

Introduction and Governance of the Natural History Museum Collections.

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1. Museum Mission & Vision

Our vision is to advance our knowledge of the natural world, inspiring better care of our planet.

Our mission is to maintain and develop our collections, and use them to promote the discovery, understanding, responsible use and enjoyment of the natural world.

2. The Collections Policy Framework

This document is part of the Museum's Collections Policy framework, which supports the delivery of the Museum's Mission and Vision. The framework consists of:

- Introduction and Governance of the Natural History Museum Collections
- Natural History Museum Collections Development Policy, 2019
- Natural History Museum Collections Access and Information Policy, 2019
- Natural History Museum Collections Care Policy, 2019
- Natural History Museum Human Remains Policy, 2019

The Museum operates under the provisions of a number of Acts of Parliament and with appropriate regard to a number of standards that are applicable to collections management. These standards may come from international agreements or from foreign laws and practice as well as internationally agreed good practice. A list of applicable legislation and standards can be found in Appendix 1.

The Collections Policy Framework is part of the broader policy and strategic environment within the Museum. A list of policies and strategies which are also important to the management of the collections can be found in Appendix 2.

The Collections Policy Framework applies to all Museum employees, contractors, scientific associates, affiliated students and volunteers. Sections of the policy framework will also apply to visitors and external users of the collections.

3. Scope

The Museum holds different types of collection covered by the scope of the Collections Policy Framework. These collections are

Scientific Collections.

The collections which are held and cared for by the Library and Archive, Life Science and Earth Science departments of the Museum's Science Group are the Museum's primary collections and are used for research, display and outreach. The Scientific Collections comprise items that have been acquired by the Museum. Normally this will mean that the Museum has full legal title to the item. However recent international conventions such as Convention on Biological Diversity (CBD) and the supplementary Nagoya Protocol give States sovereign rights over biodiversity within their borders; and authors or artists may retain the intellectual property rights in the items for their lifetime or another specified period. This means that items acquired by the Museum may have conditions associated with their acquisition which have implications for obtaining full

legal title. Acquired items may subsequently be registered into the Museum Collection. This is an assumption of permanent custody, accompanied by the recording of information and assigning of a unique reference code (this may be a Register number or in some areas a specimen bar-code, e.g. botanical collections). Within the Museum the term registration is still known by such terms as 'Accession', 'Accessioning' or 'Cataloguing'. For the purposes of the British Museum Act (1963) the Museum Collection is defined as those items that are held by any of the Science Departments and have been registered. The Museum will manage items collected post-CBD in line with the terms of the original collection and acquisition.

In addition to displaying items from the scientific collection Engagement Group may also acquire items for display. The same acquisition procedures are undertaken and the items are owned by the Museum. On occasion the items may be added to the Scientific Collection, this is considered in a case by case basis, otherwise the items are considered part of the Engagement collection and are not covered by the British Museum Act 1963. These items are managed in line with the Museum's Collections Policy Framework and may be disposed of at the close of an exhibition or, under certain circumstances, become part of the Learning Collection.

Museum Archives

The Museum Archives hold the records of the Natural History Museum, documenting the work of the Museum. The Museum retains its archives on site as it has been designated as a Place of Deposit by The National Archives. The collection comprises manuscript, typed and digital material, along with photographs, architectural plans and oral history recordings. The earliest material dates from 1739, but most of the collection dates from the late nineteenth century onwards. The Museum Archives relate to the work of every department in the Museum. They complement the Earth, Life and Library collections providing a unique source of information on both the history of the Museum and the history of natural history and collecting for Museum staff and international researchers in science and the humanities.

Natural History Museum records are classed as Public Records and as such are subject to the Public Records Act (1958 and later amendments) and the Freedom of Information Act (2000). They are open to the public after 20 years, unless there is a specific case for extended closure or they have been previously released in response to a Freedom of Information request.

Modern Records

Modern Records are paper and digital records which record the Museum's current administrative, scientific and public engagement work. Modern records are managed according to Departmental Information Asset Registers which list the types of information created, how long the information should be maintained, and how the information should be managed. Modern records may be either temporary records (those waiting for their destruction date as stipulated in the retention schedule) or permanent (those whose retention schedule indicates permanent retention or those selected for permanent retention as a result of circumstances altering the destruction date) which will be transferred to the Museum Archives. Museum's modern records are classed as Public Records and as such are subject to the Public Records Act (1958 and later amendments) and the Freedom of Information Act (2000). Modern Records are managed by the Information Management Team which is part of Corporate Services.

Decisions on what material is transferred to Archives are made by the Information Management Team and Museum Archivist.

Trustees Artwork Collection

The Trustees Artwork Collection is managed by Science Group and comprises portraits and sculpture related to the Museum and its activities. Whilst owned by the Museum the collection is not considered part of the main Scientific Art collection and is not covered by the British Museum Act 1963. It is managed in line with the Museum's Collections Policy Framework.

Learning Collection

The Learning Collection is managed by the Exhibitions, Learning and Outreach team in Engagement Group. Learning Collections must follow the acquisition and due diligence standards set out in the Collections Development Policy. However, as they are acquired for the purposes of handling and public display in the knowledge that they will deteriorate and be disposed of they are not covered by the British Museum Act 1963.

All of these collections (Scientific, Archives, Modern Records, Trustees Artwork and Learning) are stored and displayed across the Museum's sites; the security and storage (including collections environment) are covered by the Collections Policy Framework. Also in scope of the Collections Policy Framework is the care and use of collections or collections items belonging to other organisations and individuals which enter the Museum for the purposes of identification, research and display.

4. Introduction to the Natural History Museum Collections Policies

The Museum's collection management policies and procedures were reviewed and first brought together in a single document in 1998. This is the fifth revision, which builds on integration of the policies across the Museum and includes legislation and international agreements implemented since the last review in 2014 as well as recently published national standards and changes to the Museum Accreditation Standard.

These policies are to be used by anyone (within the Museum or externally) who manages, works with or uses the Museum's collections or who brings items into the Museum for the purposes of research or display. They are supported by documented museum-wide collection management procedures and the Museum's Authority Framework.

All collection management policies are approved by the Trustees and are reviewed every 5 years. The current policies were approved on 19 February 2019 and are next due for review in 2024.

The Museum is accredited under the Arts Council England Accreditation Scheme and the National Archives Accreditation Scheme. As such, the Arts Council England and National Archives are notified of any changes to collection management policies, and the implications of any such changes for the future of the existing collections.

5. Legal Framework

The British Museum Act 1963 provided for the separation of the Natural History Museum from the British Museum. Under the British Museum Act the Trustees of the Natural History Museum have a statutory responsibility for the safekeeping and care of the collection for current and future generations, and for making the collection available for public display and research (British Museum Act 1963, Chapter 24 Section 8).

The Museums and Galleries Act 1992 modified the Trustees' powers of disposal by providing for the exchange of items between a number of national museums and galleries. The Human Tissue Act 2004 (Section 47) modified the powers of the Trustees to facilitate the return of Human Remains less than 1000 years old. The Holocaust Right to Return Act 2009 gave the Trustees powers to restitute items associated with the Holocaust.

The National Heritage Act 1980 provided for the Government Indemnity Scheme under which the Museum is able to loan items to non-national museums and galleries and borrow items itself from private individuals and non-national museums and galleries without private insurance as long as guidelines for the scheme have been met.

The Public Records Act 1958 (amended 1967) and the Constitutional Reform and Governance Act 2012 govern the management of the Museum's Archives. The Museum is appointed as a Place of Deposit by The National Archives

A list of the legislation guiding Museum policy and the standards used to inform decisions about policy are included in Appendix 1.

6. Ethical Framework

The Museum's collections activities are conducted in compliance with the Museum's Ethics Policy 2012 (currently under review) and the activities of staff by the Museum's Code of Conduct (2016).

The Museum's collections are developed and cared for to provide an empirical and accurate scientific view of the world, enabling the Museum to deliver its mission. Since its founding in 1753 the Museum has operated within national and international spheres of interest regarding the development of its collections. Historically items have entered the Museum's collection in wide-ranging ways and the ethical standards applied have varied throughout the centuries. The Museum continues to collect and preserve items at the present day. The Museum is committed to the values of rigour, integrity, trust, openness and verification in all aspects of its science and requires both good practice and conformity with all legal, professional and ethical obligations by staff, students, associates and volunteers. Our staff are expected to be aware of, and be guided by, generally accepted ethics and professional standards applicable in their fields as published by reputable professional membership societies and organisations such as Museums Association Code of Ethics, ICON Code of Ethics and Archives and Records Association UK and Ireland Code of Ethics. We expect visitors and collaborators to follow similar practice.

The Museum has specific rules where there may be difficulties in any overlap between a member of staff's private and professional interests, particularly where commercial interests are involved. In terms of collections the Museum Handbook (Section C Code of

Conduct: Private collections, property and advisory work. 2016) has a number of rules to prevent any conflict between the interests of the Museum and an individual's private interests.

- If you have a private collection of material of the same nature as that to which you work with at the Museum, you should discuss this with your head of department.
- You are not allowed to be a commercial dealer in natural history specimens.
- You should not make commercial valuations of specimens for the general public.
- If you propose to give advice on a private basis on any matter relating to your work with the Museum or that of your colleagues, you must have the consent of your head of department. If you suspect your advice will lead to litigation, you must inform your head of department immediately.

7. Collections Governance Roles: Accountability and Responsibility

The holding of the collections imposes legal and ethical obligations on the Museum to provide for the proper management, preservation, and use of the collections and their associated information. Collections Governance defines the roles of the Trustees, Directors and other staff regarding their duty to the care of the collection; it delineates duties and responsibilities for critical issues so as to manage risks to the collections from their use.

Responsibility for the collections is delegated to the Director and he is accountable to the Trustees for their care (British Museum Act 1963, Chapter 24 Section 6 and Corporate Governance of the Natural History Museum 2013). The Director reports to the Board on any collections activity as defined within the Museum's Collection Policies¹.

The responsibility for day-to-day management of the collections is delegated to the Director of Science.

The roles detailed below (and shown in Appendix 3) have particular responsibilities for the management and use of the collections as well accountability that legal and ethical obligations are met. The Registrar will maintain a list of roles and equivalents in the event of the Museum restructuring or reassigning duties of the roles listed below. All of the Museum's staff are expected to work collaboratively to support collections stewardship ensuring a good standard of care, compliance with policy, appropriate and efficient use of resources and alignment with agreed priorities. The actions of employees, contractors, Associates, affiliated students and volunteers should not increase risk to the collections in particular from pests or through exposure to poor environmental conditions.

The Trustees

Have a statutory accountability for:

- the general management and control of the Museum under the British Museum Act 1963;

¹ Governance Principles Document agreed by Trustees on March 2013 (currently under review).

- compliance with the Public Records Act (1958, amended 1967).

They are responsible for:

- directly authorising any purchase, disposal or loan that requires or risks Museum resources worth £5,000,000 or more (cumulative total as based upon purchase price, insurance value, and/or cost of care) or which presents a significant reputational or scientific risk to the Museum;
- consideration of requests for the repatriation of human remains as provided for in the Human Tissue Act, 2004;
- delegation of responsibility for the collections to the Director.

The Director

Is accountable to the Trustees for:

- the care and use of the collections; reporting on any activity defined in the Collections Management Policies including
 - approval of the purchase of items to be added to the collections;
 - approval of the loan (whether for public exhibition or research, in the United Kingdom or elsewhere), sale, exchange, giving away, disposal or destruction of any item comprised in the collections, subject to restrictions in the British Museum Act, 1963;
- compliance with the Public Records Act (1958, amended 1967);
- Code of Practice on the Management of Records as issued by The Lord Chancellor under section 46 of the FOI Act and Code of Practice on the Discharge of Public Authorities' Functions as issued by The Lord Chancellor under Part III of the FOI Act under section 45 (November 2002).

Is responsible:

- for managing the Museum within the framework of the strategies and plans agreed with the Trustees including the allocation of resources to support the care and use of the collections;
- for the establishment of collections management policies and procedures by delegating authority and assigning responsibility to the Director of Science;
- delegating authority for the management and compliance with Public Records Act to the Museum Archivist;
- for directly authorising any exit, purchase, disposal, loan or destructive or invasive sampling request that requires or risks Museum resources worth £1,000,000 or more and less than £5,000,000 (cumulative value as based upon purchase price, insurance value, and/or cost of care);
- for directly authorising due diligence reports on incoming exhibition items requiring Immunity from Seizure under Part 6 of the Tribunals, Courts and Enforcement Act 2007 and Section 3 of Statutory Instrument 2008 No 1159 - The Protection of Cultural Objects on Loan (Publication and Provision of Information) Regulations 2008;
- as the nominated Licence Holder for the Museum under the Human Tissue Act 2004, the role of Licence Holder means the Director has the right to apply to vary the Museum's Human Tissue Authority Licence.

The Director of Science

Is accountable for:

- the strategic development of the collections (excluding the Learning Collection) in line with the Museum Strategy and Science and Engagement Strategies. The

- proper management, care, and use of the collections in compliance with the applicable legislation defined in Appendix 1A of this document;
- the enforcement of the Collections Policies in all areas of the Museum's business. Working in association with the Directors of Engagement and Corporate Services to ensure appropriate conditions are maintained for the care of items in store and on display;
 - the integrity and accuracy of the associated collections information;
 - the reporting of the value of the Museum's contingent liabilities under the National Heritage Act 1980 Section 16(1) and Undertakings to Her Majesty to DCMS (this accountability is shared with the Director of Finance and Corporate Services).

Is responsible for:

- the development and implementation of collections policies and procedures including defining collections governance, designating curatorial authority and assigning collections responsibility to the appropriate staff by assigning authority and responsibility to the Registrar;
- specifying the requirements of suitable electronic systems to manage collections data held by the museum; this responsibility is delegated to the Head of Collections Management Systems and the Head of Library and Archives; the specification is managed within the budgetary constraints placed on the Director of Science by Trustees and/or Director;
- approval of external agreements for partnerships and collaborations in the form of Memoranda of Understanding;
- directly authorising any exit, purchase, disposal, loan or destructive or invasive sampling request that requires or risks Museum resources worth £100,000 or more and less than £1,000,000 (as based upon purchase price, insurance value, and/or cost of care);
- directly authorising due diligence reports on incoming exhibition items that do not require Immunity from Seizure;
- assigning responsibility for reporting Museum's contingent liabilities under the National Heritage Act 1980 Section 16(1) and Undertakings to Her Majesty to DCMS and the preparation of the collections asset note for the Museum accounts to the Registrar.

The Director of Finance and Corporate Services

Is accountable for:

- the management of information risk, ensuring that identified information security threats are followed up and incidents managed; the Director of Finance and Corporate Services is the Senior Information Risk Owner for the Museum;
- the care and maintenance of the buildings housing the collections for the purposes of storage and display including appropriate building controls to provide for suitable environmental conditions and the exclusion of pests in association with the Directors of Science and Engagement;
- compliance with DCMS requirements on the reporting of the value of the Museum's Contingent Liabilities under the National Heritage Act 1980 Section 16(1) and Undertakings to Her Majesty (this accountability is shared with the Director of Science);
- compliance with financial reporting standards with regards to the Collections.

Is responsible for:

- Information Risk Management Policy and procedures; responsibility for these and development of systems to manage and safeguard collections information are delegated to the Chief Information Officer and Information Manager who ensure appropriate decision making with regards to the collections information is undertaken with and by the Director of Science;
- assigning responsibility for the day-to-day care and maintenance of the buildings housing the collections for the purposes of storage and display to the Head of Estates and ensuring appropriate decision making with regards to the collections storage and display areas is undertaken with and by the Director of Science. The Head of Estates is also responsible for appropriate standards of Facilities Management and collaborating with relevant staff across Science Group to minimise risk to the collection;
- assigning responsibility to Head of Master Planning & Projects to ensure that Museum projects minimise risk to the collections and comply with these policies.
- assigning responsibility for reporting Museum's contingent liabilities under the National Heritage Act 1980 Section 16(1) and Undertakings to Her Majesty to DCMS and the preparation of the collections asset note for the Museum accounts to the Registrar;
- the Director of Finance delegates responsibility for the approval of all applications to the UK Government Indemnity Scheme (GIS) under Section 16 of the National Heritage Act 1980 to the Registrar.

The Director of Engagement

Is accountable for:

- ensuring that risks to the items on display both in the Museum's galleries and on Touring Exhibition loan are minimized through the provision of display environment, cases and setworks that are appropriate to the conservation, care and security of the collection items on display, this is carried out in association with the Directors of Science and Corporate Services; the Director of Engagement is also accountable for providing access to items on display except where the gallery is also designated a collections storage area;
- ensuring that all incoming items destined for exhibition comply with the Collections Policy framework and that appropriate steps are taken to enable the Museum to fulfil its obligations to items loaned under the provisions of the Government Indemnity Scheme;
- the strategic development of the Learning Collection in line with the Museum Strategy and in compliance with these policies.
- the Director of Engagement is accountable for ensuring that relevant Engagement staff are aware of the systems that Science Group use and facilitate and enable Science Group staff to fulfil their obligations under the Collections Policy Framework.

Is responsible:

- for assigning responsibility for the maintenance of the collections environment, display cases, set works access to items on display to the Head of Exhibitions, Learning & Outreach who is supported in this by relevant members of the Science and Corporate Services teams;
- for ensuring that the Registrar is notified of any works within the galleries which impact items on display;
- for assigning responsibility for the identification of conservation and care requirements for displayed items to the Head of Conservation and for ensuring

- appropriate decision making with regards to the collections on display is undertaken with and by the Director of Science;
- for assigning responsibility for compliance with the Collections Policy Framework and Government Indemnity Scheme to the Registrar.

The Registrar

Is accountable:

- for defining collections governance and the establishment and enforcement of collections policies and procedures covering all items entering and leaving the Museum for the purposes of acquisition, research, display and identification;
- as Designated Individual under the Human Tissue Act 2004 the Registrar is accountable for ensuring the Museum complies with the Human Tissue Act and has the primary (legal) responsibility under Section 18 of the Human Tissue Act to secure:
 - that suitable practices are used in undertaking the licensed activity;
 - that other persons working under the licence are suitable and;
 - that the conditions of the licence are complied with;
- for setting up systems that ensure the Museum is compliant with the *Nagoya Protocol (Compliance) Regulations* 2015 and subsequent revisions;
- for compliance with
 - the requirements of Part 6 of the Tribunals, Courts and Enforcement Act 2007 and Section 3 of Statutory Instrument 2008 No 1159 - The Protection of Cultural Objects on Loan (Publication and Provision of Information) Regulations 2008;
 - the terms and conditions of: the Government Indemnity Scheme and conditions of incoming exhibition loan contracts; the Museum's CITES A60 Certificate and Registered Institution Status; the Museum's Organisational Licence issued under the Conservation of Habitats and Species Regulations 2010 (as amended) and Wildlife and Countryside Act 1981 (as amended);
- for ensuring the conditions, insurance or indemnity and security of items loaned from the Museum for display (including those in the Museum's Touring Exhibitions) are appropriate and minimise risk to the items; undertaken with advice from the Head of Conservation, Head of Security and the UK National Security Advisor at the Arts Council England.

Is responsible for:

- setting the strategic direction of the Museum regarding collections management, collections care and collections use;
- providing advice, briefings and recommendations to Executive Board and the Trustees for decision making regarding the collections;
- reviewing agreements that affect the care and accountability of collections in consultation with relevant staff and the Museum Solicitors and recommending to the appropriate Director or the Museum Director for authorisation; signing agreements where authorisation has been given;
- estimating the value of indemnity required and reporting the value of the Museum's Contingent Liabilities under the National Heritage Act 1980 Section 16(1) and Undertakings to Her Majesty;
- directly authorising any loan that requires use of the Government Indemnity Scheme (GIS) up to £100,000 and recommending the authorisation of any loan requiring Government Indemnity up to £1,000,000 to the Director of Science and over £1,000,000 to the Director;

- collating the schedule for items that fall below the Government Indemnity threshold or which are excluded from GIS cover and providing that information to the Director of Finance & Corporate Services;
- submitting compliance reports and applications, and organising inspections for the following: Compliance Updates to the Human Tissue Authority and organising Inspection Visits; Compliance visits from the Competent National Authority for the Nagoya Protocol; providing annual compliance report for Immunity from Seizure (Part 6 of the Tribunals, Courts and Enforcement Act 2007) and organising returns as required by the Museum Accreditation Scheme;
- providing the following information quarterly to the Trustees including a list of exhibition loans in and out, research loans in and out, destructive/invasive sampling requests and disposals over £100,000 and approved by the either the Director of Science or the Director;
- seeking advice from the Head of Conservation, Head of Security and the UK National Security Advisor at the Arts Council England to ensure that the terms & conditions, environment, transport, insurance or indemnity and security of items loaned from the Museum for display (including those in the Museum's Touring Exhibitions) are appropriate and minimise risk to the items;
- directly authorising any exhibition loans out of the Museum; final approval for a Touring Exhibition Contract is given by the Director of Engagement Group;
- creation and review of the Collections Audit Plan;
- delegation of responsibilities to the Deputy Registrar where appropriate.

Head of Security

Is accountable for:

- the provision of suitable security systems for the protection of the Museum's collections in storage or on display and defining suitable security parameters for items from the collections on outgoing exhibition loans including Touring Exhibitions;
- the Museum's policy on security and the implementation of all security procedures; consequently the Head of Security is the nominated Responsible Person for the Museum's Known Consignor Status;
- security of exhibition items on loan to the Museum including those that are covered by Section 16(1) Government Indemnities and Undertakings to Her Majesty.

Is responsible for:

- risk assessing, from a security perspective, venues worldwide where items from the Museum collection will be displayed, including spaces at South Kensington and Tring;
- providing advice based on the risk assessment to the Registrar regarding the security provision required to appropriately protect collections items on display. For exhibitions at South Kensington and Tring this advice is provided to the Senior Responsible Owner;
- advising the Heads of Department and Heads of Collection on appropriate security measures for collections storage across all Museum sites;
- delegation of responsibilities to the Deputy Head of Security where appropriate.

Heads of Department - Life Sciences, Earth Sciences, Library and Archives and Core Research Laboratories

Are accountable for:

- compliance with the collections policies and applicable legislation (listed in Appendix 1A) with regard to the entry of any items into their departments for any purpose including the acquisition of new items for the collections through fieldwork, donation and purchase, loans for research (both incoming and outgoing), incoming items for analysis or enquiries, outgoing items for display and disposal of items from the collections;
- the implementation of collections policies and procedures at a departmental level;
- the proper documentation of collections management processes and the access to and security of the collections information generated by these processes;
- for the valuation of the collection including valuation of all items purchased for (or sold from) the collection and that the assigned valuation of the item to be purchased (or sold) is fair in relation to the market value;
- audit of collections items in line with the Collections Audit Plan; recording changes to the state of an item including loss, and for undertaking any actions arising from an audit of collections management activities;
- compliance with the physical security systems in place to protect the collection and access to the collection in line with these security systems.

Are responsible for:

- directly authorising acquisitions, fieldwork that will result in items entering the museum or being added to the collections, loans and disposals as defined in the Museum's Authority Framework;
- the delegation of authority and responsibility for the collections including their care, documentation, physical security and access to the Heads of Collections or equivalent;
- approving any Museum research projects that are conceived with the aim of discovering and developing marketable products taking into particular account the Nagoya Protocol 2010 and the legal and regulatory environment relating to Access and Benefit Sharing ;
- the Head of Library and Archives is responsible for the provision of suitable Library and Archive Management Systems;
- the Head of Earth Sciences is responsible for the management of the collection of human remains and for overseeing access, use, information collection and provision, and implementation of policy in these areas of activity; this is a shared responsibility with the Head of Earth Sciences Collections and on a day-to-day basis this is delegated to the Senior Curator in Charge of Anthropology.

Heads of Collections²

Are accountable for:

- the strategic development and care of the collections within their departments working with the Head of Conservation and the Registrar to develop appropriate strategies for long term care and access;
- compliance with the collections policies, documentation requirements and applicable legislation with regard to all collections transactions within their departments;
- access to the collections and collections storage areas for any purpose.

Are responsible for:

² In Library and Archives the Head of Department is also the Head of Collections.

- the approval of acquisitions, loans and disposals and making recommendations to the Head of Department as defined in the Museum’s Authority Framework;
- the delegation of responsibilities to Divisional Curators in Charge³ as appropriate;
- the appropriate training of collections staff;
- ensuring adequate systems are in place to record items entering the Museum and delegating the day-to-day management, authority and responsibility for this as well as the maintaining, updating and entering information about items that have entered the Museum to the relevant Divisional Curator in Charge or Divisional Head in Library & Archives and Core Research Laboratories;
- managing all collections management processes within their Departments and in particular:
 - inventory control;
 - the valuation of collection items including maintaining a schedule for items that fall below the Government Indemnity threshold or which are excluded from GIS cover;
 - producing guidelines and documentation relating to location and movement control including maintaining lists of staff who are authorised to (a) know location information for restricted items, (b) approve or undertake permanent movement of items, (c) approve or undertake temporary movement of items and (d) create or update location records;
 - maintaining a list of all historic item numbering systems for their department;
 - and making records available for scrutiny by those authorised, for tracking, audit and reporting purposes;
- access to the collection and collections information, seeking advice on security aspects from the Head of Security and Head of Collections Management Systems or Library Head of Researcher Services and Digital Delivery as appropriate;
- the Head of Earth Sciences Collections is responsible for the management of the collection of human remains and for overseeing access, use, information collection and provision, and development of procedures to implement policy in these areas of activity; this is a shared responsibility with the Head of Earth Sciences and on a day-to-day basis this is delegated to the Senior Curator in Charge of Human Remains & Anthropology.

Head of Conservation

Is accountable for:

- ensuring that standards and best practice in conservation and collections care are applied across the Museum for all activities involving the Museum’s collection and items on exhibition loan to the Museum including; interventive processes, integrated pest management, environmental standards and monitoring and emergency care.

³ In Life Sciences these are the Principal Curators in Charge of Algae, Fungi & Plants, Insects, Invertebrates, Vertebrates and the Task Force Manager. In Earth Sciences these are the Principal Curator in Charge of Vertebrates and the Senior Curators in Charge of Environmental & Economic Geology, Human Remains & Anthropology, Invertebrates & Plants, Mineral & Planetary Sciences and the Task Force Manager. In Library and Archives these are Head of Collections Operations, Head of Researcher Services & Digital Delivery and Library Special Collections Manager. For simplicity these roles are referred to “Divisional Curators in Charge”.

Is responsible for:

- setting and directing conservation policy and for its application across the Museum's Collections; leading and applying the policy for Science and Engagement;
- setting and implementing standards for collections in terms of conservation treatments and all aspects of preventive conservation, benchmarked to international standards;
- risk assessing venues with regards to impact of agents of deterioration where items from the Museum collection will be displayed, including spaces at South Kensington and Tring;
- providing advice based on the risk assessment to the Registrar, Director of Science and Trustees or, for exhibitions at South Kensington and Tring, the Senior Responsible Owner regarding the display case provision and environmental conditions required to appropriately protect collections items on display;
- advising the Heads of Department and Heads of Collections on appropriate conservation and collections care measures across all Museum sites;
- providing operational management for conservation and delegation of responsibilities to Senior Conservation staff where appropriate.

Head of Collections Management Systems and Head of Researcher Services and Digital Delivery

Are accountable for the following for their relevant systems:

- ensuring systems are in place for recording collections information, recording collections transactions and collections condition accurately and providing training on the relevant Collections Management System or Library Management System so staff are aware of their obligations with regard to documentation of collections data and can comply with these policies.

Are responsible for:

- advising the Director of Science and appropriate decision-making body on the specification of requirements of a CMS, LMS and potential systems;
- the management of collections data to the standards required by Accreditation and the Policies and procedures working with Heads of Collections and Registrar to determine priorities;
- managing the levels of access and providing appropriate training in the CMS or LMS in conjunction with the Divisional Curators in Charge or Library and Archives equivalents;
- security of collections information and ensuring procedures and training for staff are in place.

Divisional Curators in Charge (Life & Earth Sciences) and Divisional Heads in Library & Archives and Core Research Laboratories

Are accountable for:

- The strategic development of the collections within their division as appropriate and compliance with the collections policies, documentation requirements and applicable legislation as defined in Appendix A1 with regard to all collections transactions within their division for both research and collections management purposes.

Are responsible for:

- the approval of acquisitions, loans and disposals and making recommendations to the appropriate Head of Collections (or Head of Department in Library and Archives) as defined in the Museum's Authority Framework;
- maintaining the collection within a logical framework and documenting the system used; the documentation should contain a navigational aid to the collection;
- instigating loss procedures when informed of a loss and for notifying the Registrar of the loss or damage;
- appropriate training of staff.

Curatorial Staff

Are accountable for:

- compliance with the collections policies, documentation requirements and applicable legislation (as defined in Appendix 1A) with regard to all collections activities relating to the collections in their care.

Are responsible for:

- the correct documentation of all acquisitions, loans and disposals or dispersals relating to collections in their care including accurate recording in the relevant Collections Management System or Library Management System;
- undertaking an appropriate level of due diligence for all acquisitions, completing the relevant Material Transfer Agreement and organising sign off by the Divisional Curator in charge;
- completing loss or damage documentation and forwarding it to the appropriate Divisional Curator in Charge.

Museum Archivist

Is accountable for:

- the management of the Museum Archives and compliance with all applicable legislation, in particular as a Place of Deposit in compliance with the Public Records Act.

Is responsible for:

- the management of records selected for permanent preservation over 20 years old, within the framework of guidance dictated by the Museum's status as a place of deposit;
- working with the Information Manager to select material for long term preservation;
- the formal process of disposal of archives in line with the Public Records Act and National Archives requirements;
- application and subsequent returns for Archives Accreditation Scheme.

Information Manager

Is accountable for:

- the management of the Modern Records Service in compliance with all applicable legislation;
- compliance with Freedom of Information, Data Protection and Re-use of Public Sector Information Regulations.

Is responsible for:

- the delegation of responsibilities to the Records Manager and Intellectual Property Officer;
- managing a Modern Records Service that deals with records less than 20 years old when transferred by creating departments within the Museum;

- management of “Open by Default” exceptions
- providing guidance to departments that facilitates best practice, developing retention schedules, and appraising current and semi-current records; and maintaining a modern records store for this purpose;
- working with the Museum archivist to select material for long term preservation.

All science staff

Are accountable for:

- compliance with the collections policies, documentation requirements and applicable legislation (as defined in Appendix 1A) with regard to all collections activities undertaken as part of their work.

Are responsible for:

- ensuring all items entering the Museum are recorded as object entries within the appropriate management system;
- undertaking an appropriate level of due diligence for all acquisitions, working with the appropriate curator to complete the relevant Material Transfer Agreement and organising sign off by the Divisional Curator in charge;
- identifying and applying for all relevant documentation, including permits, needed to undertake fieldwork, export material from the country of origin and import material into the UK, and submitting the collections enhancement form to the relevant Divisional Curator in Charge;
- making a valuation when required by the Registrar, Head of Collections or Director of Science; obtaining accurate valuations for items to be purchased (or sold);
- ensuring access to the collections by visitors complies with Museum policy and security requirements;
- reporting any loss or damage to the appropriate curator.

This document was approved by the Board of Trustees on 19 February 2019 and shall remain in place until a revision is issued by the Museum Registrar.

The date when the policy is next due for review is noted below.

Document Owner	Registrar
Name of governing body:	Trustees of the Natural History Museum
Date of approval by governing body:	19 February 2019
Date at which this policy is due for review:	19 February 2024

APPENDIX 1. Legal, Ethical and Standards Framework

The Museum's Collections Management Policy framework is informed by legislation, ethical codes and appropriate sectoral standards.

A. International Conventions

- Convention on Biological Diversity, 1992 and the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization (ABS) to the Convention on Biological Diversity 2010.
- Convention on the Illicit Trade in Endangered Species, 1975
- Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property, UNESCO, 1970

B. Legislation (including legislation & regulation implementing the International Conventions above).

- British Museum Act 1963
- The Carriage of Dangerous Goods and Use of Transportable Pressure Equipment Regulations 2009
- Constitutional Reform & Governance Act 2010
- Control of Asbestos Regulations 2012
- Copyright Act, 1911 and 1956
- Copyright and Related Rights Regulations, 2003
- Copyright, Designs and Patents Act, 1988
- COSHH: Control of Substances Hazardous to Health Regulations, 2002
- Data Protection Act, 2018
- Dealing in Cultural Objects (Offences) Act, 2003
- Disability Discrimination Act, 1995 (as amended)
- Endangered Species (Import & Export) Act 1976 and Control of Trade in Endangered Species (Enforcement) (Amendment) Regulations 2009
- Environmental Information Regulations, 2004
- Equality Act, 2006
- Export of Objects of Cultural Interest (Control) Amendment Order 2009
- Freedom of Information Act, 2000 and related codes of practice - Code of Practice on the Management of Records as issued by The Lord Chancellor under section 46 of the FOI Act and Code of Practice on the Discharge of Public Authorities' Functions as issued by The Lord Chancellor under Part III of the FOI Act under section 45 (November 2002). Code of Practice on the Management of Records as issued by The Lord Chancellor under section 46 of the FOI Act.
- General Data Protection Regulation – Regulation (EU) 2016/679, 2016
- Health and Safety at Work Act, 1974
- Holocaust (Return of Cultural Objects) Act 2009
- Human Rights Act, 1998
- Human Tissue Act, 2004
- Ionising Radiation Regulations 2017 (IRR17)
- Management of Health and Safety at Work Regulations, 1999
- Misuse of Drugs Act 1971
- Museums and Galleries Act, 1992 (as amended)
- Nagoya Protocol (Compliance) Regulations 2015
- National Heritage Act 1980

- Plant Health Act 1967 & subsequent Regulations and Amendment Orders
- Public Records Acts, 1958, as amended 1967
- Race Relations Act, 1976
- Racial and Religious Hatred Act, 2006
- Requirements of HM Customs & Revenue
- The Return of Cultural Objects (Amendment) Regulations 2015
- Re-use of Public Sector Information (PSI) Regulations 2015
- Sex Discrimination Act, 1975
- Trade in Animals and Related Products Regulation 2011 (as amended) and Animal By-Product (Enforcement) (England) Regulation 2013.
- Tribunals, Courts and Enforcement Act, 2007; Protection of Cultural Objects on Loan Regulations 2008 (Publication and Provision of Information)
- Wildlife and Countryside Act 1981

C. Ethical Codes & Guidance from Government

- Code of Ethics for Museums, Museums Association, 2015
- Combating Illicit Trade: Due Diligence Guidelines for Museums, Libraries and Archives on collecting and borrowing Cultural Material, DCMS, 2005
- Guidance on the Care of Human Remains DCMS 2005
- Government Indemnity Scheme Guidelines for National Institutions, January 2016.
- Statement of Principles issued by the National Museum Directors Conference on spoliation of works of art during the Holocaust and World War II period, 1998
- UK Export Licensing for Cultural Goods – Procedures and guidance for exporters of works of art and other culture goods, DCMS, 2018

D. Standards

- Benchmarks in Collections Care for Museums, Archives and Libraries, 2007
- Loans between National and Non-national Museums – New standard and practical guidelines, National Museum Directors' Conference, 2003
- PAS 197:2009: Code of practice for cultural collections management, BSI and Collections Trust
- PAS 198:2012 Specification for managing environmental conditions for cultural collections
- PD 5454:2012 Guide for the storage and exhibition of archival materials.
- Spectrum: UK Museum Collections Management Standard.
- UK Registrar's Group Facility Reports
 - Display Case supplement, UK Registrars' Group
 - Standard Facilities Report, UK Registrars' Group
 - Standard Facilities Report Security Supplement, UK Registrars' Group
- Accreditation standard – Museums and Archives
- Library resource cataloguing standards
 - Resource Description and Access (RDA)
 - MARC 21Format for Bibliographic Data
 - MARC 21 Code List for Languages
 - MARC 21 Code List for Countries
 - Library of Congress Name Authority File (LCNAF)
 - Library of Congress Subject Headings (LCSH)
 - Library of Congress Genre/Form Terms (LCGFT)

- Catalogue of Life, BirdLife International, and other taxonomic checklists as appropriate
- Universal Decimal Classification (UDC)
- Woodward (NHM) classification scheme

APPENDIX 2. Natural History Museum Policy & Strategic Environment.

A. Natural History Museum Policies

- Governance Principles of the Natural History Museum, 2013
- NHM Ethics Policy, 2012
- NHM Health and Safety Management Policy, 2018
- NHM Intellectual Property Policy, 2017
- NHM Freedom of Information Policy, 2016
- NHM Data Protection Policy, 2018
- NHM Open by Default Policy, 2016
- NHM Anti-fraud, bribery and corruption policy, 2018
- NHM Procurement Policy, 2017
- NHM Third Party Engagement Policy, 2012
- NHM Records management Policy, 2017
- DCMS funding agreement 2016/17 – 2020/21

B. Natural History Museum strategies

- Museum Strategy to 2020
- Science Strategy

APPENDIX 3. Organogram of Roles Responsible for Collections

