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Collections Management

Purpose

This policy contains the philosophies, policies, procedures and practices for acquiring, documenting, securing, valuing and disposing of SLM's collection objects.

Background

The Collections Management Policy is one of the Historic Houses Trust's (HHT) most important policy documents. It contains all the philosophies, procedures and practices for acquiring, documenting, securing, valuing and disposing of objects by HHT.

The original policy document contained details of all procedures connected with Collections Management within HHT.

These procedures have been removed from this policy document and now form a new document, Collections Management Procedures, which is complimentary to the policy and should be used in conjunction with it.

Matters such as procedures for acquisition and cataloguing, loans, deaccession, valuation and stocktaking, missing and stolen objects and object movement are explained and the relevant forms included in the Collection Management Procedures.

Scope

This policy applies to all workers who have a role in the management or use of HHT's Collection, including employees, volunteers, contractors, work experience students or interns. Curatorial, Heritage and Collections & Access teams must be intimately familiar with this document and other SLM works should have a good working familiarity with the policy.

COVER SHEET – to register policy

Roles and responsibilities

- **Executive Director:** Reports to Trust on status of the collections, proposals for major acquisitions and disposal; approves recommendations from relevant officers for acquisitions that will enhance the breadth and significance of the HHT's collections
- **Assistant Director, Heritage & Collections:** review and recommend major acquisition proposals by officers for Executive Director approval, consistent with the acquisition criteria in this policy; authorise de-accessioning and disposal proposals for Executive Director approval to proceed to Trust;
- **Head of Collections & Access:** ensuring workers are aware of the policy requirements and related procedures necessary to comply with this document; providing advice and support to portfolio staff in assessing objects proposed for acquisition in relation to the criteria in this policy
- **Head of Portfolio, Head of House Museums:** will ensure property based staff are aware of the policy requirements and related procedures necessary to comply with this document.
- **Portfolio Curator:** Prepare submissions on proposed acquisitions including details of provenance, value, significance and thematic purpose, for approval by Assistant Director, Heritage & Collections.

Delegations

- Set out in the Policy

Legislation

- *Government Sector Employment Act 2013*
- *Historic Houses Act 1980*
- *Independent Commission Against Corruption Act 1988*
- *Public Interest Disclosures Act 1994*

Related policies

- Policy: Code of Conduct: Staff & Volunteers
- Policy: Endowment and special purpose funds
- Policy: ICT Digital Security Framework (in draft)
- Pesticide Use for HHT Buildings and Grounds
- Policy: Asset Disposal
- Pesticide Use for HHT Buildings and Grounds

Other related documents

- Collection Management Procedures (Note: I could only find 2004 document??)
- Hyde Park Barracks Statement of Cultural Significance
- Museums Australia Code of Ethics available from <http://www.museumsaustralia.org.au/site/publications.php#docs>
- Rose Seidler House Conservation Plan
- Rouse Hill House Museum Plan, 1997
- SLM Procedure: How to report Serious Wrongdoing (to be drafted)
- Procedure: Exiting Worker (in draft)
- Collection Management Procedures (April 2004)
- Archaeological Collections Management Procedures for Information Management
- Archaeological Collections Management Procedures for Deaccessioning
- Archaeological Collections Management Procedures for Future Archaeological Collections.
- Archaeological Collections Management Procedures for Surface and Other Finds.
- UNESCO Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property
- NSW Treasurer's Direction 464: Stocktaking of Stores Plant and Equipment
- SLM's Disaster Management Policies & Procedures

Definitions

- None

Superseded documents

- TP01 Collections Management Policy

Revision history

Version	Date issued	Notes	By
1	Sept 1991	Policy Adopted	
2	June 2004	Revised version	Trust
3	Sept 2004	Revised version	Trust
4	June 2005	Revised version endorsed by Trust, released September 2005	Trust
5	March 2008	Reviewed and amended	Trust
5.1	May 2015	This draft reviewed and approved as Minor Amendment	Executive Director

Review date

The policy is reviewed every 3 years. The next review date is 19/05/2018

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A. Acquisition Policy: General

1. General Policy for the Acceptance of Objects

- 1.1 On a permanent and temporary basis HHT will only collect those objects, which are relevant and consistent with the purposes, and objectives of HHT and which meet one or more of the following criteria:
 - 1.1.1 Material that conforms to acquisition policies for collections set out in part B.
 - 1.1.2 Material useful for comparative research - to broaden the comparative base of the established permanent collection, eg archival material such as inventory documents, pictorial records of interiors, etc.
 - 1.1.3 Material useful for interpretative purposes that will help the public understand some aspect of the property and its collection.
 - 1.1.4 Material not related to the above but important because of its uniqueness or other qualities and where there is a danger of loss or destruction.
 - 1.1.5 Material which may be appropriate to a property that the HHT anticipates it may own.
 - 1.1.6 Pictorial images of any HHT property, or people, places and events associated with it, whether or not within the collecting periods for each acquisition policy, and including engravings, paintings and photographs, including contemporary images and commissions.
- 1.2 Every object must conform to one of the categories of:
 - 1.2.1 Permanent collection (formally accessioned into the collection)
 - 1.2.2 Temporary (entered on Temporary Register)
 - 1.2.3 Other (not registered)
 - Soft furnishings
 - Props
- 1.3 HHT will only accept conditional donations in the most exceptional circumstances and these must be approved by the Trust.
- 1.4 HHT may accept a formed collection where the bulk of the collection is in substantial accord with one or more of HHT's collection policies. If part of the collection is not relevant HHT may retain the entire collection to ensure its integrity. Examples include Peter Spearritt Collection and The Richard Clough Collection.
- 1.5 HHT may accept on a temporary basis:

Materials for the purposes of documentation, conservation, research, educational programs, exhibition, display and interpretation.
- 1.6 Approvals and delegations for purchases of objects will be in accordance with the level Financial Delegations approved by the NSW Treasury.

2. Definitions of Collection Categories

- 2.1 Permanent collection:

Includes all objects that are considered to be of historic, cultural, social, aesthetic, scientific or technological significance, that meet the criteria in the various Acquisition Policies.

Objects in this category are to be registered, fully catalogued and require formal de-accession procedures if proposed to be removed from the collection. It includes reproductions commissioned by the HHT, based on a provenanced original or physical evidence.

Purchases of modern reproductions of historic objects (eg period pieces) for interpretation are NOT considered to be part of the permanent collection.
- 2.2 Temporary collection:

Includes objects acquired for temporary purposes, such as exhibitions, with the intention of disposal. Objects acquired as part of an auction lot that are not required by the HHT are also considered to be part of the temporary collection.

Objects in this category are entered in a Temporary Register and basic catalogue information is recorded by the Collections & Access Team. These objects are not required to undergo the formal deaccession process, but disposal will require the approval of the Executive Director following the advice of the Head of Collections & Access.

2.3 Soft furnishings:

Includes curtains, blinds, table covers, floor coverings, bed hangings, case covers, bed covers etc, usually made for the house museums. Genuinely historic textiles covered by the core acquisition policy are excluded from this category.

As soft furnishings are likely to be subject to a higher level of wear and tear than historic objects, they are considered to be replaceable and thus not part of the permanent collection. They are not registered individually. They are not required to undergo the formal deaccession process, but do require approval from the Assistant Director prior to disposal.

2.4 Props:

Includes a diverse collection of objects that do not qualify for inclusion under the core policy for reasons of:

- date
- lack of physical integrity
- transitory nature (eg waiting for replacement when an earlier/better example is located)
- where associated physically with a catalogued object but not
- considered to be original (eg a picture frame or glass dome).

3. Standards

- 3.1 HHT shall only acquire collections if it can provide adequate resources and procedures to protect, document, conserve, store, research, exhibit and interpret those objects, as applicable, in accordance with the highest professional standards.
- 3.2 Objects may be acquired through purchase, gift, bequest, as a result of public sector administrative change, exchange, commission or field collection.
- 3.3 HHT intends that the objects, other than those on loan and those acquired on a temporary basis (eg for exhibition), shall have permanency in the collections as long as they retain their physical integrity, their identity, their authenticity and their documentation and/or so long as they remain useful for the purpose of HHT.
- 3.4 All objects entering the permanent collection should be accompanied by a legal document transferring full and unencumbered title of ownership to HHT, without restriction as to use or future disposal.
- 3.5 In rare circumstances or if a sufficiently important case exists for restrictions to be attached to an acquisition, an agreement must be in place that sets out a reasonable termination date, and the restrictions agreed to by HHT.
- 3.6 Where HHT proposes to take into its collection the records of another public office that were State Records, State Records of NSW must be consulted to determine whether a distributed management agreement or other authority is required. This provision only applies to records taken into HHT collection after 2 June 1988.
- 3.7 HHT will document and retain records of accession for all items acquired for the permanent collection.

Items entering the permanent collection will be entered into Vernon, HHT's collection management database or FIRST, HHT's library management system, depending on physical format. Records relating to the acquisition and approval of the object will be captured in TRIM, SLM's recordkeeping system.
- 3.8 HHT will encourage maximum utilisation of its collections provided that the preservation of the objects is not compromised and their use is consistent with the overall goals and ethics of HHT.
- 3.9 HHT will co-operate with other museums, historic preservation organisations, libraries and agencies with similar or overlapping interests and collecting policies, in order to avoid duplication and to achieve an integrated plan for preservation and interpretation.

4. Ethics

- 4.1 HHT will acquire collections in accordance with State and Federal law and the international agreements between Australia and other countries (eg. UNESCO Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property).
- 4.2 HHT will only acquire collections having a legal and ethical provenance.
- 4.3 The collection of objects by HHT staff members will always be practised in accordance with the standards of HHT's Code of Conduct: Staff and Volunteers.
- 4.4 HHT will actively promote the education of the general public to the ethical and legal responsibilities of natural and cultural heritage preservation.
- 4.5 HHT will not provide appraisals for tax deductions or other external purposes, but will assist donors to obtain valuations for tax deduction purposes.
- 4.6 Identification and authentication will be given only for professional or education purposes under the ethical and legal guidelines laid down by the Code of Ethics of Museums Australia.

B. Acquisition policies – specific collections

Acquisitions for specific collections will confirm to the general requirements set out in Part A as well as the requirements set out for each collection below.

1. Elizabeth Bay House

- 1.1 Acquisitions (excluding the exceptions in 1.3 below) will emphasise the early periods of occupation by the Macleay family, particularly that of Alexander and Elizabeth Macleay from 1839–45 and, where possible, will be based on inventories and other documentary evidence. If no information is available acquisitions will be made on the basis of documentation relating to other houses of similar period, style and quality.
- 1.2 Exceptions to 1.1 above are as follows:
 - 1.2.1 Actual objects known to have been in the house during the entire Macleay family's occupation from 1839–1903.
 - 1.2.2 Artworks known to be by artists once resident at Elizabeth Bay House during its history, not necessarily depicting the house.

2. Elizabeth Farm

- 2.1 Acquisitions will emphasise the period of occupation by the Macarthur family (1793-1850) and in particular by the period following the completion of the house in its present form (c1826), and where possible will be based on inventories and other documentary information.

Acquisitions may include objects associated with other periods of the house, especially the Swann family occupation. This policy allows for the use of reproductions. Objects that have no provenance will only be permitted where they assist in the interpretation of the house and/or have an education role.
- 2.2 Exceptions to 2.1 above are:
 - 2.2.1 Actual objects known to have been in the house during the period of Macarthur ownership (1793-1881).

3. Hyde Park Barracks Museum

- 3.1 Priority for acquisitions will relate to the cultural significance of the Hyde Park Barracks.
- 3.2 In acquiring material culture priority will be given to objects provenanced to the Hyde Park Barracks or directly related to aspects of its uses. Acquisitions will emphasise the four major periods of occupancy of the Hyde Park Barracks:
 - 3.2.1 Convict era 1819–1848
 - 3.2.2 Immigration depot and asylum 1848–1886
 - 3.2.3 Courts and legal offices 1887–1979

- 3.2.4 Museum's phase 1979 to present.
- 3.3 Acquisitions will conform to the priorities of the Hyde Park Barracks Statement of Cultural Significance:
 - 3.3.1 Convict, particularly related to the Barracks accommodation and living conditions of male convicts in NSW (1819–1848).
 - 3.3.2 Convict building practices, architectural design and urban planning in nineteenth century Sydney.
 - 3.3.3 Immigrant and institutionalised groups in NSW (1848–1886).
 - 3.3.4 Government, legal and public life in NSW (1887–1979).
 - 3.3.5 Late twentieth century developments in building conservation, historical archaeology methodology, museology, cultural tourism and historical interpretation, in particular the period 1975 –1990.
- 3.4 Objects may be acquired which amplify themes contained in the site interpretation for educational use and comparative research.

4. Justice & Police Museum

- 4.1 On a permanent and temporary basis the Justice & Police Museum will collect objects that allow the museum to interpret the social and legal history of justice, policing and criminality within NSW. The museum will collect objects that represent key historical developments in these areas.
- 4.2 Objects will be acquired that can be used to interpret significant evolutionary developments in the police and legal framework, including key changes to equipment and paraphernalia (eg legal costume and wigs or the design of police firearms and handcuffs). Priority will also be given to objects that exemplify historic shifts in criminal behaviour in NSW. The existing collection covers significant periods in crime, for example the growth of bushranging in rural NSW between 1860–1880 and the growth of the drug industry in urban NSW between 1960–1990.
- 4.3 Objects should be provenanced to people and events in NSW, particularly where connected to criminals, criminal acts and technologies, police, magistracy, judiciary and other legal workers.
- 4.4 Objects that have a connection with the museum building in its historical role as a police station/courthouse complex will be collected. Where such material is lacking, similar objects and replicas may be acquired for interpretation.
- 4.5 Objects that are intended for furnishing or interpretive display must be appropriate to the period of occupation emphasised (c1890) and where possible be selected on documentary and/or pictorial evidence.
- 4.6 Archival materials (documents and photographs) may be collected if they support internal research and interpretation of the museum
- 4.7 The museum will collect objects which relate to the creation of the Police
- 4.8 Forensic photography collection. Items that illustrate forensic investigative techniques and equipment may also form part of this collection area.

5. Meroogal

- 5.1 Any object which was once in Meroogal may be acquired. Such acquisitions should not be actively sought and should only be made after consideration of the following criteria:
 - 5.1.1 Where the object(s) could be used to enhance the integrity of the house or a component of it.
 - 5.1.2 Where the preservation of the object(s) is in doubt.
 - 5.1.3 Where the known location of the object may be lost.
 - 5.1.4 If adequate storage facilities are available.
- 5.2 HHT should actively seek the whereabouts of objects once in Meroogal and endeavour to keep track of their location.
- 5.3 HHT may acquire props for the house where these will:

- 5.3.1 Cause the originals to be preserved since they will be either regularly used or occasionally handled (eg cane verandah chairs, magazines).
- 5.3.2 Where they will assist with the conservation of the house and collection (eg exterior canvas blinds).

6. Museum of Sydney

6.1 This collection will comprise three categories:

6.1.1 First Government House Archaeological Collection – The archaeological collection is significant as physical evidence of the site and is preserved, documented and interpreted. It is essentially a closed collection, but should further excavation occur on the site, or other archaeological material from the site come to light, additional archaeological material might be collected. The site is defined as the immediate environs of first Government House and its outbuildings.

6.1.2 Material culture that is directly relevant to the place, First Government House (1788 –1846). This will comprise:

6.1.2.1 Objects known to have been in first Government House during the occupation of the nine Governors or directly associated with the nine Governors (1788 –1846).

6.1.2.2 Images that depict the site and its environs 1788 to the present.

6.1.2.3 Significant objects associated with the symbolism of the site.

6.1.3 Material culture that is directly related to the history of Sydney.

Since this is a particularly difficult category the following criteria have been developed for evaluating material culture being considered for inclusion in this area of the collection whether by purchase, commission, gift or bequest.

6.1.3.1 Selection Criteria for Category 6.1.3:

- The material culture must be representative of the history of Sydney: of people and place, of events, icons and imagery that have helped to define Sydney both locally and internationally.
- The subject matter must be about Sydney as defined geographically from Broken Bay to Botany Bay and to the foothills of the Blue Mountains.

6.1.3.2 Explanatory Guidelines for Category 6.1.3 – Assessment of Subject Matter

In assessing the subject matter of the material, the following questions should be addressed:

- Does the work reveal and interpret the changing nature of Sydney in some way?
- Does the work relate to or depict Sydney personalities who have shaped Sydney or made a major contribution to Sydney life?
- Is the work representative of one or more of the diverse communities of Sydney?
- Does the work document in a unique way a significant Sydney event or celebration?
- Is the work representative of important symbolic sites such as the Opera House, Bondi Beach or the Harbour Bridge?

6.1.3.3 Explanatory Guidelines for Category 6.1.3

Once the suitability of a subject matter has been established, consideration will be given to particular works on offer on the basis of answers to the following questions:-

- Is the work of sufficient artistic merit and/or cultural significance?
- Do similar objects exist in other local, State or National collections? Are they likely to be available for loan to the Museum of Sydney?
- What is the power and potential of the object for display within the Museum?

- If a purchase, is the object a priority for the allocation of funds? Can a donor be obtained?
- Is the work in a satisfactory condition?
- Is the available provenance adequate?
- Are there any legal, cultural or conservation restrictions that prevent the object from being displayed?
- Is there safe, secure storage available to house such an object?
- Has the work been conceived either as part of a pair or as part of a series which, if broken up, would compromise the integrity of the work?
- Are either copyright or reproduction rights available?

7. Rose Seidler House

- 7.1 The Acquisition Policy for Rose Seidler House is restricted to five classes of objects:
- 7.1.1 Objects intact in the house as at 1 January 1988 listed in the Rose Seidler House Conservation Plan Schedule 4.14.1.
 - 7.1.2 Objects provenanced to Rose Seidler House, especially objects in the Harry Seidler Collection listed in the Rose Seidler House Conservation Plan Schedule 4.14.2.
 - 7.1.3 Objects similar to those identified in 1950 photographs and illustrations of Rose Seidler House listed in Rose Seidler House Conservation Plan Schedule 4.14.3.
 - 7.1.4 Objects similar to those known to exist in Rose Seidler House by family recollection and identification.
 - 7.1.5 Resources: documents, photographs, newspapers, material samples, fixtures and fittings directly relevant to Rose Seidler House for display or research purposes.
- 7.2 Allowance will be made for replacement of reproduction objects through wear and tear.

8. Rouse Hill estate

- 8.1 Acquisitions will conform to the specific requirements of the Rouse Hill Museum Plan, 1997 specifically sections 3.2 & 3.3 which cover the Collection Conservation Policy and Replica Policy.
- 8.2 Rouse Hill estate is essentially a 'closed collection'. However, any object that was part of the collection between the death of Mrs Nina Terry in 1968 and the acquisition of the house by the NSW State Government in 1978 will be considered suitable for acquisition.
- 8.3 Objects introduced into the house by Mr and Mrs Gerald Terry during the period of life tenancy (1978-1999) will be considered suitable for acquisition.
- 8.4 Objects removed from Rouse Hill estate prior to Mrs Nina Terry's death should be considered as part of the historical continuity of the house. Such acquisitions should not be actively sought and should only be made after consideration of the following criteria:
- 8.4.1 Where the object(s) could be used to understand and/or appreciate the significance of the collection or a component of it.
 - 8.4.2 Where the preservation of the object(s) is in doubt.
 - 8.4.3 Where the known location and/or preservation of an object once part of the collection may be uncertain.
 - 8.4.4 If adequate storage facilities are available.
- 8.5 HHT should actively seek the whereabouts of objects once at Rouse Hill estate and endeavour to keep track of their location.
- 8.6 HHT may acquire facsimiles and replicas of objects for the house where these will:
- 8.6.1 Cause the originals to be preserved since they will be either regularly used or occasionally handled (eg cane verandah chairs, carpets, dhurries, magazines etc). Refer to Replica Policy section 3.3.3 and section 3.2 and 23.5.2 of the Rouse Hill House Museum Plan, 1997.
- 8.7 Uncatalogued material

- 8.7.1 There are three structures on the Rouse Hill estate that contain rooms that were abandoned by the family during their residence. They are the Cottage – Engine Room/Generator Shed (area 43), the Dairy – Milk Storage Room (area 51) and the Woolshed (area 56). These rooms are in chaotic condition and their contents reflect this chaos. To protect and preserve this state of disarray, the contents of these rooms will not be itemised, identified and catalogued as the act of examining each object destroys the integrity of the historic compilation of these rooms.
- 8.7.2 The abandoned rooms mentioned above will be extensively photographed to record their contents and their setting. Large items that can be identified without disturbance may be accessioned and catalogued to allow their record in the appropriate registers.

9. Susannah Place Museum

- 9.1 Acquisitions for Susannah Place Museum are restricted to five object categories:
 - 9.1.1 Objects intact in the houses until 1990 when the last inhabitants, Mr and Mrs Marshall, left the property.
 - 9.1.2 Objects provenanced to all former occupants of Susannah Place, especially personal documents and photographs, relevant to their period of residence.
 - 9.1.3 Objects similar to those known to exist at Susannah Place by family recollection and identification.
 - 9.1.4 Objects similar to those identified in the nineteenth and twentieth century inventories, photographs and other documentary information, eg The Rocks archaeological collection owned by the Sydney Harbour Foreshore Authority. This policy allows for the use of reproductions, especially when the original object is unavailable or in poor condition.
 - 9.1.5 Resources: material samples, floor coverings, wallpapers, fixtures and fittings, documents, photographs, newspapers, conservation plans, maps, inventories, research theses directly relevant to Susannah Place for research or display purposes.
- 9.2 Acquisition of objects from the above categories should only be made after consideration of the following criteria:
 - 9.2.1 Where the object(s) could be used to enhance the integrity of the property or a component of it.
 - 9.2.2 Where the preservation of the object is in doubt.
 - 9.2.3 Where the known location of the object may be lost.
 - 9.2.4 If adequate storage facilities are available.
- 9.3 Allowance will be made for the replacement of reconstructed objects through wear and tear.
- 9.4 A large proportion of the Susannah Place Museum collection is owned by the Sydney Harbour Foreshore Authority, the owners of the site. This includes all the archaeological artefacts excavated on site and the furniture/soft furnishings purchased during the initial setup of the museum (see Accession Records). HHT manages this archaeological and the material culture collection on behalf of the Sydney Harbour Foreshore Authority.

10. Vaucluse House

- 10.1 Acquisitions will emphasise items owned by the Wentworth family and believed to have been at Vaucluse House between 1827 and 1910, particularly during the periods 1827-53 and 1861-62.
- 10.2 The acquisition of non-Wentworth provenanced material will emphasise the period of occupation by the Wentworth family from 1827–1853 and where possible will be based on inventories, other documentary evidence and stylistic information gained from provenanced Wentworth pieces. Where information is not known acquisitions will be based on documentation for other houses of similar period, style and quality.
- 10.3 Exceptions to 10.2 above are as follows:
 - 10.3.1 Non-Wentworth provenanced objects for rooms such as the entrance hall and breakfast room where the decoration or substantive information dates from a period

later than 1853. In these instances objects must conform to the estimated date of the decoration of the room and of the other known information.

- 10.3.2 Objects which conform to the conservation and interpretation policies for the garden which allows for appropriate acquisitions dating from 1804 –1900.
- 10.3.3 Original artworks, objects, ephemera¹ and signage associated with the property 1827-1981

11. Caroline Simpson Library & Research Collection

- 11.1 The Caroline Simpson Library & Research Collection was established in 1984 to provide a comprehensive collection of published and other material relating to building conservation and the history of house and garden design and interior furnishing, particularly in relation to New South Wales. The collection supports HHT's work in interpreting and managing places of cultural significance but as a publicly accessible collection it also provides a specialist research resource for scholars, heritage and conservation practitioners and museum professionals outside HHT.
- 11.2 In relation to formats, the collecting scope of the Caroline Simpson Library & Research Collection encompasses: books and periodicals; pictures; photographs and photograph albums; plans and drawings; film and audio material; personal papers and manuscripts; architectural pattern books and manufacturers' trade catalogues; sample books; printed ephemera; wall coverings; floor coverings; soft furnishings including trimmings; fittings (including curtain and blind hardware, door and window furniture); garden ornament; architectural fragments; furniture.

Material across this range of formats may be collected comprehensively, selectively or representatively, in accordance with priorities outlined below, and taking into consideration the constraints imposed by storage requirements, conservation requirements, and the collecting policies of other institutions.
- 11.3 Intellectual access to the Caroline Simpson Library & Research Collection is provided through Library Management System (FIRST) and a Collection Management System (VERNON), with publications and most two-dimensional documentary materials generally managed through FIRST and objects generally managed through VERNON.
- 11.4 The Caroline Simpson Library & Research Collection will acquire material according to the standards and ethics set down by HHT General Acquisition Policy Part A, 3 and 4.
- 11.5 Rare books & trade catalogues:
 - 11.5.1 In acknowledgement of the reality of the sources for house and garden design in Australia and of the suppliers and manufacturers of building materials, interior and garden ornament and furnishings, and even of plant material, the library's collecting scope encompasses both Australian and overseas publications, particularly in relation to nineteenth century handbooks, pattern books, trade catalogues and sample books.
 - 11.5.2 Within the general priority given to the purchase of rare and out of print material, particular emphasis is placed on Australian material and special consideration is given to the acquisition of association copies of handbooks, pattern books, trade catalogues and sample books.
 - 11.5.3 As the portfolio of the HHT has expanded to include properties other than house museums, the HHT's library has broadened its general collecting scope in order to support the curatorial needs of these other properties. When opportunities arise the library will selectively acquire NSW publications from the nineteenth century with potential for use for exhibition-related purposes by the Museum of Sydney, Hyde Park Barracks Museum, Justice & Police Museum and The Mint.
- 11.6 Objects:
 - 11.6.1 The acquisition of objects will concentrate on items with provenance to NSW houses or items associated with local merchants, manufacturers, designers or

¹ Ephemera is defined as "any non-book printed matter, principally on paper, designed in the main for short-term use" (Directory of Australian Ephemera collections).

- makers in a way that might elucidate or exemplify some aspect of the history of house and garden design and interior furnishing, particularly in relation to NSW, whether typical or exceptional.
- 11.6.2 Objects without provenance to a NSW house, or association with a NSW maker or manufacturer, may be acquired if the object is representative of something typically used in NSW or if the object elucidates taste in NSW domestic design, particularly where similar items with NSW provenance are unobtainable.
 - 11.6.3 Following the definitions given in 11.6.1 and 11.6.2, objects considered for acquisition should meet one or more of the following criteria:
 - 11.6.3.1 the object has historical significance, whether signifying the typical or the exceptional
 - 11.6.3.2 the object has NSW provenance
 - 11.6.3.3 the object is rare
 - 11.6.3.4 the object fills a particular gap in the collection
 - 11.6.3.5 the object has capacity to be interpreted.
 - 11.6.4 The object formats collected comprehensively include:
 - 11.6.4.1 wall coverings
 - 11.6.4.2 floor coverings (ie. small examples, samples, pieces etc)
 - 11.6.4.3 soft furnishings (including trimmings)
 - 11.6.4.4 fittings (including curtain and blind hardware; door and window furniture)
 - 11.6.4.5 garden ornament
 - 11.6.5 The object formats collected selectively or representatively include:
 - 11.6.5.1 architectural pieces/fragments
 - 11.6.5.2 large floor coverings
 - 11.6.5.3 furniture
 - 11.6.5.4 garden furniture
 - 11.6.5.5 tools (including garden tools, tools associated with specialist building and decorating trades; furnisher's tools)
- 11.7 Personal papers & manuscripts
- 11.7.1 The Caroline Simpson Library & Research Collection seeks to establish a representative collection of personal papers or manuscripts and working drawings of people connected in some way with the history of house and garden design and interior furnishing, particularly in relation to NSW. It places priority on those areas not already collected by other institutions such as the State Library of New South Wales or the Powerhouse Museum.
 - 11.7.2 The Caroline Simpson Library & Research Collection will collect the personal papers and manuscripts or working drawings of decorators, interior designers, builders, cabinetmakers and upholsterers, painters and decorators, landscape designers and gardeners.
 - 11.7.3 In consideration of the Foundations for Architecture Collection of the State Library of NSW, architectural drawings as such are not collected.
- 11.8 Pictures
- 11.8.1 The Caroline Simpson Library & Research Collection actively documents significant NSW houses and their interiors and gardens through photographic recording, sometimes supported by oral history recordings.
 - 11.8.2 Documentary historical photographs are also collected where they depict houses, interiors and gardens in NSW, with particular priority given to albums recording individual, named houses and gardens.
 - 11.8.3 Other pictorial materials – paintings, drawings, prints – are collected, primarily for their informational value, and for their importance as historical documents. They may directly exemplify some aspect of the history of house and garden design and interior furnishing in NSW, or elucidate this history by providing national or international comparative and contextual information. Pictorial material is also

collected if it relates to the research interests and exhibition themes of the Museum of Sydney, Hyde Park Barracks Museum, Justice & Police Museum and The Mint.

- 11.8.4 Records for all pictorial material, including digital images where possible are available through HHT's library catalogue and are catalogued on the National Bibliographic Database, as is other documentary material held in the collection.

12. The Mint

- 12.1 For the purposes of this policy 'The Mint' will refer to The Mint Offices and the Coining Factory as well as associated gardens/grounds
- 12.2 Acquisitions will emphasise the following periods of occupancy of The Mint:
 - 12.2.1 The Rum Hospital, 1810 –1843
 - 12.2.2 The Sydney Dispensary and Military Offices, 1843 –1854
 - 12.2.3 The Royal Mint, Sydney Branch, 1854–1927
- 12.3 Material relating to the use of The Mint as the following may be acquired:
 - 12.3.1 government offices and law courts, 1927–1997
 - 12.3.2 a museum, 1980–1997Such acquisitions may only be made after consideration of the following criteria:
 - 12.3.2.1 Where the object(s) could be used to enhance the integrity of the buildings/site or a component of them
 - 12.3.2.2 Where the preservation of an object is in doubt
 - 12.3.2.3 Where the known location of an object may be lost
 - 12.3.2.4 If adequate storage facilities are available.
- 12.4 Archaeological material from the various periods of building renovation and/or excavation at The Mint from 1979–1997 may be acquired. Archaeological material revealed during on-going works under the direction of the HHT will also be retained.
- 12.5 HHT should actively seek the whereabouts of objects once in The Mint and endeavour to keep track of their location with a view to potential research and/or acquisition.
- 12.6 Additional areas of acquisition are:
 - 12.6.1 Objects provenanced to Deputy Mint Masters and staff of The Royal Mint, especially personal documents and photographs, relevant to their period of residence/work.
 - 12.6.2 Provenanced objects which amplify the histories of individuals associated with the site.
 - 12.6.3 Original works of art including paintings, photographs, engravings, film footage, etc. that depict the buildings and their environment 1810–1997.
 - 12.6.4 Original ephemera illustrating The Mint and grounds pre–1997 from sources other than the HHT.
 - 12.6.5 Original signs from The Mint and its grounds (1810–1997).
 - 12.6.6 Objects provenanced to the outbuildings, gardens or grounds
- 12.7 Objects may be acquired which amplify themes contained in the site interpretation for educational use and comparative research. These should not be formally accessioned and should be distinguished from any other objects acquired for commercial or operational purposes.

13. Historic Houses Trust of New South Wales Corporate Collection

- 13.1 HHT has established a tradition of working with contemporary artists for the interpretation of its properties and collections. The HHT has also acquired portraits. Examples acquired for the HHT's collection now sit in their own category, as they do not fit the Acquisition Policies of the individual properties.
- 13.2 Acquisitions will be for the purpose of recording, documenting and interpreting the HHT's history, properties and collections, including people, places and events associated with the HHT and its history.

In certain circumstances, and with the Executive Director's approval, objects may be acquired for decorative purposes for the HHT's offices, cafes, restaurants and other 'non-museum' spaces.

Areas of acquisition include:

- Commissioned artworks;
- Selected winning artworks from the Meroogal Women's Art Prize;
- Examples from Artist in Residence programs;
- Artwork depicting HHT properties;

Artworks relevant to other historic sites in NSW.

C. Loans Policy

1. Loans: General

- 1.1 All objects entering or leaving the collection on a temporary basis will be accompanied by appropriate documentation stating the responsibilities of both the lender and the borrower concerning the use, care, maintenance and insurance of the objects. This document is referred to as a Loan Agreement.
- 1.2 An Outward Loan is the loan of a registered object(s), or object-like material from HHT's collection (or the property of the HHT) to another organisation for a purpose independent from the HHT usually for public exhibition and held at a site or venue not part of, or the responsibility of the HHT.
- 1.3 An Inward Loan is an object or collection of objects, or object-like material, not owned by HHT, borrowed from an institution or individual (who may be a HHT officer) and held on premises owned by or under the responsibility of HHT.
- 1.4 Objects may be borrowed for exhibition, display, photography, reproduction, research or, by special arrangement with the lender, for interactive use including use in education programs.
- 1.5 Short-term loans are generally less than 12 months and are usually associated with exhibitions, public programs or research.
- 1.6 Long-term loans are generally of 12 months length or more. They usually relate to the house museums and may include material from family members provenanced to the property, or furnishing loans from other Arts NSW organisations. Long term loans may be renewed at specified intervals.
- 1.7 HHT will not accept indefinite or permanent loans.

2. Inward Loans for exhibition and interpretation purposes

- 2.1 General Policy Statement
 - 2.1.1 HHT will respect the conditions set out in the Loan Agreement and will give to loaned materials the same care and treatment it provides for its own collection.
 - 2.1.2 The loan period will be specified and will coincide with the proposed use of the object. Loans for a period less than seven days should be discouraged.
 - 2.1.3 Loans no longer required for the purpose for which they were borrowed will be returned
 - 2.1.4 Material on loan will not be entered into the accessions register.
 - 2.1.5 Loan Agreements must be completed for all items borrowed.
 - 2.1.6 If borrowed objects are not accompanied by loan documentation, such objects are not covered by HHT's insurance policy and HHT cannot be held responsible for their safekeeping.
 - 2.1.7 Objects or collections of objects which fall within the scope of the acquisition policy as defined by HHT and owned by other Government or allied institutions may be accepted by the Trust on long term loan, when the owning institution no longer requires the property but is not legally entitled to transfer it to the HHT.

The terms of such loans will be negotiated individually, but HHT should obtain equivalent rights over the material as it has over its own material in terms of conservation, display, storage, photography and loan, subject to proper acknowledgment of the owning institution.

- 2.1.8 Loans may only be initiated by HHT staff members who have been granted delegated responsibility (Exhibition/Display Curator or Exhibitions Officer). No HHT staff member is authorised to accept a 'personal loan' on behalf of HHT.
 - 2.1.9 If loans require conservation, including pest treatment or mounting in conservation mats and frames for exhibition, the proposed method of treatment and costs are to be agreed with the lender and HHT in writing beforehand.
 - 2.1.10 HHT will not be responsible for the security of privately owned objects held or used by HHT staff members on HHT premises unless such material is required for HHT use and is borrowed as specified above.
 - 2.1.11 Overseas Loans will be subject to the same general procedures and conditions as for loans from Australia. However, HHT will be responsible for all additional costs associated with such a loan, including insurance, freight, customs clearance and if necessary, courier costs. Because of the additional costs involved such loans must be approved by the Executive Director or Assistant Director, Creative Services.
 - 2.1.12 Special exhibitions that are lent to HHT on a contract will be managed by the Head of Interpretation & Exhibitions and captured in HHT's contract register.
- 2.2 Policy Conditions
- 2.2.1 Unless the lender expressly elects to maintain their own insurance cover, HHT will cover each loan under the NSW Treasury Managed Fund.
The value stated on the Loan Agreement form is the lender's estimate.
For insurance purposes assessment will be based on current market value only.
 - 2.2.2 No object is to be accepted on loan as a convenience or favour to the lender, either individual or institutional.
 - 2.2.3 No loan is to be solicited or accepted without approval as outlined below.
 - 2.2.4 Loan agreements must be exchanged prior to arrival of the object on HHT premises.
 - 2.2.5 All exhibition related loans will be processed and managed by the Interpretation & Exhibition Team. .
 - 2.2.6 Loan forms must be issued for objects brought onto HHT premises for assessment when that assessment period exceeds one month.
 - 2.2.7 Where differences exist between loan conditions, those imposed by the lending institution take precedence over those of HHT unless otherwise agreed to.
 - 2.2.8 No loan will be accepted unless HHT can provide appropriate storage and/or display conditions for that object whilst it is on loan.
 - 2.2.9 The Assistant Director Creative Services must endorse associated costs (eg. transport, storage, customs) where they are expected to exceed \$5,000 and/or the period of the loan exceeds five years.
 - 2.2.10 An object on loan to HHT may not leave the premises of the HHT without the express written permission of the lender.
 - 2.2.11 Objects on loan to the HHT may only be photographed or reproduced by the HHT according to conditions set out in the loan agreement with the lender.
 - 2.2.12 Loans must be returned to the owner at the owner's request even if the agreed loan period has not expired.
 - 2.2.13 The label/catalogue acknowledgment for inward loans will be in the standard format adopted by HHT for the particular venue where the object(s) on loan is to be sited. The credit line will read as specified by the lender on the loan form, but no addresses or advertising material will be included on the label/catalogue (special sponsorship agreements notwithstanding).

3. Outward Loans

3.1 General Policy Statement

- 3.1.1 HHT will lend objects from its collection to public institutions and government departments for the purpose of exhibition, research or demonstration/performance, as long as the objects are available (ie, stable, in display condition, and not designated for immediate use).

In some cases the borrowing institution will be asked to fill out a Facility Report detailing evidence of adequate security, environmental conditions, insurance and professional standards of care. Where approved for a period greater than two years, the loan will be renewed annually. This may be waived at the Executive Director's discretion particularly where long-term loans have been negotiated. Loans for a period of less than seven days should be discouraged.

HHT will lend objects from its collections to private organisations for valuation, conservation/restoration, research and demonstration/performance providing the criteria in 2.2.1 are met. Such loans will be of the shortest duration possible.

Except in exceptional circumstances, HHT will not lend to individuals.

- 3.1.2 HHT does not lend objects from its collection to film, television or theatrical companies, nor to private museums, restaurants or other venues not conforming to 3.1.1.

3.2 Policy Conditions

- 3.2.1 No object shall be lent where HHT considers the safety of the object cannot be assured.
- 3.2.2 All application for loans must be approved by the Executive Director or Assistant Director, Creative Services.
- 3.2.3 The borrower will insure the objects for the amount specified on the Loan Agreement. This cover must be wall-to-wall and all risk. The borrower may be asked to provide evidence of the cover before the object(s) leave HHT's custody.
- 3.2.4 HHT does not charge loan fees however it is expected that all reasonable costs associated with the loan will be the responsibility of the borrower, including photography, conservation costs, insurance (if necessary), packing, transport, travel and subsistence for couriers(if required), display requirements/supports and security, unless otherwise agreed in writing.
- 3.2.5 Long-term loans will be subject to periodic inspections by HHT's Collections & Access Team staff.
- 3.2.6 The Collections & Access Team will process and manage all loans.
- 3.2.7 No object may be lent without the completion of an Outward Loan Agreement.
- 3.2.8 If the Head of Collections & Access is satisfied that handling procedures at the borrowing institution meet HHT's requirements, installation will be the responsibility of the borrower.
- 3.2.9 Objects on loan may not be cleaned, modified, conserved or in any way altered without the express written permission of the Loans Manager.
- 3.2.10 Members of the public may photograph loan objects on display for non-commercial private purposes, provided that display cases are not opened or objects handled, or that the conservation conditions accompanying the loan are not contravened.
- 3.2.11 All other requests to photograph objects belonging to HHT on loan must be referred to the Head of Collections & Access.

D. De-accession Policy

1. Definition

- 1.1 De-accessioning is the process of de-registering an object from HHT's permanent collection and amending the documentation relating to that object. An object that is de-accessioned is then disposed of.

- 1.2 De-accessioning is necessary to ensure that HHT's collections remain focused and that HHT can properly discharge its responsibility to care for and use the collections.
- 1.3 De-accessioning is an integral component of HHT's collection management strategy. As the various acquisition policies and conservation plans are reviewed and refined the collection can be developed and improved.

2. General Policy Statement

- 2.1 The same careful assessment must be applied to objects recommended for de-accessioning as for those proposed for accessioning.
- 2.2 Objects suggested for de-accessioning should be assessed on the basis of the criteria outlined at 3.0 and should meet at least two of them.
- 2.3 Final approval for every de-accession must be made by the Trust based on recommendations from the Executive Director.
- 2.4 HHT can only dispose of property given, donated, bequeathed or otherwise demised to HHT in accordance with Sections 11 and 12 of the *Historic Houses Act 1980*.
For all property acquired in the above circumstances, which is not subject to any condition, only the approval of the Minister is required.
For all property acquired in the above circumstances which is subject to a condition the approval of the Governor is required.
If the property is acquired by HHT in circumstances other than the above eg HHT purchases property from its own resources, then the Act is not applicable and HHT's disposal and de-accessioning policies at the time will apply.
- 2.5 A decision on how an object should be disposed of must be made after consideration of its provenance, age, condition, appropriateness to any present or likely future HHT property, value, and its appropriateness for loan to another institution.
- 2.6 In general HHT will endeavour to retain all objects that have an Australian provenance or direct Australian cultural significance. If not wanted in any existing property such object/s may be loaned or stored.

3. All de-accessioned objects must be disposed of or sold in an open and transparent process which may include a public auction. Criteria for deaccession:

- 3.1 Conditions and Storage
 - 3.1.1 Conservation Cost – The object requires extensive conservation to enable its useful retention and the cost (in labour and resources) is disproportionate to its significance.
 - 3.1.2 Storage – The object is so costly to store that the cost of its long- term retention is disproportionate to its significance.
- 3.2 Duplicates
 - 3.2.1 The object duplicates other objects in the collection. The duplicate is not required for changeover, education or other legitimate purpose and the duplicate is excess to requirements.
- 3.3 Significance to Collection
 - 3.3.1 Current Acquisition Policies – The object does not conform to any current HHT Acquisition Policy and would be more appropriate to belong to the collection of another regional, state or Commonwealth institution with a mandate to collect and preserve such material.
 - 3.3.2 Significance of Object
 - The object lacks provenance, historical significance or aesthetic qualities making its contribution to the collection minimal.
 - The object lacks any supporting documentation to enable its proper identification or to establish its relevance to the collection.
- 3.4 Disputed Ownership
The Ownership is the subject of substantiated request for return by the owner, the legality of which is recognised by the HHT.

4. Policy Conditions

- 4.1 In general, objects proposed for de-accessioning must meet two or more of the criteria specified above. There will be rare instances however, where the strength of a single criterion is sufficient to justify the de-accessioning of that object.
- 4.2 Disposal of Objects
When proposing an object for de-accessioning, recommendations should be made as to the method of disposal. The following actions should be considered:
- Return to the donor – Where feasible or required by prior agreement, the donor of a de-accessioned object should be consulted on its disposal.
 - Transfer to another Government cultural institution. This is the preferred option of Arts NSW, where appropriate.
 - Sale by public auction when appropriate.
 - Supervised destruction or recycling of materials or components where appropriate. This is particularly the case with soft furnishings.
- 4.3 In the event of a de-accessioned object being sold it should be through a public auction house to ensure it is made available to as wide an audience as possible.
- 4.4 Any money raised from the sale of de-accessioned material will be committed to HHT's Acquisitions Fund.

E. Valuation & Stocktaking Policy

1. Introduction

- 1.1 Regular valuation of the HHT's collections is necessary for several collection management functions. Current values are required for insurance purposes as well as to satisfy auditing and accrual accounting requirements.
- 1.2 Stocktaking of objects is also necessary for insurance and security purposes, condition checking and maintaining accurate location records. As such, stocktaking can be seen as part of security procedures, such as daily security checks of objects on display and controlling access to keys for storage areas.
- 1.3 While it is usually convenient to carry out valuation and stocktaking concurrently, as both processes require the sighting and identification of the object, the Collections Manager will decide each case on its merits.
- 1.4 Objects on long-term loan to the HHT will also be subject to stocktaking.
- 1.5 Loan objects will not be part of the regular valuation schedule, but will be valued as required.

2. Object Categorisation

- 2.1 To assist in calculating accurate valuations and to monitor the most significant objects in HHT's collection, each object will be assigned a category as follows:
- 2.1.1 Category A Highly significant objects.
Curators will identify objects based on the following criteria:
 - i. Provenance to a HHT property; and/or
 - ii. Major cultural or historical significance or NSW or Australia.
 - 2.1.2 Category B All objects valued at:
 - i. more than \$10,000
 - ii. between \$500 and \$10,000.
 - 2.1.3 Category C All objects valued at under \$500
 - 2.1.4 Category D Replicas reproductions, soft furnishings and props
- 2.2 The category will be entered on the computerised object record in Vernon. This will allow the creation of lists of the most significant objects in the collection as well as those with the highest monetary value.

3. Valuation

3.1 Valuation Standard

There are two basic valuation standards: current market value and insurance replacement value. Replacement value is higher to cover the additional costs involved in locating and buying an equivalent object.

The HHT standard is the insurance replacement valuation.

HHT's property insurance is under of the New South Wales Treasury Managed Fund (TMF) which provides cover for assets and liability exposure. TMF is administered by the NSW Self Insurance Corporate (SICorp).

3.2 General Policy Statement

3.2.1 The Valuations Committee comprises the Head of Collections & Access (Chair), curatorial representatives from the portfolios, and the Registrar, Documentation. The Valuations Committee will:

- Monitor the rolling five year valuation process
- Review any formal independent valuations that have taken place that year.
- Note the value of new acquisitions over the year.
- Determine any global revaluations that are appropriate given shifts in the market, or other circumstances.
- Determine any significant one-off valuation adjustments that should be made as a result of exceptional circumstances.
- Develop a set of processes and procedures to ensure that the above takes place with minimal effort.

3.2.2 All category A and B (i) objects will be formally valued by independent valuers every five years, to be organised by the Head of Collections & Access.

Exceptions include Rouse Hill estate, Rose Seidler House and Meroogal where all objects are provenanced to the property. In these three cases, formal valuation will be restricted to category A (ii) [of State or National significance] and B (i) objects [objects valued at over \$10,000].

3.2.3 Portfolio Curators are to assess category B (ii) and C objects at this time for any likely inclusions in the B (i) category.

Given the significant resources required to revalue the entire HHT collection once every five years, the above five yearly valuations will staggered over a five year period. (See 6.0 Schedule)

3.2.4 B (ii), and C, objects will only be physically sighted and revalued on a special projects basis, when resources allow. D category objects are not accessioned and are therefore not valued.

3.2.5 Otherwise, and only with the approval of the Valuations Committee (and on the advice of independent valuers) all B (ii) and C, objects will be revalued, unsighted, once every five years as a percentage of their previous value, for the purpose of providing property collection values for insurance, and for the Annual Report.

3.2.6 Independent valuers will be recognised experts and will usually be selected from the Cultural Gift Program listing of approved valuers.

However, at the point of acquisition, Curators will provide an estimated value for each new donation (and, unless otherwise specified by the Curator, the price will be used as the current value for each new purchase), so that all catalogued objects show a valuation for the purposes of collating the overall value of each property's collection for insurance purposes, and for the Annual Report.

Based on the time taken to order and process a replacement object, a minimum (insurance) value of \$45.00 is recommended.

3.2.7 The Head of Collections & Access will be responsible for scheduling and supervising the valuation program, and maintaining accurate records of valuations.

4. Stocktaking

4.1 Definition

Stocktaking is the process of accounting for each object in a specific location by matching each object to a list consisting of object number, object name and exact location. This is intended to check the accuracy of records as well as locating any missing objects, and to meet the requirements of the NSW Treasurer's Direction 464: Stocktaking of Stores Plant and Equipment.

4.2 General Policy Statement

All category A and B (i) objects, on display or in storage, will be subject to an annual stocktake.

All firearms and prohibited weapons, on display or in storage, will be subject to an annual stocktake.

Additional to the annual stocktake of A and B (i) objects above, B (ii) and C, objects will be subject to stocktaking by the Heritage and Collections & Access teams over a staggered five year period, and where appropriate will coincide with the valuation.

5. Missing Object Policy

When an object is thought to be missing, the Portfolio Curator or Manager of the Portfolio or collection will be requested to report to the Registrar, Documentation when the object was last sighted and to check whether it may have been relocated.

If it is suspected that it may have been misplaced, the Portfolio Curator and a member of the Heritage or Collections & Access teams will undertake a full stock take of the location that it was last sighted in. A stock take of the property may be required if there are other losses or thefts from the property.

If there is any suspicion that an object has been stolen or if corrupt conduct is suspected, it should be dealt with under I. Stolen Object Policy.

6. Schedule

As HHT does not have the resources (staff or budget) to stocktake and value all HHT's objects at every property once every five years, stocktaking and valuations will be staggered over a five-year period. NB. All A and B(i) objects are subject to an annual stocktake.

2014-2015 Justice & Police Museum, Rose Seidler House, Museum of Sydney

2015-2016 CSL&RC, Hyde Park Barracks Museum, The Mint, HHT collection

2016-2017 Vaucluse House, Elizabeth Bay House, Elizabeth Farm

2017-2018 Meroogal, Throsby Park

2018-2019 Rouse Hill House & Farm, Susannah Place Museum

F. Disaster Management Policy

1. Introduction

In line with State Government directions, HHT is involved in the process of risk management. This involves identifying and eliminating risks, thus reducing potential insurance claims as a result of accident, neglect, theft or loss. Counter-disaster planning is an integral part of risk management. It aims to ensure maximum protection for the staff, visitors, buildings and collections by encouraging disaster prevention measures and if these fail, by implementing disaster recovery procedures. Such recovery requires a high degree of disaster preparedness, with emergency supplies and trained staff available to deal with any threats to HHT and its collections.

In a life-threatening situation the safety of visitors and staff is paramount. In such a situation an evacuation will be ordered. Removal of items from the collections is part of a later phase, to be undertaken only when human safety is assured.

2. Systems & structures

HHT has implemented the following systems and structures in order to minimise risks to staff, visitors, the building and the collections. These systems and structures must be monitored by the Head of Collection Care.

2.1 Documentation

- Preventive and recovery procedures are documented in the Counter-Disaster Manual. Copies are distributed to each member of the Executive, each Head of Portfolio and Curator and Heritage and Collections & Access teams.
- Hierarchical emergency telephone trees have been documented for each property. These are updated by the Head of Collection Care every three months.
- All Portfolios induct building contractors according to the Contractor Induction: Site Conditions & Safety Procedure, a process that includes an information sheet setting out site specific issues, a checklist and requirement to ensure relevant permits are in place such as the hot work permit, which is required whenever cutting, welding or grinding is to be carried out.

2.2 Training and information dissemination

- A session on disaster awareness is incorporated into the staff induction program.
- Property inductions include location and contents of the disaster bins, emergency evacuation routes and object handling and movement.
- Emergency evacuations are trialled at each property at regular intervals. These are organised by the Building & Facilities Officers.
- Simulated disaster sessions are run as needed at each property to refresh familiarity with the emergency and recovery procedures.
- An annual disaster forum is held in December and all managers and curators are expected to attend.
- HHT is a member of the Sydney Curatorial and Custodial Institutions Disaster Preparedness Group.

2.3 Security

Physical access to collection storage areas is provided and monitored in accordance with the Physical Access & Security Policy.

Access and protection of Information systems and data is provided and managed in accordance with the ICT Digital Security Framework.

2.4 Equipment and supplies

Disaster bins have been supplied to each property. Supplies are checked and restocked annually by the Head of Collections Care.

Each property and vehicle is also equipped with First Aid Kits. Supplies are checked and restocked by Designated First Aid Officers.

3. Roles & responsibilities

3.1 Raising the alarm

All staff are responsible for notifying the Head of Portfolio or Building Facilities Officer of suspected or identified threats.

3.2 Building evacuation

Head of Portfolio or Building Facilities Officer is responsible for ordering evacuation of the building.

3.3 Reporting to the Executive Director

In the event of an incident or disaster that threatens life or property, the Executive Director must be informed immediately.

3.4 Emergency funding

The Assistant Director, Operations is responsible for approving funding for emergency supplies, equipment and services.

3.5 Insurance documentation

Heads of Portfolios are responsible for documenting details for insurance claims. Photographic documentation is to be undertaken of the cause of the disaster and damaged objects, preferably in situ.

3.6 Media

The Assistant Director, Commercial & Marketing Services is responsible for communicating with the media in the event of a disaster.

3.7 Removing objects for treatment

Curators are responsible for approving removal of items from display or storage areas.

3.8 Documenting removal of objects

All staff are responsible for recording details of objects removed and the new location on an Object Movement form, and forwarding a copy to the Collections & Access Team.

3.9 Protection

All staff members are responsible for taking immediate action to protect objects where they are, or, if still under threat, to remove them to safety.

3.10 Reducing the fire risk

Each Head of Portfolio is responsible for ensuring that the storage of their own supplies and stocks meets the Fire Regulations.

3.11 Reviewing the Counter-Disaster Plans

The Head of Collections Care is responsible for coordinating the review of the Counter-Disaster Plans.

G. Archaeological Collections Management Policy

1. Definitions

- Artefact: whole object or shard recovered from a specified archaeological context during excavation. An artefact is 'stratified'.
- Assemblage: group of artefacts, systematically recovered by the same archaeological excavation, each clearly provenanced to its archaeological context within that site. Consequently, site records (the context data), are included in the definition of a site assemblage.
- Archaeological collection: refers to the total collection of archaeology-related objects and artefacts, including excavated assemblages and surface and other finds.
- Context or Unit: a natural or man-made layer, pit or structural feature (e.g. foundation of a wall) that forms the stratigraphy of the site. Every artefact recovered from an archaeological site will have an associated context or unit.
- Qualified archaeologist: for the purposes of this Archaeological Collections Management Policy, a qualified archaeologist is one with a demonstrated track record cataloguing archaeological assemblages, conducting artefact - or assemblage-based research, or managing archaeological assemblages. Preference will be given to those with a minimum of five years' experience in these areas of expertise, and those with a background in historical, rather than Aboriginal or overseas, archaeology. (Note: a qualified archaeologist may be a HHT staff member.)
- Research potential: the likelihood of generating new information about the activities of life on site, or reaching a new understanding of material culture or archaeological processes, through the yet untried analyses conducted on archaeological assemblages. This is the primary significance of archaeological assemblages; it was the primary goal of excavation.
- Site records: documentation of the process of excavation, and preliminary artefact cataloguing, prepared by one or more qualified archaeologists. These records include but are not limited to: context data sheets, special finds sheets, stratigraphic ('Harris') matrices, day books, photographs, maps, plans, trench reports and artefact cataloguing reports.
- Stratified: see artefact
- Stratigraphy: the sequence of natural and man-made layers on an archaeological site. Each of these layers is identified as a unique context or unit immediately prior to its excavation.

- Surface and other finds: whole objects or sherds found at HHT properties, either on the surface as a result of soil erosion, or during minor subsurface disturbance that does not require archaeological supervision or systematic archaeological excavation (e.g. gardening). In the past these have been referred to generally as 'Archaeology' collections, but are now referred to as
- Surface Finds or Archaeological Finds: to distinguish them from stratified archaeological assemblages. In principle, surface and other finds are unstratified.
- Unstratified: an artefact that cannot be associated with an archaeological context. The loss of context data may occur on site during excavation when two or more contexts are collapsed through heavy rain or wall collapse or when context numbers are accidentally confused on site. It may occur after excavation when an artefact is dissociated with its context data label.

2. Scope

- 2.1 This Policy applies to complete archaeological assemblages systematically excavated from or directly associated with HHT properties, and their associated site records and artefact catalogue.
- 2.2 This Policy also applies to objects that have been recovered during minor maintenance works at HHT properties, but maintains a clear distinction between these surface and other finds and assemblages recovered during systematic excavation.
- 2.3 This Policy applies to assemblages or objects already in the care of HHT and those that may be excavated, or otherwise acquired, in the future.
- 2.4 This Policy excludes individual artefacts acquired by HHT that may have been recovered by archaeological excavation (terrestrial or underwater) but have no direct association with the occupation of HHT's properties.
- 2.5 This Policy was written for typical historical archaeological assemblages, not human remains or Aboriginal material culture. While the likelihood of acquiring these classes of artefacts from future excavations is low, general policies for the treatment of these classes of artefacts have been included.

3. The Collections & their significance

HHT's archaeological collection contains two of Australia's most significant assemblages, along with smaller collections representative of daily and working life in the heart of Sydney, its city and regional outskirts.

The collection comprises an estimated 250,000 artefacts and is derived from numerous archaeological excavations carried out at six of HHT's 12 properties from 1980 to 2003. Additional items, found on each property during regular maintenance, have been added to the collection in the years following excavation. All excavations were conducted to identify and/or salvage deposits when modifications were being made to the structures and landscape elements of properties now in HHT's care. In some cases, excavation was carried out prior to HHT's acquisition of these sites.

The archaeological collections held by HHT are significant not only because they once played a role in the daily activities of people who lived or worked at places now managed by HHT, but because they are a vital part of the physical and cultural landscapes of these places. While the artefacts are no longer in the ground, the processes of systematic archaeological excavation record the specific place of their recovery and thereby allow the virtual reconstruction of the landscape as it existed prior to excavation. The artefacts should be considered to be the equivalent of extant walls and foundations that still survive in situ on site, even though they are now portable items of material culture, packaged and carefully stored. It is this precise and common provenance that sets apart archaeological assemblages from other museum collections, assembled object by object, from diverse contexts, over time.

The significance of each collection is particular both to the significance of the site from which it was excavated, and the nature of the archaeological record on that site. It is independent of the significance of the extant structures surviving on it.

- 3.1 The Museum of Sydney archaeological collection comprises approximately 140,000 artefacts and is the result of three major phases of excavation on the site of First Government House (FGH) between 1983 and 1991.

The excavations revealed the foundations of FGH, constructed in 1788 and extended many times until its demolition in 1845, along with its outbuildings, drainage systems and the adjacent guardhouse built by 1812. The FGH archaeological site as a whole is exceptionally rare, on a national and international scale, bearing inimitable physical evidence of the first seat of government and the first permanent, brick dwelling built in the fledgling colony of NSW.

Approximately half of the archaeological collection was recovered from foundation trenches, drains and levelling fills that date to the FGH occupation. The collection yielded specific evidence of the location of Australia's first printery, and some evidence of an adequate diet consumed at FGH during the early 'starvation' years. While few deposits could be linked to specific Governors and their staff, changes in the accessibility of glass and ceramic tableware use by earlier and later colonial governors and their households can be observed over time. The FGH archaeological collections continue to provide a platform for ongoing research into the domestic arrangements and daily life of Government House and the colony prior to 1845.

The extensive, post – 1845 component of the collection is derived mainly from large-scale construction and rebuilding programs that followed the demolition of FGH. While they lack the potential to provide information on specific occupants or groups of occupants, many interesting and complete artefacts yield important information for material culture studies, and may contribute to a general understanding of Sydney life in the late nineteenth and early twentieth centuries.

- 3.2 The main archaeological collection of the Hyde Park Barracks Museum, comprising approximately 95,000 artefacts, was retrieved during the first major, public – funded excavation in Sydney in 1980 –1981.

The excavation explored the construction and occupation of the Francis Greenway designed convict barracks building (1817–1848), which was later used as an Immigration Depot (1848–1886), Government Asylum for Aged, Infirm & Destitute Women (1862–1886) and then numerous judicial courts and offices (1886–1979). Smaller excavations were carried out for minor maintenance projects from 1982 to 1997.

Approximately one third of the assemblage was recovered from construction trench fills, refuse pits and accumulated occupation deposits in and around the main dormitory building, along the northern range, and in the north guardhouse (the 'underground' collection). Artefacts recovered from these areas provided compelling clues to the use of rooms and buildings (such as the printing type in northern range), and the alterations made to accommodate these changes over time. While the capacity for large-scale assemblage analysis is limited by the small number of artefacts recovered from most areas, individual items in the collection present high research potential for material culture studies, and all artefacts from deposits pre – dating 1848 may be considered rare physical links with the daily operations of colonial government agencies in the early decades of the colony.

The remainder and majority of the assemblage was recovered from the floor cavities on levels 2 and 3 of the main dormitory building (the 'underfloor' collection). The dry conditions of the underfloor spaces preserved an array of perishable textile and paper artefacts rarely available to archaeologists. Though a small number of these deposits accumulated from the convict period (1819), the majority date from 1848 (when ceiling boards were installed), and thus the underfloor collection is predominately associated with the women's, and later, phases of occupation.

The size of the assemblage (over 65,000 artefacts), and the precise nature of the deposition, in contained, foot- wide joist spaces, presents an exceptional research collection with which to explore the lives of women residing in or passing through the Immigration Depot or Destitute Asylum. As such the Hyde Park Barracks Museum collection has local, national and international significance as a unique source of women's history.

The Hyde Park Barracks Museum collection also contains rare individual items of exceptional national significance, including the Board of Ordnance shirt and shoes, the braces with yellow woollen, 'Parramatta' cloth, bonnets and aprons made at the Barracks Asylum and medicine bottles bearing the names of some inmates at the Asylum.

- 3.3 The archaeological collection of The Mint, comprising more than 12,500 artefacts, was recovered during excavations on this site and the adjacent Hyde Park Barracks in 1980–1981 and later smaller excavations in 1994, 1995 and 2003. The excavations in the main

building, courtyard and workrooms were conducted to explore the physical remains of the Rum Hospital (1811–1843), the Sydney Dispensary & Military Offices (1843–1854) and The Royal Mint (1854–1927).

While some artefacts from the hospital phases of excavation were recovered, many of these are from disturbed archaeological contexts. The collection's greatest research potential relates to the numerous industrial artefacts that provide tangible evidence of the specific manufacturing processes carried out at The Mint.

- 3.4 The small archaeological collection at Elizabeth Farm, estimated to contain more than 5,000 artefacts, has been recovered from small excavations undertaken during numerous restoration and maintenance episodes at this historic house between 1972 and 1991. The size and research potential of the collection has been considerably limited by disturbance prior to excavation. Nonetheless, some artefacts have been attributed to early phases of occupation of the site. These provide a tangible link with the past and contribute to the understanding of this early homestead built by the Macarthur family.
- 3.5 The small archaeological collection at Susannah Place (estimated to contain approximately 2,000 items) includes artefacts recovered from test excavations in three of the four terraces, conducted in 1992, along with 1,400 objects found in the underfloor spaces and yards of the terraces in the years since. The collection as a whole provides a small sample of a typical domestic site and has the potential to contribute to our understanding of domestic occupation in a working-class neighbourhood in the late nineteenth and early twentieth century.
- 3.6 The small archaeological collection at Vaucluse House has been recovered from limited excavations undertaken during numerous restoration and maintenance episodes at this historic house between 1983 and 1994.

The excavated artefacts were recovered mostly from construction-related deposits dating from the first half of the nineteenth century through to the twentieth century. Some of these artefacts may be associated with the Wentworth family's occupation of the site.
- 3.7 While there have been some small archaeological excavations in numerous outbuildings at Rouse Hill estate, few archaeological assemblages were recovered. Many more artefacts have been recovered across the grounds and buildings during maintenance works. They have the potential to enhance the understanding of the material culture of Rouse–Terry family and their long occupation of Rouse Hill estate.²
- 3.8 The archaeological collection at Meroogal was recovered from excavations in the under floor cavities of the lumber-room in the servants' wing in 1987. From here, a dusty, artefact-rich deposit was bulk excavated for future cataloguing and research. It has the potential to further our understanding of general domestic occupation at Meroogal in the late nineteenth and twentieth centuries, and perhaps particularly the lives of the servants.
- 3.9 No archaeological assemblages have been excavated from the Justice and Police Museum.
- 3.10 No archaeological assemblages have been excavated from Elizabeth Bay House.
- 3.11 No archaeological assemblages have been excavated from Rose Seidler House.

4. General policy for archaeological collections

- 4.1 HHT is committed to preserving the archaeological collections in its care.
- 4.2 HHT recognises that its archaeological collections are valuable both as holistic collections, and assemblies of individual items of varying intrinsic value.
- 4.3 HHT recognises the importance of context with regard to archaeological collections, and considers the site records, artefact catalogue and other associated documentation to be an integral part of the collection, to be retained in perpetuity.
- 4.4 HHT recognises that the primary significance of archaeological collections lies in its scientific value and research potential.
- 4.5 HHT supports archaeological research and interpreting new findings to the public through its museums.

² The size of the Rouse Hill archaeological collection is not known.

- 4.6 HHT will promote an awareness of the unique nature and research significance of archaeological collections to the general public.
- 4.7 When making decisions about the management of archaeological collections, the HHT will consider the research potential of each collection, and its future as well as present-day research needs.
- 4.8 Except where specified, the management of archaeological collections will conform to the clauses contained in Parts D through G and Part I of this document and their associated Procedures.

5. Use of the archaeological collections

- 5.1 The archaeological collections of HHT have three primary uses:
 - 5.1.1 Research
 - 5.1.2 Exhibition display
 - 5.1.3 Educational and public programs
- 5.2 HHT will provide access to the archaeological collections and associated documentation in its care, and encourages genuine researchers from all disciplines to make use of these collections.
- 5.3 HHT will ensure that no artefact will be damaged or data lost while an artefact is on display within the HHT, on loan to external museums, accessed for legitimate research or used in education programs.
- 5.4 Where legitimate research will require damage to individual artefacts or the structure of assemblages, the HHT will ensure that a sample specimen is retained for future use and that the research is of sufficient significance or practical application to warrant that damage.
- 5.5 HHT will use, and permit use, of its archaeological collections in accordance with the Archaeological Collections Management Procedures for the Use of the Collections.

6. Responsible workers and expert knowledge

- 6.1 Each Portfolio Curator is responsible for maintaining the archaeological collection in their care, in accordance with this Policy and its associated procedures.
- 6.2 The Collections & Access Team is responsible for overseeing and maintaining this Policy and its associated procedures, in consultation with curatorial staff.
- 6.3 A qualified archaeologist or, in certain instances a panel of qualified archaeologists, will be consulted with regard to any decision that may have an irreversible impact on an artefact, assemblage or its associated data.

7. Storage and Labelling

- 7.1 HHT will store and label its archaeological collections and associated documents:
 - in perpetuity, with consideration of the unique importance of archaeological context and the research potential of each collection
 - to facilitate efficient access for research, exhibitions, educational programs, or other approved uses as required
 - in accordance with Archaeological Collections Management Procedures for Storage and Labelling.

8. Material Conservation

- 8.1 HHT will carry out necessary conservation treatment of artefacts in archaeological collections with consideration of:
 - the rarity and fragility of artefacts
 - the importance of residues
 - the significance of context.
- 8.2 All treatments will be carried out in accordance with the Archaeological Collections Management Procedures for Material Conservation.

9. Ethics

- 9.1 No human remains are currently held in the HHT's archaeological collections. Should these be recovered during future excavation, the HHT will:
 - 9.1.1 at all times ensure that they are treated with respect
 - 9.1.2 hold them in a secure facility
 - 9.1.3 consider the interests of direct descendents and related community groups, alongside the benefits of physical anthropological research
 - 9.1.4 consider options for re-interment, after necessary anthropological analysis, where appropriate
- 9.2 No artefacts that were made or used by Aboriginal people prior to or following European invasion have been unequivocally identified in HHT's archaeological collection.
Should these be recovered during future collection research and analysis or excavation, HHT will consider the interests of Aboriginal persons or representative organisations who may value the items for reasons other than archaeological research.
- 9.3 HHT will respect the Intellectual Property rights of researchers using the archaeological collections, and if necessary, will seek a written agreement to clarify the terms of the researcher's rights.

10. Information Management

- 10.1 HHT recognises that the management of archaeological collections requires the management of information in various formats (e.g. digital, printed and hand-written), along with the management of physical objects.
- 10.2 HHT recognises that an artefact catalogue is never 'complete'. It will be improved and enhanced by ongoing research and requires special maintenance.
- 10.3 HHT will centralise the management of digital data pertaining to archaeological collections.
- 10.4 HHT will comply with the Archaeological Collections Management Procedures for Information Management.

11. Deaccessioning

- 11.1 HHT recognises that excavated assemblages are not acquired item by item, but as a holistic assemblage, and through the process of recording stratigraphy, continue to be an integral part of the physical landscape of sites in HHT's care. They were excavated as a permanent record, to be retained in perpetuity. Their primary cultural significance is their research potential, and the research potential of the whole collection may be seriously affected by the removal or destruction of a small component of the assemblage. HHT recognises that archaeological research is the subject of ongoing advance and improvement and that the best artefact identification and analysis methods of today may not meet the needs of critical future research.
- 11.2 No excavated assemblage will be deaccessioned as a whole while the property from which it was excavated remains in HHT's portfolio, unless exceptional circumstances prevail.
- 11.3 No group of artefacts from an excavated assemblage will be deaccessioned on the basis of perceived limitations regarding the potential for future analysis of that artefact class.
- 11.4 HHT may consider the deaccession of unstratified artefacts from excavated assemblages, or any collection of Surface or Other Finds, subject to the Archaeological Collections Management Procedures for Deaccessioning.

12. Future Archaeological Collections

- 12.1 Additional archaeological assemblages may be acquired by HHT through the following processes:
 - 12.1.1 archaeological excavation on HHT properties;
 - 12.1.2 addition of another property into the HHT's portfolio; or

- 12.1.3 purchase or receipt of assemblages recovered from adjacent properties, but directly associated with the use of buildings now managed by HHT.
- 12.2 Acquisition through excavation, purchase or donation must comply with the Archaeological Collections Management Procedures for Future Archaeological Collections.
- 12.3 Surface and other finds may be acquired in accordance with section 13 of this policy and the Archaeological Collections Management Procedures for Surface and Other Finds.

13. Surface And Other Finds

- 13.1 Objects discovered on an HHT property during the course of general maintenance or other non-archaeologically supervised activities, will be left where found unless:
 - the item has already been dislodged from its physical context
 - the item is found on the surface in an area known to contain intact deposits
 - the item is in danger of being destroyed.
- 13.2 Supervised excavation will be conducted wherever there is a reasonable expectation that significant subsurface deposits remain intact. An archaeologist should be consulted whenever the integrity of the deposits is uncertain.
- 13.3 Found objects will only be retained as part of that property's archaeological collection if:
 - the item was collected from undisturbed deposits of the property and/or there is a reasonable expectation that the item was used during the primary occupation of the property; and
 - no other, or no better, examples of its type exist in the collection.
- 13.4 If there is no reasonable expectation that the item was used during the primary occupation of the property, but it is sufficiently intact to warrant retention; it will be accessioned as part of the property's main collection, in accordance with sections A and B of this Policy.
- 13.5 Once part of the property's Archaeology Collection, the surface and other finds will be subject to the same policies for use, cataloguing, storage and labelling as set out for excavated artefacts in this policy.

H. Pest Management Policy

1. Introduction

Pest control is a key component of asset management, aiming to prevent damage to buildings and collections. In line with international and national trends, HHT has implemented Integrated Pest Management (IPM) across its property portfolio. IPM focuses on preventive, pro-active, and preferably non-chemical means of control. Physical and cultural controls are implemented and monitored; chemicals are used as a last resort, when other defences fail.

At the same time it is recognised that the value placed on the authenticity and integrity of the building fabric in many of HHT's properties places limitations on the physical controls (such as the installation of air-conditioning systems or fly-screens) that can be implemented.

This policy should be read in conjunction with HHT's broader pest management policy, "Pesticide Use for HHT Buildings and Grounds".

2. Detection of Pests

Pest activity is monitored by inspecting baits placed by the Pest Contractor at each property. Inspections are undertaken every two months at each property.

All incoming material, whether acquisition or loan, must be inspected prior to entering any property. Where insect activity is suspected, it should be reported to the Collocations Management Unit immediately and a staff member will inspect and recommend action.

3. Physical Control

Wherever possible, barriers will be used to prevent insect movement. Examples include the use of pest-proof bags or containers to isolate objects and sealing cracks, holes and crevices, which facilitate and harbour insect entry and activity.

4. Cultural Control

HHT staff implement cultural controls by engaging in activities that prevent pest activity, such as the following:

- Maintaining cool temperatures, low relative humidity and good air circulation in air-conditioned areas
- Removing rubbish from grounds regularly
- Rigorous house-keeping
- Reducing or removing sources of moisture and food, such as repairing leaking taps and pipes and cleaning up food spills
- Positioning external lights so that they do not attract insects into the building.

5. Treatments

Treatments can be divided into two main areas: building treatment and treatment of infested objects.

- Building treatments – These are only to be applied by the Pest Contractor and only using approved chemicals that are specified in the Pest Contract.
- Treatment of infested objects –HHT endorses the use of non- chemical treatments such as freezing and oxygen deprivation. The choice of treatment depends on the size of the object and whether it can withstand freezing. Objects that should not be frozen include polychrome sculpture, gilded frames, paintings, wax-based structures, wet photographic material, musical instruments, marquetry and other decorative pieces of furniture that have a high percentage of glue.

I. Stolen Object Policy

1. Reporting

- 1.1 If an SLM worker suspects an object has been stolen, it must be reported immediately to the Head of Collections & Access. As soon as practicable after being notified of a theft, the Head of Collections & Access must notify the Executive Director or one of the Assistant Directors [the Executive].
- 1.2 If there are reasonable grounds to suspect that a criminal offence has occurred and where the object is of significant value, ie an A or B(i) category object, the Executive will notify the Chair of HHT, the Minister for Heritage, Office of Environment and Heritage, and the police. The reporting of the theft of a B(ii) category object is at the discretion of the Executive Director.
- 1.3 Where the Executive Director has a reasonable suspicion that corrupt conduct has, or may occur (ie that an object has been stolen by a staff member), the Executive Director must report the matter to the Independent Commission Against Corruption under section 11 of the ICAC Act.
- 1.4 If the object is on loan from another institution, the lender will also be notified.
- 1.5 Where an SLM worker becomes aware of corrupt conduct but has concerns reporting the matter may result in detrimental treatment by colleagues or managers, they are encouraged to report the matter through the *Public Interest Disclosures Act 1994*. The SLM Procedure: How to report Serious Wrongdoing (to be drafted) provides further information on this process.

2. Investigative principles and role of the investigator

The Executive will conduct an initial risk assessment to identify any ongoing risks to the collection and to determine if an SLM investigation is necessary. If the matter involves corrupt conduct, advice should be sought from ICAC before proceeding.

If an investigation is established, the Executive Director will appoint an appropriate SLM employee, or an external investigator, to establish what happened and make recommendations to the Executive Director about actions to be taken.

The internal investigations will be conducted in accordance with the *Government Sector Employment Act 2013* any Rules or Regulations made under the Act, the ICAC Act and related guidance materials. The investigation must adhere to principles of confidentiality, be objective and impartial and ensure any person being investigated has a chance to have a say in the matter before findings are made. The investigation is not the same as a misconduct proceeding, however the outcome of an investigation may lead to misconduct proceedings.