedure and a comprehensive list of references is now provided in SPECTRUM Advice on Collections Link
- The information requirements section has been removed and is published separately on Collections Link as SPECTRUM 4.0 Appendix 1, Information Requirements

Developing Standards

Underpinning SPECTRUM is the knowledge that standardised and agreed procedures are the key to efficient collections management. SPECTRUM has been recognised as delivering benefit, not only to the objects in the collections, but to the organisations that manage collections, and to the users of those organisations.

As standards in the UK cultural sector evolve, SPECTRUM will continue to be reviewed and adapted to make sure it provides practical help to practitioners aiming to meet those standards. Collections Trust and MLA have worked together to ensure that the eight primary SPECTRUM procedures remain at the heart of collections management and have been retained as core standards within the UK Accreditation Scheme. On a strategic level, the Collections Trust has worked with the wider cultural sector to promote strategic collections management with the development and publication of the PAS197:2009 Code of practice for cultural collections management (PAS 197), published by BSI.

Feedback

Collections Trust is committed to SPECTRUM as an ongoing project, not only to ensure its continuing adoption across the UK and internationally, but also to guarantee sustainable growth and development in response to feedback from those who use it. The texts of SPECTRUM 4.0 and SPECTRUM 4.0 Appendix 1, Information Requirements are available on the Collections Link Standards wiki, providing a platform for discussion regarding the continued development of SPECTRUM. If you wish to contribute to that development please visit the wiki at http://standards.collectionslink.org.uk
Policies and Legal Context

This chapter contains general guidance on collections management policies and the legal context for setting up SPECTRUM procedures. In previous versions of SPECTRUM, the Before you start section of each of the 21 procedures included a brief overview of the legal context and the policy requirements for the procedure. This is now classed as related guidance rather than integral to the procedures, and has been removed from the SPECTRUM 4.0 publication. The SPECTRUM Advice pack on Collections Link contains fact sheets with supplementary guidance for the eight Primary Procedures, including guidance on what should be considered when writing policies. The need for clear written policies and an understanding of the legal context for collections management has also been clearly articulated in the PAS197, and the accompanying Collections Trust publication Collections Management: a practical guide.

Policies

Written policies give staff and volunteers in a museum the confidence to develop working procedures within clear parameters. You can use SPECTRUM 4.0 to create or adapt a set of written collections management procedures. However, to be effective, these procedures need to be informed by, and linked to, a set of policies that define the intentions of the organisation with regard to the collection which, in turn, reflect the mission of the organisation. With written policies in place, you can measure the effectiveness of a procedure against the intentions of the organisation and review and adapt your procedures accordingly.

The Minimum Standard section within each SPECTRUM procedure includes a statement about the need for a written policy to guide the procedure. The Accreditation Scheme requires museums to have an Acquisition and Disposal Policy (or Collections Development Policy) and many museums will also have a number of other policies relating to collections management activity. From October 2011, however, the developed Accreditation Standard will additionally require museums to maintain an Information (or Documentation) Policy, a Collections Care and Conservation Policy and a Collections Access Policy. The Accreditation standard stipulates some required elements to be included in the Acquisition and Disposal Policy but the content of the other three collections management policies are not specified and should be developed in line with the needs of the museum. Guidance on the recommended scope of these four areas of collections management policy can be found in the PAS 197 and Collections Management: a practical guide. See Sources of Help and Advice in the SPECTRUM Advice pack, on Collections Link, for further details.

The diagram on the following page shows where each of the SPECTRUM procedures would fit within the PAS 197 four-part collections management structure encompassing Collections Development, Collections Information, Collections Access, and Collections Care and Conservation. Some museums may find it helpful to develop policies using these headings and to include policy statements on the 21 SPECTRUM procedures grouped under the appropriate headings.

Legal context

The policies you develop to steer your collections management work should take account of, and make explicit reference to, relevant legislation, international conventions and codes of ethics. A list of legislation, international codes and ethical codes relevant to collections management can be found in Sources of Help and Advice in the SPECTRUM Advice pack, on Collections Link. The list is not exhaustive and Collections Trust cannot guarantee that the information will always be up-to-date. It is the responsibility of each organisation to ensure that staff fully understand which legislation and codes of practice are relevant for their museum.
Diagram showing how the SPECTRUM Procedures map to the PAS 197 collections management structure. SPECTRUM Primary Procedures are shown in italics.
How to Implement a Procedure

What is in a procedure?
Each SPECTRUM 4.0 procedure is presented in the following structure:

**Definition**
The definition explains the scope of the procedure and any ambiguous terms.

**Minimum Standard**
However you implement the procedure, this is what it should achieve. You can use the Minimum Standard as a quick checklist to assess existing procedures.

**SPECTRUM workflow diagram**

How to use SPECTRUM 4.0
SPECTRUM 4.0 can be used as a reference document, or can be adapted to create a written Procedural Manual within your museum. Museums will implement procedures differently depending on their size and circumstances but the Definition and Minimum Standard for each procedure are applicable to all. Once you are clear what the procedure is meant to achieve you can use the workflow diagram to follow the recommended steps through the procedure.

As a user of SPECTRUM 4.0 you are welcome to re-produce, or adapt the workflow diagrams in your own documents for non-commercial purposes (see the SPECTRUM copyright terms at the beginning of this publication for more details). The workflow diagrams have been created using a drawing application and cannot be edited using standard word processing software so you will either need to adopt them as they are, or re-create them using your own drawing software.
Understanding the Workflow diagram

The workflow diagram shows the process itself in the Process column. The diagram as a whole shows the relationship between the people involved, the process, the other linked procedures, the information you need to gather during the process, and your overall collections management system. Taken together and implemented, these elements make up the SPECTRUM 4.0 procedure.

### People

Many of the SPECTRUM procedures involve liaison between people within, or outside, your organisation. The People column gives an indication of the people/roles involved and the level of interaction required during the procedure.

### Process

This is a diagrammatical representation of the steps that make up the procedure. Where a choice has to be made, or where a decision is required within the process, the diagram presents options. In some instances the Process lists a level of detailed information that you need to capture in order to meet a minimum standard for the procedure.

### Linked Procedures

Many SPECTRUM 4.0 procedures refer to other SPECTRUM 4.0 procedures. For example, the incoming loan procedure refers the user to the Object entry procedure. These linked procedures are shown in a separate column with a dotted arrow. You may need to implement the linked procedure, or elements of the linked procedure, before continuing with the rest of the procedure you are in.

### Information

SPECTRUM 4.0 Appendix 1, Information Requirements contains details of the information requirements for each SPECTRUM 4.0 procedure. The Information column gives you an overview of those information requirements and may be enough for your purposes. If you need to know more you can download the SPECTRUM 4.0 Appendix 1, Information Requirements from the SPECTRUM 4.0 Advice pack on Collections Link.
System

This column always says Collections Management System. This illustrates the fact that all the SPECTRUM 4.0 procedures taken together make up a system for managing your collections. Within that system you will have a variety of procedural systems in place, some of them manual and paper based and some of them computerised. For example your system for Object entry is likely to consist of pre-printed forms, ring binders or filing cabinets, database fields, and temporary labelling materials that you will use when you implement the procedure. Whereas, your cataloguing system may involve a set of data-entry instructions and a database.
Accreditation and SPECTRUM

The UK Accreditation Standard is an evolving standard which adapts and responds to other published sector standards over time. Since SPECTRUM was launched in 1991 it has provided the baseline standard for documentation policy and processes, and latterly for wider collections management processes. The Registration Standard for museums, and more recently the Accreditation Standard have required museums to have in place eight procedures known as the SPECTRUM Primary Procedures.

If set up correctly, these eight procedures, backed up by a written Procedural Manual, constitute a basic collections management system adequate to provide accountability and to ensure that a museum knows at any time exactly which items it is legally responsible for and where each item is located.

The eight Primary Procedures required by Accreditation are:

- Object entry
- Acquisition
- Location and movement control
- Cataloguing
- Object exit
- Loans in
- Loans out
- Retrospective documentation

Accreditation 2011 will be launched in October 2011 with updated requirements for policy and planning in the Collections Management section. The eight Primary Procedures will remain unchanged.
Pre-entry procedure

Definition
The management and documentation of the assessment of potential acquisitions before their arrival at the organisation.

Minimum Standard
The organisation must have a policy covering the pre-entry requirements of objects and any related documentary archive. Refer to Policies and Legal Context for general guidance on collections management policies.

The procedure for managing and documenting Pre-entry must:

- Clarify the organisation’s acquisition policy and conditions for deposition of objects and documentary records to the potential depositor;
- Ensure that the organisation is fully aware of the quantity and type of material that is on offer;
- Assess the impact on the organisation of acquiring the items, in terms of space, manpower, financial, legal and conservation issues;
- Ensure that a global organisation accession number has been assigned to the site (for fieldwork) or collection(s) (for bequests or purchases) if necessary;
- Ensure that an expected date of deposition and responsibility for the items in transit is agreed with the depositor.
Pre-entry

<table>
<thead>
<tr>
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<th>Process</th>
<th>Linked procedures</th>
<th>Information</th>
<th>System</th>
</tr>
</thead>
<tbody>
<tr>
<td>Museum staff</td>
<td>Notification of potential donation. Or internal decision to acquire by purchase</td>
<td></td>
<td></td>
<td>Collections</td>
</tr>
<tr>
<td>donor</td>
<td>Check that acquisition is appropriate by referring to Acquisition policy</td>
<td>Acquisition</td>
<td></td>
<td>Management system</td>
</tr>
<tr>
<td>Museum staff</td>
<td>Assign a unique number to the item(s)</td>
<td></td>
<td></td>
<td>Object identification</td>
</tr>
<tr>
<td></td>
<td>Send advance requirements for accompanying documentation, packaging and transfer of title</td>
<td></td>
<td></td>
<td>Reference</td>
</tr>
</tbody>
</table>

Record essential information on the size and content of the material to be acquired in order to assist with:
- Assessment against acquisition criteria
- Condition assessment
- Decisions about transport and handling
- Storage facilities
- Establishment of who holds legal title to the items
- Establishment of who holds any intellectual property rights associated with the material
Details of the Units of Information required in this procedure can be found in SPECTRUM 4.0, Appendix 1, Information Requirements available on Collections Link.
Object entry procedure

Definition
The management and documentation of the receipt of objects and associated information which are not currently part of the collections. Any object which does not currently have an object number assigned by the receiving organisation must be dealt with within this procedure.

Minimum Standard
The organisation must have a policy covering the receipt and deposit of objects. Refer to Policy and Legal Context for general guidance on collections management polices. See also Object Entry: SPECTRUM Advice for guidance about object entry policy decisions.

The procedure for managing and documenting Object entry must:

- Establish the terms and conditions under which objects are being received for deposit;
- Uniquely identify the newly received object or associated group of objects;
- Ensure the organisation is able to account for all objects left in its care;
- Provide a receipt for the owner or depositor;
- Help establish the extent of the organisation’s liability;
- Indicate the reason for the receipt of the object;
- Determine a finite end to, or programme for review of, the deposit;
- Enable the object to be returned to the owner or depositor as required;
- Allow for objects and associated records to be checked on entry to ensure that they correspond to any accompanying inventory and/or transfer of title documentation supplied;
- Establish who has legal title to the object in case of subsequent acquisition;
- Capture key information about the object, to be augmented in the future;
- Inform the decision making-process.

Object entry is a SPECTRUM Primary Procedure. This means that in order to meet the documentation requirements for the Museum Accreditation Scheme an organisation must maintain the SPECTRUM Minimum Standard for this procedure.
Object Entry

<table>
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<th>Linked procedures</th>
<th>Information</th>
<th>System</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Is the object expected?</td>
<td>Pre-entry</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>yes</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>no</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Prepare for arrival of the object including: Briefing staff, prepare storage location, check condition, Clarify specific conditions and terms.</td>
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<tr>
<td></td>
<td>When the object arrives make an Entry record. The Entry record should include:</td>
<td></td>
<td></td>
<td>Collections Management system</td>
</tr>
<tr>
<td></td>
<td>- Entry number</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>- Name, address, contact details of current owner and depositor</td>
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<tr>
<td></td>
<td>- Entry date</td>
<td></td>
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<tr>
<td></td>
<td>- Brief condition statement</td>
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<tr>
<td></td>
<td>- Brief description</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>- Entry reason</td>
<td></td>
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<tr>
<td></td>
<td>- Entry method</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>- Number of objects deposited</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Requirements of owner – including details for return</td>
<td></td>
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<tr>
<td></td>
<td>- Agreed return date</td>
<td></td>
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<tr>
<td></td>
<td>- Signature of owner (or depositor)</td>
<td></td>
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<tr>
<td></td>
<td>- Name and signature of recipient at your organisation</td>
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<tr>
<td></td>
<td>- Insurance details</td>
<td></td>
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<td></td>
<td>- Packing materials</td>
<td></td>
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<td></td>
<td>- Field collection information if relevant</td>
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<td>- Additional information if relevant, including hazards</td>
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<tr>
<td></td>
<td>Is the depositor present?</td>
<td>Record additional information provided by depositor.</td>
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<tr>
<td></td>
<td>yes</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>no</td>
<td></td>
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<tr>
<td></td>
<td>Is the depositor known?</td>
<td>Record as much information as possible on the Entry record</td>
<td></td>
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<tr>
<td></td>
<td>yes</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>no</td>
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<td></td>
<td>Give/send the depositor a copy of entry form as a receipt</td>
<td>Object condition checking and technical assessment</td>
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</tbody>
</table>

Collections Management system

Object entry
Object identification
Valuation
Insurance
Object collection
Date
Organisation
People
Person
Address

Object identification
Condition and technical assessment
Date
Person
Address
Further detailed guidance on the Object Entry procedure can be found in Object Entry: SPECTRUM Advice available on Collections Link.
Details of the Units of Information required for this procedure can be found in SPECTRUM 4.0: Appendix 1. Information Requirements available on Collections Link.
Loans in procedure

Definition
Managing and documenting the borrowing of objects for which the organisation is responsible for a specific period of time and for a specified purpose, normally exhibition/display, but including research, conservation, education or photography/publication.

Minimum Standard
The organisation must have a policy covering the borrowing of objects. Refer to Policies and Legal Context chapter for general advice on collections management policies. See also Loans in: SPECTRUM Advice for guidance about Loans in policy decisions.

The procedure for managing and documenting loans in must:

- Establish the purpose of the loan;
- Enable at least the same care of the borrowed object as if it were part of the permanent collections;
- Include written agreements signed by both borrower and lender before the loan commences, as appropriate to the collection;
- Ensure that the terms and conditions of loan are adhered to;
- Ensure that all loans are for fixed periods;
- Ensure a written record of the loan is retained;
- Enable effective control of the loan process;
- Enable the provision of information about the borrower and the loan as requested by the lender;
- Provide insurance or indemnity cover for the loan period;
- Ensure that up-to-date information about the location of borrowed objects is maintained;
- Ensure that up-to-date information about the security of borrowed objects is maintained;
- Ensure that up-to-date information about the physical well-being of borrowed objects is maintained, including the environment and condition of the objects.

Loans in is a SPECTRUM Primary Procedure. This means that in order to meet the documentation requirements for the Museum Accreditation Scheme an organisation must reach the SPECTRUM Minimum Standard for this procedure.
<table>
<thead>
<tr>
<th>People</th>
<th>Process</th>
<th>Linked procedures</th>
<th>Information</th>
<th>System</th>
</tr>
</thead>
<tbody>
<tr>
<td>Museum staff</td>
<td>Initiate loan in. Initiation may be by borrowing organisation or via an offer from a lender</td>
<td></td>
<td>Reference</td>
<td>Collections Management system</td>
</tr>
<tr>
<td>Museum staff</td>
<td>Set up a file and record information about object during research/initiation phase. Files should be accessible by loan number and lender name.</td>
<td></td>
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</tr>
<tr>
<td>Lender</td>
<td>Submit loan request in writing. This should be as far in advance as possible and in accordance with period of notice required by the lender</td>
<td></td>
<td></td>
<td>Loan in Object identification Insurance Indemnity Date Organisation People Person Address</td>
</tr>
</tbody>
</table>
| Requests | Requests should include at least:  
- Date(s) of proposed loan  
- Venue(s) of proposed loan  
- Context and purpose  
- Lender’s name and address  
- Contact name and details  
- Object numbers of requested objects  
- Brief descriptions of requested objects  
- Statement of the intended insurance/indemnity | | Reference | |
| | Adapt and re-send loan request and update records according to response | | | |
Exchange further key information e.g.:
- Provide information on the venue including a formal facilities report if requested.
- Carry out due diligence checks.

When agreement in principle is reached, update records with more detailed object information requested from the lender, e.g.:
- Object numbers and descriptions
- Name and addresses of owners
- Valuation
- Condition
- Display recommendations
- Environmental recommendations
- Handling recommendations
- Dimensions
- Photographs of objects to aid research
- Additional historical or descriptive information
- Exhibition number if applicable

Once the conditions of the loan have been finalised. Both parties sign loan agreement referring to all conditions of the loan, including:
- Object related information
- Insurance and indemnity requirements
- Costs and responsibilities
- Terms of reproductions and intellectual rights
- Packing, transport, courier, and other shipping requirements
- Arrangements for scientific research loans
- Additional terms and conditions as agreed with the lender
- Renewal application date
- Contact details
Schedule receipt of loan – prepare staff and storage/display location

Provide evidence of insurance to lender and other documents as requested

Receipt of loan – Complete Entry documentation on arrival

Unpack and make condition report

Make arrangements for conservation treatment if required and in accordance with loan conditions

Allocate loan number on Object Entry form or use entry number. Attach removable label to objects

Record location of objects

Send receipt to lender

Object entry

Object condition checking and technical assessment

Conservation and collections care

Object entry

Location and movement control
Further detailed guidance on the Loans in procedure can be found in *Loans in: SPECTRUM Advice* available on Collections Link.
Details of the Units of Information required in this procedure can be found in SPECTRUM 4.0 *Appendix 1, Information Requirements* available on Collections Link.
Acquisition procedure

Definition
Documenting and managing the addition of objects and associated information to the collections of the organisation and their possible accession to the permanent collections.

Minimum Standard
The organisation must have a policy covering the acquisition of objects, which should include a collecting policy. Refer to the *Policies and Legal Context* chapter for general guidance on collections management policies. Refer to *Acquisition: SPECTRUM Advice* for guidance on acquisition policy.

The procedure for managing and documenting acquisitions must:

- Ensure that written evidence is obtained of the original title to an object and the transfer of the title to the acquiring organisation;
- Enable the reconciling of acquisition records with objects as part of retrospective documentation, audit and inventory activity;
- Ensure that a unique number is assigned to, and physically associated with, all objects;
- Ensure that accession registers are maintained, describing all acquisitions and listing them by number;
- Ensure that information about the acquisition process is retained;
- Ensure that donors are made aware of the terms on which their gift or bequest is accepted by the organisation;
- Ensure that collecting complies with the organisation’s collecting policy, and does not contravene any local, national or international law, treaty or recognised code of practice;
- Ensure a copy of the information in the accession register is made and kept up to date.

*Acquisition is a SPECTRUM Primary Procedure.* This means that in order to meet the documentation requirements for the Museum Accreditation Scheme an organisation must reach the SPECTRUM Minimum Standard for this procedure.
Acquisition

Make the decision to acquire based on agreed policy and process.

- Plan for receipt of object
- Carry out condition check

Obtain unambiguous title to the object. This must contain:
- Formal title of the organisation that is acquiring the object
- Name and address of previous owner
- Brief description of object
- Signature confirming transfer of title
- Method of acquisition
- Assignment of rights associated with the object
- Relevant clauses to ensure compliance with Data Protection Act and Freedom of Information Act legislation

Depending on the method of acquisition, obtain appropriate information and supporting documents

Collections Management system

References

Acquisition
Object identification
Reference
Date
Organisation
People
Person
Address
Further detailed guidance on the Acquisition procedure can be found in *Acquisition: SPECTRUM Advice* available on Collections Link.

Details of the Units of Information required for this procedure can be found in SPECTRUM 4.0 Appendix 1, *Information Requirements* available on Collections Link.
Inventory control procedure

Definition
The maintenance of up-to-date information accounting for and locating all objects for which the organisation has a legal responsibility. This may include objects on loan, unaccessioned or previously undocumented items, temporarily deposited objects and support collections.

Minimum Standard
The organisation must have a policy covering the inventory control of objects. Refer to Policies and Legal Context chapter for general guidance on collections management policies.

The procedure for inventory control must:

• Enable accountability for any object, at any time;
• Enable the provision of up-to-date information about all objects in the care of the organisation - including loans in and out, temporarily deposited objects and other unaccessioned objects;
• Provide a reference to ownership of each object;
• Provide the current location of each object.
Inventory control

People

Process

Identify clear responsibility for ensuring that inventory information is fully accessible and up-to-date

The following core inventory information must be available for each object or group of objects:
- Object number including, if relevant, temporary number
- Object name
- Brief description
- Location of the object
- Date inventory information is recorded and the recorder’s name
- Status of the object (i.e. whether acquired, deposited, on loan, found in store etc.)

Record inventory information as soon as new objects enter the organisation. This is likely to be in the form of an Entry record

If an object is to be retained, enter details in the relevant register:
- Accession Register
- Loan Register
- Handling collection inventory

Establish a catalogue record

Mark and/or label the object with the object number

Linked Procedures

Acquisition

Cataloguing

Information

System

Collections Management system

Object identification
Object location
Location
Address
Record
Amendment history
Date
Acquisition loan in

Maintaining the inventory
Details of the Units of Information required in this procedure can be found in SPECTRUM 4.0 Appendix 1, Information Requirements available on Collections Link.
Location and movement control procedure

Definition
The documentation and management of information concerning the current and past locations of all objects or groups of objects in the organisation’s care to ensure the organisation can locate any object at any time. A location is a specific place where an object or group of objects is stored or displayed.

Minimum Standard
The organisation must have a policy covering the location control of objects. Refer to Policy and Legal Context chapter for general guidance on collections management policies. See also Location and Movement Control: SPECTRUM Advice for more detailed guidance about location and movement control policy decisions.

The procedure for managing and documenting location and movement control must:

• Provide a record of the location where an object is normally displayed or stored;
• Provide a record of the location of an object when it is not at its normal location;
• Enable access to location information by, at the very least, object number and by location name;
• Provide an up-to-date record of the relocation of an object within the physical or administrative boundaries of the organisation;
• Provide an up-to-date record of any movement of an object across the physical or administrative boundaries of the organisation;
• Provide a record of the person responsible for moving an object;
• Provide a record or a statement of the persons responsible for authorising object movement;
• Provide a history of an object’s previous locations, while in the organisation’s care.

Location and Movement Control is a Primary Procedure. This means that in order to meet the documentation requirements for the Museum Accreditation Scheme an organisation must reach the SPECTRUM Minimum Standard for this procedure.
<table>
<thead>
<tr>
<th>People</th>
<th>Process</th>
<th>Linked Procedures</th>
<th>Information</th>
<th>System</th>
</tr>
</thead>
<tbody>
<tr>
<td>Museum staff</td>
<td><strong>Assign a unique name or number to each display and storage location</strong></td>
<td></td>
<td>Location</td>
<td>Collections Management system</td>
</tr>
<tr>
<td></td>
<td>Create and maintain a detailed record of all location descriptions and</td>
<td></td>
<td>Reference</td>
<td></td>
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<tr>
<td></td>
<td>how they should be recorded. It is useful to have annotated store and</td>
<td></td>
<td>Location Address</td>
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<tr>
<td></td>
<td>gallery floor plans</td>
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<td></td>
<td>**Record where necessary information about each location including the</td>
<td></td>
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<td></td>
<td>following:**</td>
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<tr>
<td></td>
<td>• Address (if separate from the main site)</td>
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<td></td>
<td>• Environmental conditions</td>
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<td></td>
<td>• Security details</td>
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<tr>
<td></td>
<td>• Access details</td>
<td></td>
<td></td>
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<tr>
<td>Museum staff</td>
<td><strong>Record the location of each object as part of the catalogue record.</strong></td>
<td></td>
<td>Reference</td>
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<tr>
<td></td>
<td>If a temporary location, indicate the return of the object to its normal</td>
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</tr>
<tr>
<td></td>
<td>location</td>
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<tr>
<td>Museum staff</td>
<td><strong>Obtain and record appropriate authorisation for all moves</strong></td>
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<tr>
<td></td>
<td>Check the condition of the object before moving to confirm that it is</td>
<td></td>
<td>Condition checking</td>
<td></td>
</tr>
<tr>
<td></td>
<td>fit to be moved</td>
<td></td>
<td>and technical</td>
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<td></td>
<td></td>
<td></td>
<td>assessment</td>
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</tbody>
</table>
Further detailed guidance on the Location and Movement Control procedure can be found in *Location and Movement Control: SPECTRUM Advice* available on Collections Link. Details of the Units of Information required in this procedure can be found in SPECTRUM 4.0 Appendix 1, *Information Requirements*. 
Transport procedure

Definition
The management and documentation of the transport of objects for which the organisation is partially or fully responsible.

Minimum Standard
The organisation must have a policy relating to the transport of objects. Refer to Policies and Legal Context chapter for general guidance on collections management policies.

The procedure for documenting and managing transport must:

- Ensure that all transport is carried out in compliance with the organisation’s transport policy;
- Ensure that, in the case of borrowed objects, the requirements of the lender and their insurance policy (e.g. Government Indemnity) are met;
- Ensure that all legal obligations are complied with, including any customs requirements, CITES, airfreight security legislation, and firearms regulations;
- Ensure that a condition check of the object is carried out (and recorded) prior to transport arrangements being made;
- Ensure that a method statement for the move is prepared, including a risk assessment and emergency plan;
- Ensure that appropriate insurance/indemnity arrangements are in place prior to the transport;
- Record and maintain an audit trail of the reasons for the move, mode of transport, dates of the transport, and details of those carrying out the transport.
Transport

People
- Museum staff

Process

Initiate the transport of objects from within the Location and movement control procedure. Decisions regarding the movement of objects must only be made by authorised persons.

Provide the person responsible for arranging transport with the following information:
- The reason transport is required
- The name of the person responsible for the approving the movement of the object
- The owner of the object
- Conditions that apply (including those of the UK Government Indemnity Scheme)
- The agreement between those sending and receiving the object
- Description of the object being transported
- Whether a courier is required
- Contact names and addresses for collection and delivery
- Dates for the transport

The organisation should hold the following information, and provide it for the person arranging transport:
- Object number
- Brief description
- Physical description
- Valuation (if the object is to be insured or covered by UK Government indemnity Scheme)
- Condition (and availability of a condition report)
- Indication of any Health & Safety issues associated with transporting the object

If documentation does not exist for the object and it is not on the organisation’s premises, then follow the Pre-entry or Loans in procedure to allow for recording and tracking its movement.

Linked Procedures
- Location and movement control

Information

System
- Collections Management system
- Reference
- Object identification
- Object description
- Object valuation
- Condition and technical Reference

Pre-Entry

Loans in
The person arranging the transport should establish whether there are any access issues that may exist at the collection or delivery destination and assess any handling issues.

Establish the most appropriate means of transport.

Third party (transport agent, courier)

In-house

Public (low value items)

Supply the agent with the following information:
- Details of the objects to be moved, destination, the reason for the move and dates
- Any areas of difficulty, such as access, handling restrictions, weight loading

If the object is travelling to or from abroad, the transport agent will have to undertake Customs clearance. For items travelling abroad, arrange for the necessary licences to be obtained by the agent.

Receive confirmation of transport from the agent, along with the following information:
- The vehicle registration
- The names of drivers
- The mobile phone number of the vehicles driver
Details of the Units of Information required in this procedure can be found in SPECTRUM 4.0 Appendix 1, Information Requirements available on Collections Link.
Cataloguing procedure

Definition

The compilation and maintenance of key information, formally identifying and describing objects. It may include information concerning the provenance of objects and also collections management documentation e.g. details of acquisition, conservation, exhibition and loan history, and location history. It need not bring together in one location everything known about an object, but should provide cross-references to any other relevant information source known to the organisation.

Minimum Standard

The organisation must have a policy covering the cataloguing of objects. Refer to Policies and Legal Context chapter for general guidance on collections management policies. See also Cataloguing: SPECTRUM Advice for guidance about cataloguing policy decisions.

Cataloguing information must:

- Provide a level of description sufficient to identify an object or group of objects and its differences from other, similar objects;
- Provide an historic archive relating to an object or cross-references to sources where information can be found;
- Be held in a system that allows convenient access, e.g. using indexes or free-text retrieval.

Cataloguing is a SPECTRUM Primary Procedure. This means that in order to meet the documentation requirements for the Museum Accreditation Scheme an organisation must reach the SPECTRUM Minimum Standard for this procedure.
<table>
<thead>
<tr>
<th>People</th>
<th>Process</th>
<th>Linked Procedures</th>
<th>Information</th>
<th>System</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Create a record for each object or group of objects. Make sure these records are accessible by object number.</td>
<td></td>
<td></td>
<td>Collections Management system</td>
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<tr>
<td></td>
<td>Catalogue entry must include:</td>
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<tr>
<td></td>
<td>- Object number</td>
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<tr>
<td></td>
<td>- Object name</td>
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<td></td>
<td>- Number of items or parts</td>
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<tr>
<td></td>
<td>- Brief physical description</td>
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<tr>
<td></td>
<td>- Acquisition method, date and source</td>
<td></td>
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<tr>
<td></td>
<td>- Location information</td>
<td></td>
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<tr>
<td></td>
<td>- Reference to images</td>
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<td></td>
<td>Depending on the information available catalogue should also include:</td>
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<td></td>
<td>- Curatorial responsibility</td>
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<td></td>
<td>- Information about creation of the record (date, info, source)</td>
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<tr>
<td></td>
<td>- Identification information</td>
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<tr>
<td></td>
<td>- Object description info.</td>
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<td></td>
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<td></td>
<td>- Field collection information</td>
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<td></td>
<td>- Content and subject information</td>
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<td></td>
<td>- Product information</td>
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<td></td>
<td>- Other historical information</td>
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<tr>
<td></td>
<td>- References to published bibliographic information</td>
<td></td>
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<tr>
<td></td>
<td>- References to collections management information</td>
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</tbody>
</table>
Further detailed guidance on the Cataloguing procedure can be found in the Cataloguing: SPECTRUM Advice available on Collections Link.
Details of the Units of Information required in this procedure can be found in SPECTRUM 4.0 Appendix 1, Information Requirements available on Collections Link.
Object condition checking and technical assessment procedure

**Definition**

The management and documentation of information about the make-up and condition of an object, and recommendations for its use, treatment and surrounding environment.

**Minimum Standard**

The organisation must have a policy covering the condition checking of objects. Refer to *Policies and Legal Context* chapter for general guidance on collections management policies.

The procedure for managing and documenting condition checking must:

- Ensure that the documentation of condition checks is completed by trained persons;
- Ensure that all condition check documentation is up-to-date;
- Ensure all information is documented and is accessible via the object number;
- Ensure that individual and collective responsibilities within the organisation for condition checking are clearly defined and identified;
- Ensure that the date, name of the condition checker and the reason for checking is recorded;
- Ensure condition checking is carried out whenever a change to the object, its use or surrounding environment occurs;
- Enable the condition of an object to be monitored over time;
- Ensure that a set procedure is followed when object condition ‘danger signals’ are observed;
- Ensure a condition check happens as part of the following procedures: *Object entry, Loans in, Acquisition, Conservation and collections care, Use of collections and Deaccession and disposal.*
# Object condition checking and technical assessment

<table>
<thead>
<tr>
<th>People</th>
<th>Process</th>
<th>Linked Procedures</th>
<th>Information</th>
<th>System</th>
</tr>
</thead>
<tbody>
<tr>
<td>Museum staff</td>
<td>Initiate object checking</td>
<td></td>
<td>Location and movement control</td>
<td>Collections Management system</td>
</tr>
<tr>
<td></td>
<td>Ensure appropriate facilities for handling and observing the object,</td>
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<tr>
<td></td>
<td>including quarantine facilities in case of infestation, contamination,</td>
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<tr>
<td></td>
<td>or hazardous materials.</td>
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<tr>
<td></td>
<td>If the object needs to be moved as part of the condition check</td>
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<tr>
<td></td>
<td>Refer to:</td>
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<tr>
<td></td>
<td>* Previous condition checks and technical assessments carried out on</td>
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<tr>
<td></td>
<td>the object</td>
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<td></td>
<td>* Health &amp; Safety information about the object</td>
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<tr>
<td></td>
<td>* Handling guidelines</td>
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</tr>
<tr>
<td></td>
<td>* Information about the object’s environmental, storage and display</td>
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<tr>
<td></td>
<td>history</td>
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<tr>
<td></td>
<td>Record on entry record catalogue record or separate record:</td>
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<td></td>
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<tr>
<td></td>
<td>* Object number</td>
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<tr>
<td></td>
<td>* Condition details e.g., brief comment about condition or conservators</td>
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<tr>
<td></td>
<td>assessment as appropriate</td>
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<tr>
<td></td>
<td>* Date of the condition check/assessment</td>
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<tr>
<td></td>
<td>* Name of the condition checker/technical assessor</td>
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<tr>
<td></td>
<td>* Method used in the condition check/assessment</td>
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<tr>
<td></td>
<td>* Reason for the condition check/assessment</td>
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</tbody>
</table>
Record action which should be taken to:
- Improve the object's surrounding environment
- Treat the object through interventive means
- Address Health & Safety issues

Give outline of treatment and projected outcome

Consult a conservator before taking action which may directly affect the condition of the object. In cases of loans in, obtain written permission of owner

When condition checking is part of another procedure, record:

- Environmental history
- Environmental history dates
- Environmental recommendations
- Handling recommendations
- Hazard note
- Handling requirements
- Packing/unpacking requirements
- Special requirements

Object condition and technical assessment
Conservation and collections care
Details of the Units of Information required in this procedure can be found in SPECTRUM 4.0 Appendix 1, *Information Requirements* available on Collections Link.
Conservation and collections care procedure

Definition
The documentation and management of information about interventive and preventive conservation activities.

Minimum Standard
The organisation must have a policy covering the management and documentation of care of collections including the conservation (interventive and preventive) of objects. Refer to Policies and Legal Context chapter for general guidance on collections management policies.

The procedure for managing and documenting conservation must:

- Ensure all conservation information is accessible via the object number, and is up-to-date;
- Ensure appropriate authorisation is received prior to conservation taking place;
- Ensure details of all interventive conservation work and preventive conservation measures are recorded, with the name of the person who performed the work, the organisation to which they belong and the date on which it took place;
- Ensure catalogue record is updated if any new information is established or information lost as a result of conservation;
- Ensure that after conservation treatment, call-back condition checks or periodic care activities are scheduled by date.
Conservation and collections care

**People**

- Museum staff

**Process**

- Identify need for interventive or preventive conservation. This may be triggered by:
  - Routine checking procedures
  - The requirements of a specific project, loan or enquiry
  - A request or order from an authorised person

- Provide the following information to the person carrying out the treatment or preventive measures:
  - Object number
  - Brief description
  - Materials
  - Location
  - Technical descriptions and condition assessments
  - Previous conservation history
  - Recommended treatment or conservation requirements resulting from condition assessments and intended use
  - Reason for conservation being necessary
  - Person or organisation making the request
  - Date of request
  - Date for completion
  - Insurance conditions and requirements for external conservator/contractor
  - Any Health & Safety problems presented by the object and therefore risk assessments

- Is the object to be moved?

  - Yes → Location and movement control → Insurance and indemnity management → Object exit
  - No → Information → System

**Linked Procedures**

- Collections Management system

**Information**

- Object identification
- Object description
- Object location
- Object conservation and treatment
- Insurance
- Use of collections
- Reference
- Date
- Organisation
- Person
Details of the Units of Information required in this procedure can be found in SPECTRUM 4.0 Appendix 1, Information Requirements available on Collections Link.
Risk management procedure

Definition

The management and documentation of information relating to potential threats to an organisation’s collections and the objects for which it is temporarily responsible. It includes the provision of information enabling preventative measures to be taken as well as documentation supporting disaster planning.

Minimum Standard

The organisation must have policies covering risk management, disaster planning and recovery planning. Refer to Policy and Legal Context chapter for general guidance on collections management policies.

Documentation should support the following functions which should be carried out by the organisation:

- A risk assessment on objects in its care;
- The establishment of building codes and priority codes identifying items for immediate removal from the disaster area;
- The maintenance of an information file of individuals and organisations to approach in the event of a disaster (to be reviewed annually);
- The training of staff and volunteers in the management of risk and in disaster recovery;
- Accountability for objects during and after a disaster.
<table>
<thead>
<tr>
<th>People</th>
<th>Process</th>
<th>Linked Procedures</th>
<th>Information</th>
<th>System</th>
</tr>
</thead>
<tbody>
<tr>
<td>Museum staff</td>
<td>Carry out a risk assessment on identified objects</td>
<td>Make plans to minimise risks identified</td>
<td></td>
<td>Collections Management system</td>
</tr>
<tr>
<td></td>
<td>Address the risk according to your organisation’s policy. You may choose to:</td>
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<tr>
<td></td>
<td>• Tolerate the risk</td>
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<td></td>
<td>• Transfer it by taking out insurance</td>
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<td></td>
<td>• Terminate it by stopping some activities</td>
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<tr>
<td></td>
<td>• Control it</td>
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<tr>
<td></td>
<td>Review and update your risk assessment regularly</td>
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<tr>
<td></td>
<td>Identify and list contact details for the following:</td>
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<td></td>
<td>• Site managers, key-holders and staff</td>
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<td></td>
<td>• Utility companies</td>
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<td></td>
<td>• Contract companies e.g. fire and security companies</td>
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<td></td>
<td>• Professional services e.g. glaziers, plumbers, locksmiths, freezing and drying services</td>
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<td></td>
<td>Identify and list locations for use in evacuation including provision for a command centre</td>
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<tr>
<td></td>
<td>Create a salvage list of items for immediate removal from disaster area</td>
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</tbody>
</table>
Details of the Units of Information required in this procedure can be found in SPECTRUM 4.0 Appendix 1, Information Requirements available on Collections Link.
Insurance and indemnity management procedure

Definition
Documenting and managing the insurance needs of objects both in an organisation’s permanent collection and those for which it is temporarily responsible.

Minimum Standard
The organisation must have a policy covering the insurance of objects including the indemnification of objects under the terms of the Government Indemnity Scheme. Refer to Policy and Legal Context chapter for general guidance on collections management policies.

The procedure for managing and documenting insurance must:

- Ensure that all the objects in an organisation’s care are appropriately insured within the terms of legal and statutory requirements;
- Ensure that all the objects in an organisation’s care are appropriately insured within the terms of the organisation’s policy;
- Ensure that all insurance policies are reviewed regularly and renewed as required;
- Ensure that current insurance liabilities are up-to-date;
- Enable indemnification of all eligible objects in the organisation’s custody and while in transit;
- Ensure that the appropriate minimum liability sum or excess is available to be paid if required.
### Insurance and Indemnity Management

<table>
<thead>
<tr>
<th>People</th>
<th>Process</th>
<th>Linked Procedures</th>
<th>Information</th>
<th>System</th>
</tr>
</thead>
</table>
|        | Identify your insurance needs | Identify which objects:  
- You must insure and those objects which it is **prudent** to insure within the context of your organisation’s policy  
- Are subject to public liability legislation  
- Distinguish between those that need continuous cover and those requiring short term cover |                  |                  | Collections Management system |
|        | Provide your insurers with current valuations for all objects to be insured |                  | Valuation control |        |
|        | Provide your insurer with all relevant information regarding your organisation and its collections. Establish and record the following:  
- Reference number of the objects being insured  
- Description of objects being insured  
- Insurance method  
- Insurance provider and address  
- Amount to be insured  
- Start and end date of cover  
- Who has authorised insurance  
- Special conditions attached to insurance |                  |                  | Object Identification  
- Insurance  
- Indemnity  
- Reference  
- Date  
- Organisation  
- Person  
- Address |
Details of the Units of Information required in this procedure can be found in SPECTRUM 4.0 Appendix 1, Information Requirements available on Collections Link.
Valuation control procedure

Definition
The management of information relating to the financial valuations placed on individual objects, or groups of objects, normally for insurance/indemnity purposes.

Minimum Standard
The organisation must have a policy covering the valuation of objects. Refer to Policies and Legal Context chapter for general guidance on collections management policies.

The procedure for managing and documenting valuations must:

- Ensure that valuation information is available as required to support the organisation’s needs;
- Ensure that policies and procedures used for valuation are approved and applied consistently;
- Ensure that valuation information is treated as confidential and not released to anyone without the appropriate authority;
- Ensure that valuations are updated as and when required.
Details of the Units of Information required in this procedure can be found in SPECTRUM 4.0 Appendix 1, Information Requirements available on Collections Link.
Audit procedure

Definition
The examination of objects or object information, in order to verify their location, authenticity, accuracy and relationships.

Minimum Standard
The organisation must have a policy covering the auditing of the collections and related information. Refer to Policies and Legal Context chapter for general guidance on collections management policies.

The procedure for managing and documenting audits must:

• Ensure that the organisation maintains, manages and documents a regular review of the objects in its collections and the information relating to them;
• Ensure that the audit of objects is based on the physical presence of the objects;
• Ensure that all relevant object-related documentation is updated as required in a timely manner;
• Ensure that remedial action is taken as required, following discovery of missing objects, wrongly or inadequately documented objects, or undocumented objects;
• Ensure that, wherever possible, inventory checks are conducted or witnessed by a person not responsible for their custody or record-keeping.
Audit

Define your audit – are you carrying out an audit of object information or an audit of objects?

Audit of object information

Object Audit

Decide what type of object audit to carry out e.g.:
- Individual items
- Arbitrary or representative sample
- Entire contents of one storage location.

Create a list of objects to be audited using existing inventory or object location information

Using your inventory and location records, go through the objects and verify:
- Presence of the object
- Accuracy of the number marked on the object
- Accuracy of the object description on the inventory and other documentation
- Accuracy of the location information

Depending on your reasons for audit you may also want to carry out other collections management tasks such as:
- Re-assessing environmental storage and security needs
- Updating labelling and marking
- Condition checking
- Photographing objects

Collections Management system

Inventory control

Location and movement control
Record the following information:
- Date object found at location
- Date object found to be missing from location
- Date object information was checked
- Name of person checking the object and its information

Compare the information you have collected with the information in your records

Is the object in your existing record?

Does it belong to your organisation?

Does the information in your accession register and other records match the information you collected?

Does the number on the object match the number in your Accession Register?

Amend your existing records with correct information ensuring all original information is retained

Check all related documentation. Record a cross reference in the accession register to the number on the object

Process as an acquisition

Acquisition

Inventory control

Following the inventory control procedure, create a schedule of all objects with no object records in your system. This should include:
- Date the object was found
- Location object was found
- Name of who found it
- Any ID numbers on object
- Brief description
- Inventory number assigned to object

Object identification
Object audit
Audit
Object location
Date
Organisation
Person
Address
Details of the Units of Information required in this procedure can be found in SPECTRUM 4.0 Appendix 1, Information Requirements available on Collections Link.
Rights management procedure

**Definition**
The management and documentation of the rights associated with the objects and information for which the organisation is responsible for, in order to benefit the organisation and to respect the rights of others.

**Minimum Standard**
The organisation must have a policy covering the management and documentation of rights. Refer to *Policies and Legal Context* chapter for general guidance on collections management policies.

The procedure for managing and documenting rights associated with the material (e.g. objects and photographs) for which the organisation is responsible for must:

- Ensure that the organisation has taken account of relevant rights legislation, and monitors changes;
- Ensure that fully documented research into all associated rights is carried out as soon as new material is acquired;
- Record, and monitor changes, full details of all associated rights;
- Ensure that any contract negotiations, for the use of intellectual property rights (IPR) assets, is carried out, taking into account the issues of: legal entity, legal restrictions, funders’ requirements and the tax situation;
- Ensure that the rights of others are respected by the organisation and any other third party users;
- Ensure that the rights of the organisation are respected by others;
- Ensure that there is an awareness of material sensitive to publication right (and other rights), and that any publication rights remain the property of the organisation and are not accidentally lost;
- Ensure that when the organisation creates new material it records the associated rights;
- Ensure that when the organisation commissions works, all IPRs are assigned to the organisation.
# Rights management

<table>
<thead>
<tr>
<th>People</th>
<th>Process</th>
<th>Linked Procedures</th>
<th>Information</th>
<th>System</th>
</tr>
</thead>
<tbody>
<tr>
<td>Museum staff</td>
<td><strong>Initiate research into the rights associated with the object, before any proposed use of the object</strong>&lt;br&gt;<strong>Open a due diligence file and keep copies of all enquiries</strong>&lt;br&gt;<strong>For each right, record:</strong>&lt;br&gt;- Reference number of the object&lt;br&gt;- Type of right&lt;br&gt;- Details of the holder(s) of the right&lt;br&gt;- Start date of the right&lt;br&gt;- End date of the right&lt;br&gt;- Reference to any documentation associated with the right, including licences or waivers granted to and by the organisation</td>
<td><strong>Object identification</strong>&lt;br&gt;<strong>Reference</strong></td>
<td><strong>Collections Management system</strong></td>
<td></td>
</tr>
<tr>
<td>Museum staff</td>
<td><strong>When a new use of an object is proposed</strong>&lt;br&gt;Does your organisation hold the rights to the object?&lt;br&gt;<strong>yes</strong>&lt;br&gt;<strong>no</strong>&lt;br&gt;Negotiate with the rights holder to obtain a licence for use</td>
<td><strong>Object identification</strong>&lt;br&gt;<strong>Object rights</strong>&lt;br&gt;<strong>Person</strong>&lt;br&gt;<strong>Organisation</strong>&lt;br&gt;<strong>Address</strong>&lt;br&gt;<strong>Date</strong>&lt;br&gt;<strong>Reference</strong></td>
<td><strong>Collections Management system</strong></td>
<td></td>
</tr>
</tbody>
</table>
For each licence granted, record:
- Reference number of the licence
- Reference number(s) of the work(s) covered
- IPR status of the content of the work(s)
- Details of the holder(s) of the rights granted
- Outline of the rights being acquired
- Details of sub-licences granted
- Note of warranty and indemnity clauses
- Note on past history, e.g. previous rights
- Note of any restrictions to the rights granted
- Start date of the licence
- End date of the licence
- Details of the negotiator of the licence
- Details of the record

For each licence granted by the organisation to another for the use of its IP assets, record:
- Reference number of the licence
- Reference number(s) of the work(s) covered
- IPR status of the content of the work(s)
- Details of the organisation(s) or person(s) being granted the licence
- Details of the other holder(s) of the rights being granted by the licence
- An outline of the rights being granted
- Details of sub-licences granted to third parties
- Note of warranty and indemnity clauses
- Note on past history, e.g. previous rights
- Note of any restrictions to the rights granted
- Start date of the licence
- Details of the negotiator of the licence
- Details of the record

Monitor the use of works sensitive to publication rights
Details of the Units of Information required in this procedure can be found in SPECTRUM 4.0 Appendix 1, Information Requirements available on Collections Link.
Use of collections procedure

Definition
The management and documentation of all uses of and services based on collections and objects in the organisation. These include exhibition and display, education handling collections and the operation of objects, research and enquiries, reproduction and the commercial use of objects and associated documentary archives. Users include staff (and volunteers) or the public, whether in person, by letter, telephone or any other means of communication.

Minimum Standard
The organisation must have a policy covering the use of collections. Refer to Policies and Legal Context for general guidance on collections management policies.

The minimum standard for use of collections must:

• Enable the use of objects by internal and external users for such purposes as research, display and operation;
• Enable effective control of access to the collections and information associated with them;
• Enable the planning and scheduling for the use of objects;
• Ensure continuous accountability for objects and associated documentary records;
• Add significant information derived from research to the catalogue, and make important results public through publication, exhibition or other means as and when appropriate;
• Maintain a record of use and users associated with the collections;
• Ensure that details of use are accessed by a relevant object number.
### Use of collections

<table>
<thead>
<tr>
<th>People</th>
<th>Process</th>
<th>Linked Procedures</th>
<th>Information</th>
<th>System</th>
</tr>
</thead>
<tbody>
<tr>
<td>Museum staff</td>
<td>Create or obtain a record which includes information from the proposed user of the object</td>
<td>Record must include:</td>
<td>Object identification</td>
<td>Collections Management system</td>
</tr>
<tr>
<td>user</td>
<td></td>
<td>• Proposed user(s) - name, contact details, background</td>
<td>Use of collections</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Date of request</td>
<td>Object location</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>• Proposed use</td>
<td>Date</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Brief description of object</td>
<td>Organisation</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Dates of proposed use</td>
<td>People</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Place of proposed use and its condition</td>
<td>Person</td>
<td></td>
</tr>
<tr>
<td></td>
<td>For a standard research application, include:</td>
<td>For a full exhibition proposal, include:</td>
<td>Place</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• The researcher's name, affiliation, address and telephone number</td>
<td>• Timetable</td>
<td>Address</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Proof of identity</td>
<td>• Statement of resources required</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• The name, address and telephone number of referee</td>
<td>• Theme or scenario of an exhibition</td>
<td></td>
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<tr>
<td></td>
<td>• The date and duration of visit</td>
<td>• Objectives of the exhibition</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• The purpose of visit</td>
<td>• Exhibition title</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Which items and documentation are requested</td>
<td>• External constraints or standards to be followed</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Record a reference to the application</td>
<td>Reference</td>
<td></td>
</tr>
</tbody>
</table>

Initiate: request or proposal for use
Gather and evaluate the following information before deciding whether to authorise:

- List of potential objects and documentary records
- Availability of objects and documentary records and suitability for use
- Organisation’s policy or codes of ethics with which the proposed use must not conflict
- Relevant catalogue information
- Condition
- Will objects will be put at risk by a reproduction process?
- Object’s conservation/maintenance plan and operating log
- Environmental requirements of the objects
- Handling and display requirements
- Hazard note restricting use on the grounds of status, Health & Safety or condition
- Availability of reproductions
- Copies of, or references to, relevant correspondence
- Ownership, legal/licence requirements and conditions attached to the use of the object(s)
- Legal or ethical issues concerning the use of sensitive material
- Acknowledgements to be incorporated
- Dimensions of objects
- Locations of objects

If necessary seek authorisation from your organisation

Send decision to proposer
Reserve selected and available object(s) for the period of use

Initiate condition checking

Initiate conservation work if required

Initiate reproduction of objects if required. Pass relevant info to the person reproducing the object. Include:
- Object number
- Brief description
- Dimensions
- Handling requirements
- Storage requirements
- Type, size and number of reproductions required
- View required
- Location of object
- Contact name of the person in the organisation with responsibility
- Date by which the work is to be completed

Record the following reproduction information in catalogue record:
- Reproduction number (where appropriate)
- Brief description of reproduction, with reference to original object and its accession number if appropriate
- Date of reproduction
- Person or organisation requesting the reproduction
- Person or organisation who made the reproduction
- Reason of reproduction
- Type of reproduction
- Description of the reproduction
- Copyright ownership details
- Copyright note (e.g., restrictions)
- Location

Object condition checking and technical assessment

Conservation and collections care

Object identification
- Use of collections
- Object production
- Object location
- Date
- Organisation
- People
- Person
- Place
- Address
Implement use

Arrange a timetable of use

Arrange for required objects to be at the appropriate location at the agreed time

Record the locations of all the objects at their permanent and temporary locations

For exhibitions and displays:
- Condition check objects immediately prior to installation
- Refer to conservators or relevant specialists as appropriate
- Maintain control over the objects by monitoring and recording environmental, audit, condition and security checks

For research and enquiries:
- Ensure appropriate documentation is in place regarding proposed research
- Sign researcher(s) in and out of premises; escort to and from research area; supervise session
- Instruct researcher(s) regarding object handling
- Provide access to documentation system as appropriate
- Record a reference to the use of the object

For analytical research:

Location and movement control

Object identification
Object location
Date
Address

For Condition Check
Object identification
Object condition and technical assessment
Date
Person
Address

For conservation
Object identification
Object conservation and treatment
Date
Person
Address

Reference
- Ensure appropriate documentation is in place regarding proposed research
- Record details of samples taken and any additional pieces generated
- Record all locations of samples after analysis
- For investigative and destructive analysis consult deaccession and disposal procedure
- Record a reference to the use of the object

For education handling collections:

- Ensure appropriate documentation is in place regarding proposed use
- Inform users of handling techniques and care
- Maintain and update user log and location records
- Agree timetable and procedure for object(s) return

For the operation of objects:

- Approve object for operation
- Assess condition of object prior to operation
- Maintain and update a log of repairs and replacement of parts
- If offsite supervise transport installation and operation- observe health and safety requirements

For commercial use:

- Record the object name, number of items and condition check result prior to use
- Record the use made of objects for publication or licensing purposes

Deaccession and disposal

Reference

Object identification
Object condition & technical assessment
Reference
Date
Person
Address

Object identification
Object condition & technical assessment
Reference
Date
Person
Address

Object identification
Object condition & technical assessment
Object use
Reference
Date
Person
Address
Details of the Units of Information required in this procedure can be found in SPECTRUM 4.0 Appendix 1, Information Requirements available on Collections Link.
Object exit procedure

Definition
The management and documentation of objects leaving the organisation’s premises.

Minimum Standard
The organisation must have a policy covering the exit of objects belonging to the museum. Refer to the Policies and Legal Context chapter for general guidance on collections management policies. See also Object exit: SPECTRUM Advice for guidance on writing an object exit policy statement.

The procedure for documenting and managing object exit must:

- Ensure that legal requirements and the organisation’s policy are fulfilled when objects leave its premises;
- Ensure that the organisation is able to account for the exit of all objects from its premises, including those which have been deposited as offers or for identification or loaned;
- Ensure that location information for accessioned objects leaving the organisation’s premises is maintained;
- Ensure that all objects leave with appropriate authorisation;
- Ensure that a signature of acceptance from the recipient is always obtained when transferring custody of an object between parties. Where the first recipient is a courier it may also be necessary to get a signature from the person or organisation to which it is being delivered.

Object exit is a SPECTRUM Primary Procedure. This means that in order to meet the documentation requirements for the Museum Accreditation Scheme an organisation must reach the SPECTRUM Minimum Standard for this procedure.
### Object exit

<table>
<thead>
<tr>
<th>People</th>
<th>Process</th>
<th>Linked Procedures</th>
<th>Information</th>
<th>System</th>
</tr>
</thead>
<tbody>
<tr>
<td>Museum staff</td>
<td><strong>Initiate the Object exit</strong></td>
<td></td>
<td></td>
<td>Collections Management system</td>
</tr>
<tr>
<td></td>
<td>Identify the reason for the object leaving the organisation. These reasons may be related to: Object Entry, Loans in, Loans out or Deaccession and disposal</td>
<td>Object entry</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Authorise the exit in writing, including the reason for exit. The exit must not violate any existing contractual agreements.</td>
<td>Loans in</td>
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<tr>
<td></td>
<td></td>
<td>Loans out</td>
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<td></td>
<td></td>
<td>Deaccession and disposal</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Museum staff</td>
<td>Establish a secure record system for all exits. This may take the form of an Object Exit form system</td>
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<td></td>
<td><strong>Exit documentation must include:</strong></td>
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<td></td>
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<tr>
<td></td>
<td>- Object or entry number</td>
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<tr>
<td></td>
<td>- Brief description</td>
<td></td>
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<td></td>
<td>- Person responsible</td>
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<tr>
<td></td>
<td>- Condition</td>
<td></td>
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<td></td>
<td>- Valuation (if required for indemnity or insurance)</td>
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<td></td>
<td>- Authorised signature of the organisation the object is leaving or reference to it</td>
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<td></td>
<td>- Destination name, address and telephone number</td>
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<tr>
<td></td>
<td>- Reason for exit</td>
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<td></td>
<td>- Signature of receiving officer/agent or reference to it</td>
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<td></td>
<td>- Date of exit</td>
<td></td>
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<td></td>
<td>- Date of delivery</td>
<td></td>
<td></td>
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<td></td>
<td>- Anticipated return date and method</td>
<td></td>
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<tr>
<td></td>
<td>- Reference to appropriate file containing additional details</td>
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</tr>
</tbody>
</table>
Further detailed guidance on the Loans in procedure can be found in *Loans in: SPECTRUM Advice* available on Collections Link.

Details of the Units of Information required in this procedure can be found in SPECTRUM 4.0 *Appendix 1, Information Requirements* available on Collections Link.
Loans out procedure

Definition

Documenting and managing the loan of objects to other organisations or individuals for a specific period of time and for a specific purpose, normally exhibition/display, but including research, conservation, photography and education.

Minimum Standard

The organisation must have a policy covering the assessment of loan requests and a standard set of conditions which borrowers must meet. Refer to Policies and Legal Context chapter for general guidance on collections management policies. See also Loans out: SPECTRUM Advice for more detailed guidance about Loans out policy decisions.

The procedure for documenting and managing loans out must:

- Ensure that all loan requests are assessed according to the organisation’s policy;
- Ensure that there are written agreements signed by both borrower and lender before the loan commences;
- Ensure that the loan is for a finite period;
- Ensure that the organisation retains a record of all loans, including details of the borrower, the venues, the loan period and the purpose of the loan;
- Enable effective control of the loan process;
- Ensure that the borrower confirms their intent and ability to provide an acceptable level of care, security and safekeeping for the object and to conform to the conditions of loan specified;
- Ensure that the loaned objects are covered by insurance or indemnity as appropriate for the duration of the loan period.

Loans out is a Primary Procedure. This means that in order to meet the documentation requirements for the Museum Accreditation Scheme an organisation must reach the SPECTRUM Minimum Standard for this procedure.
## Loans out

<table>
<thead>
<tr>
<th>People</th>
<th>Process</th>
<th>Linked Procedures</th>
<th>Information</th>
<th>System</th>
</tr>
</thead>
<tbody>
<tr>
<td>Museum staff</td>
<td>Review the loan request</td>
<td></td>
<td>Object identification</td>
<td>Collections</td>
</tr>
<tr>
<td>borrower</td>
<td>Ensure that you have the following information in a written request:</td>
<td></td>
<td>Loan out</td>
<td>Management</td>
</tr>
<tr>
<td></td>
<td>- Details of required object(s)</td>
<td></td>
<td>Use of collections</td>
<td>System</td>
</tr>
<tr>
<td></td>
<td>- Name and contact details of borrower</td>
<td></td>
<td>Object valuation</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Purpose of loan- if for exhibition, details and venues</td>
<td></td>
<td>Date</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Proposed dates of loan</td>
<td></td>
<td>Organisation</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Details of proposed Indemnity or insurance provisions</td>
<td></td>
<td>People</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Establish a separate loan record to hold all information and record</td>
<td></td>
<td>Person</td>
<td></td>
</tr>
<tr>
<td></td>
<td>reference to it in your catalogue record</td>
<td></td>
<td>Address</td>
<td></td>
</tr>
<tr>
<td>Museum staff</td>
<td>Assess the loan against the following criteria:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>borrower</td>
<td>- Availability of the object(s)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Condition of the object and a risk assessment to the object</td>
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<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>and the borrower and/or users</td>
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<td></td>
<td></td>
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<tr>
<td></td>
<td>- Ethical considerations such as condition, risk or sensitivity</td>
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<tr>
<td></td>
<td>- The acceptability of the purpose of loan</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>- Your organisations policy on lending to a third party</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>- Whether your organisation has the right to lend the object(s)</td>
<td></td>
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<tr>
<td></td>
<td>Acknowledge loan request, and inform borrower if the loan is</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>possible. Keep a reference to this acknowledgement in your loan</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>records</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Museum staff</td>
<td>Is the object to be considered for a loan?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>borrower</td>
<td>no</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Inform borrower, giving reasons</td>
<td></td>
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<tr>
<td></td>
<td>yes</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>
Reserve the object(s) if it is considered suitable

Send the borrower any conditions of loan with a request for further information about the loan. This may include a request for a facilities report.

On receiving further information re-asses the loan, considering:
- Previous loans to the borrower or venue
- A site visit to the proposed venue
- Consulting any relevant advisor
- Information about insurance
- Costs to your organisation
- Requirements relating to packing and transport
- Security considerations
- Environmental considerations

Notify the borrower of the decision to lend and record your decision in your loan records.

Is the object to be loaned? no

Inform borrower, giving reasons

Provide the borrower with the following information for each object:
- Name and address of owner
- Valuation
- Condition
- Display requirements
- Environmental requirements
- Handling recommendations
- Dimensions
- Photographs for research or publicity
- Descriptive and historical information
- Estimated costs that the borrower will be expected to meet
Monitor the loan by updating the following information according to the terms of the agreement:
- Object condition
- Environmental and display conditions
- Insurance and indemnity policies

At the end of the loan period, has a renewal been requested?

- No
- Yes

Consider the request and renew the loan if appropriate
- Prepare a single loan agreement with the borrower referring to all conditions, or amend existing agreement
- Prepare two copies of the new agreement, one for each party and obtain signatures. Keep a copy in your records.

Reference
Further detailed guidance on the Loans in procedure can be found in *Loans in: SPECTRUM Advice* available on Collections Link.
Details of the Units of Information required in this procedure can be found in SPECTRUM 4.0 Appendix 1, *Information Requirements* available on Collections Link.
Loss and damage procedure

**Definition**
Managing and documenting an efficient response to the discovery of loss of, or damage to, object(s) whilst in the care of the organisation.

**Minimum Standard**
The organisation must have a policy covering the response to the loss of or damage to objects. Refer to *Policies and Legal Context* for general guidance on collections management policies.

The procedure and documentation for loss and damage must:

- Enable the organisation to take all reasonable steps to prevent further loss or damage;
- Ensure that all decisions and actions in the organisation’s response to damage or loss are fully documented.
Loss and damage

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<tr>
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<td>Museum staff</td>
<td>On discovery of damage to an object</td>
<td>Implement your museum disaster plan</td>
<td>Risk management</td>
<td>Collections Management system</td>
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<tr>
<td></td>
<td>Is the object on loan?</td>
<td>yes</td>
<td>Inform the owner</td>
<td></td>
</tr>
<tr>
<td></td>
<td>no</td>
<td></td>
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<tr>
<td></td>
<td>Are you moving the object?</td>
<td>yes</td>
<td>Location and movement control</td>
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<td></td>
<td>Are you assessing condition and conservation needs</td>
<td>yes</td>
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<td></td>
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<td></td>
<td>Conservation and collections care</td>
<td></td>
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</tbody>
</table>
Record the following for each object or group of objects which have suffered damage, the:

- Dates of discovery and reporting of the damage
- Names and details of those involved in the discovery and reporting of the damage
- Details of the circumstances of the damage
- Details of the objects
- Details of the damage and references to any condition reports

On discovery of loss of an object

Implement your museum disaster plan

Is the object on loan?

- yes
  - inform the owner

- no
  - If the loss is as a result of theft inform all necessary authorities and keep copies of all records and communications:
    - Person responsible for the object
    - Internal security staff or volunteers
    - Police (where appropriate)
    - External agencies or specialists

  - In case of theft, provide police with photographs and other descriptive material to identify the object

Risk management
Details of the Units of Information required in this procedure can be found in SPECTRUM 4.0 Appendix 1, *Information Requirements* available on Collections Link.
Deaccession and disposal procedure

Definition

The management of disposal (the transfer, or destruction of objects) and of deaccession (the formal sanctioning and documenting of the disposal).

Minimum Standard

The organisation must have a policy covering the disposal and deaccession of objects. Refer to Policies and Legal Context for general guidance on collections management policies.

The procedure and documentation for deaccession and disposal must:

- Ensure that the decision to dispose is carefully considered and that all relevant evidence and opinions are sought according to the organisation's policy;
- Ensure that all relevant evidence and opinions are sought according to statutory legal requirements;
- Ensure that the organisation makes every effort to determine title to objects involved and that they are free from relevant special conditions attached to the original acquisition;
- Ensure that the decision to dispose does not rest with an individual and the action is formally approved by a governing body;
- Ensure that preference for transfer be given to recognised organisations (e.g. Accredited museums in the UK);
- Ensure that title to the object is transferred to any receiving organisation;
- Ensure that objects disposed of are marked as such on the accession register;
- Ensure that items to be destroyed are disposed of in a responsible manner (e.g. unwanted archaeological material will not mislead future archaeologists);
- Ensure that all decisions and actions are fully documented.
Deaccession and disposal

**Establish the case**

**People**

**Process**

1. Establish that you have title to the object to be disposed of and that there are no conditions that prevent disposal

2. Are there records of the object in your documentation system?
   - Yes
   - No
     - No: Check all possible sources of information to establish details of entry to the collection, including donor.

3. Can you establish clear evidence of ownership of title?
   - No
   - Yes
     - Yes: Carry out a risk assessment for disposal. Make sure you consider:
       - All sources of information
       - The value — intrinsic or monetary
       - Areas of your collection that are undocumented
       - Your collecting policy now and in the past

4. Consider disposal within the context of your acquisition and disposal policy

**Linked Procedures**

**Information**

**System**

Collections Management System
Make the case for disposal in writing. Include:
- Inventory list of the collection
- Evaluation of the cultural, Historic, scientific and educational worth of the object
- Condition report where there are Health & Safety issues
- Review of the organisation’s collecting policy
- Review of the context of the existing collections
- Report giving estimates of the costs for retaining the object
- Photograph of the object (if legally possible)
- Valuation of the object provided by a third party
- Clauses in the organisation’s disposal policy which support the decision to dispose

Check that the objects description is up-to-date. You will need an accurate description to:
- Make the case for disposal
- Send to the recipients of the object
- Retain as a historical record of the museum’s ownership.

Seek approval for disposal according to your policy and procedures. Retain and make accessible a permanent copy of the approval.

Where you have not already identified a receiving organisation, advise relevant communities of your intention to dispose either by gift, exchange or sale. Do this by placing an advertisement in appropriate professional publications. Include the following:
- Number of objects involved
- Description of the object(s) concerned
- Preferred method of disposal (gift, exchange, sale)
- Terms of disposal
Allow a minimum of two months for interest to be expressed.

Have you received an request from another organisation?
- Yes
- No

Consider disposal (including destruction) within the context of your acquisition and disposal policy.
Discuss and agree the terms for the transfer/sale. Obtain written confirmation of this agreement for terms of removal from recipient including costs, insurance and timings.

Provide recipient with information about the object. Retain all your own original documentation. Do not remove number from object.

Assess the destruction of the object(s) within the context of your acquisition and disposal policy.

Retain record of destruction with documentation for the object.

Record the date that the object ceased to be part of the collection. This will be at 'transfer of title' or the date of destruction.

Deaccession the object when you receive the exit documentation, or immediately after destruction. Annotate all relevant documentation including:
- The original acquisition or entry documentation
- The Accession register
- Object descriptions/catalogue
Details of the Units of Information required in this procedure can be found in SPECTRUM 4.0 Appendix 1, Information Requirements available on Collections Link.
Retrospective documentation procedure

Definition

The improvement of the standard of information about objects and collections to meet SPECTRUM Minimum Standards by the documentation of new information for existing objects and collections.

Minimum Standard

The organisation must have a policy on retrospective documentation. Refer to *Policies and Legal Context* chapter for general guidance on collections management policies. See also *Retrospective Documentation: SPECTRUM Advice* for guidance about retrospective documentation policy decisions.

The procedure for retrospective documentation must:

- Define the purposes of the organisation’s documentation system. The primary purpose should be to establish accountability and access;
- Define the organisation’s understanding of the backlogs it has;
- Work towards reducing its backlog;
- Review progress on reducing the backlog on a regular basis;
- Work towards an overall improvement in the quality of information held about objects and collections;
- Review progress on the overall improvement in the quality of information on a regular basis.

*Retrospective Documentation is a SPECTRUM Primary Procedure*. This means that in order to meet the documentation requirements for the Museum Accreditation Scheme an organisation must reach the SPECTRUM Minimum Standard for this procedure.
## Retrospective documentation

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</table>

**Define the purpose of your museum’s documentation system and create a documentation or information policy (or review your existing policy)**

When defining the purpose/creating the policy you will need to consider the following:
- Who the clients/users of the documentation system are
- Who operates the systems
- What the organisation is aiming to achieve
- The organisation’s mission statement
- The needs of the governing body
- The legal restraints, Accreditation scheme requirements, and funders requirements

**Research and define your backlogs. These might include the following types of backlog:**
- Procedural – incomplete procedures
- Core information – basic inventory of all objects
- Accessioning – backlog of unaccedioned material
- Cataloguing – You may have a definition of a minimum catalogue entry defined in your policy
- Museum Accreditation – Check the requirements of the Accreditation scheme
- Cultural diversity – you may wish to apply the Revisiting Collections methodology to part of your collections documentation system.

Create a written definition of the types of backlogs in your museum
Record a reference to the document
Details of the Units of Information required in this procedure can be found in SPECTRUM 4.0 Appendix 1, Information Requirements available on Collections Link.