



ARIZONA
HISTORICAL
SOCIETY

ARIZONA HISTORICAL SOCIETY
CODE OF ETHICS

Approved by State Board of Directors
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SUMMARY

Due to the Arizona Historical Society's hybrid nature as a State agency and a not-for-profit membership organization, the Code of Ethics reflects both State policy and not-for-profit best ethical practices. The bulk of this current version was adopted by the State Board of Directors in August 2020 to address gaps in existing policies, in preparation for the AAM reaccreditation process.

This document supplements existing State Board of Directors policies, the State Employee Handbook, and the board-approved joint board/staff collections management policies. Portions of those documents have been incorporated into the Code of Ethics to provide the AAM Accreditation Commission with all of the ethics-related statements in one place.

PREFACE

The Arizona Historical Society Code of Ethics is based upon Code of Ethics and Practice of Interest to Museums (2000) published by the American Alliance of Museums (AAM), Writing A Society Code of Ethics (1992) published by the AAM; and Code of Ethics for Museums (1994) by the AAM.

This Code of Ethics is intended as a continuously evolving document to provide guidance for all Arizona Historical Society (AHS or Society) staff members, volunteers, chapter board members, state board of directors, and non-board-members who serve on any committees appointed by the aforementioned. Periodic review is recommended by a joint staff/board committee.

All employees and volunteers of AHS are obligated to adhere to the following code of ethics. Employees should also work to ensure that the acts of others do not place the employee or the institution in a compromising or embarrassing position.

Final authority regarding compliance with this code of ethics resides with the president of the Board of Directors of AHS, who has delegated responsibility for monitoring the code to the Society's executive director. The executive committee of the Board of Directors will review all ethical questions involving the executive director.

AHS staff members, volunteers, chapter board members, state board of directors, and non-board-members who serve on any committees appointed by the aforementioned commit themselves to the following principles:

- ❖ to maintain their public trust responsibilities;
- ❖ to conduct themselves in a legal manner;
- ❖ to avoid even the appearance of conflict of interest;
- ❖ to operate in a fiscally responsible manner;
- ❖ to identify and overcome discriminatory behaviors through education, and diversifying the Society's work force;
- ❖ to increase and disseminate knowledge;
- ❖ to be guided by the Society's mission in all activities, especially collections acquisition and development of public programs;
- ❖ to maintain collections and associated records in good order;
- ❖ to manage objects placed in the Society's care to assure long term preservation;
- ❖ to maintain the educational value of teaching collections, recognizing that these objects will receive different and more active use and treatment than items in the permanent collection;
- ❖ to provide public programs that are educational and accessible to a diverse audience that is representative of the communities the Society serves;
- ❖ to involve the most knowledgeable experts available, especially representatives of related cultural groups, in the planning and implementation of exhibitions and public programs.

CODES OF CONDUCT

The administration and staff of AHS, collectively and individually, subscribe to the Code of Ethics for Museums (American Alliance of Museums, 1994). In addition, individual staff members subscribe to the following discipline-specific and professional codes:

- *American Alliance of Museums Code of Ethics for Museums (2000)*
- *American Association for State and Local History Statement of Standards and Ethics (2018)*
- *International Council of Museums Code of Professional Ethics (2013)*
- *American Historical Association Statement on Standards of Professional Conduct (2019)*
- *National Council on Public History Code of Ethics and Professional Conduct (2007)*
- *Organization of American Historians Statement on Professional Integrity (undated)*
- *Oral History Association Statement on Ethics (undated)*
- *Curators Code of Ethics (2009)*
- *Association of Registrars and Collections Specialists Code of Ethics (2016)*
- *Society of American Archivists Core Values Statement and Code of Ethics for Archivists (2011)*
- *American Society for Public Administration Code of Ethics (2013)*
- *American Library Association Code of Ethics (2008)*
- *Museum Store Association Code of Ethics (2000)*
- *Council for Certification in Volunteer Administration Professional Ethics in Volunteer Administration (2016)*
- *Professional Standards for the Practice of Visitor Research and Evaluation in Museums (1991)*
- *Professional Standards for Society Educators (1989)*
- *Public Relations Society of America Code of Ethics (undated)*
- *Association of Fundraising Professional Code of Ethical Standards (1964)*

BOARD OF DIRECTORS

The Board of Directors shall be loyal to the purposes and mission of AHS or Society. Each member of the Board of Directors must devote time and attention to the affairs of the Society to ensure that the Society acts in accordance with its mission.

A critical responsibility of the Board of Directors derives from its relationship to the Executive Director, the Society's chief executive. General oversight of their professional activities is a primary responsibility that must be diligently and thoughtfully fulfilled.

All actions of the Board should comply with the Board of Directors' bylaws and policy manual as well as the State of Arizona conflicts of interest policies.

Each Board member should endeavor to conduct all of their activities, including those relating to persons or organizations closely associated with them, in such a way that no conflict will arise between those other interests and the policies, operations, and interests of the Society and in accordance with all applicable laws, regulations, and policies. Whenever a matter arises for action by the Board involving a conflict between the interests of the Society and an outside or personal interest of a Board member or that of a member of their family, that interest should be disclosed and made a matter of record. In those cases where the Board member is present when a vote is taken in connection with such a question, they should disclose the interest and abstain from voting. There may be situations where the conflict is so grave that it cannot be resolved, in which case resignation may be appropriate.

STAFF ASSISTANCE

Board members may seek staff assistance for personal needs. They should expect that such help will be rendered to an extent no greater than that available to a member of the general public with similar needs.

GENERAL DEPARTMENT

In all activities and statements, AHS staff members, volunteers, chapter board members, state board of directors, and non-board-members who serve on any committees appointed by the aforementioned must make it clear whether they are acting or speaking for the Society, their professional associations, or themselves. They must not represent, nor appear to represent, the Society without a mandate to do so. The department of AHS staff members, volunteers, chapter board members, state board of directors, and non-board-members who serve on any committees appointed by the aforementioned should reflect goals of better communication, understanding and cooperation among the diverse individuals, groups, and institutions involved with AHS.

EXECUTIVE DIRECTOR

The executive director of AHS or Society reports to and is accountable to the Board of Directors. Whenever a matter arises for action involving a conflict between the interests of the Society and an outside or personal interest of the executive director or that of a member of their family, the action should be guided by the same rules as those governing the Board of Directors.

The position of the executive director of the Society is one of trust, involving great responsibilities. It is the moral obligation of the executive director, in implementing the policies of AHS, to accept and discharge these policies to the best of their ability for the benefit of the institution and the public. It is assumed that, in all activities, they will act with integrity, avoid any and all activities that could compromise themselves or AHS. In all undertakings within the executive director's jurisdiction, they will be personally responsible for the highest standards, excellence of performance, and promotion of scholarship. Through their own professional integrity, they will set an example to the AHS staff, and be responsible for the staff's ethical behavior and actions. The executive director will communicate the contents of this Code of Ethics to the AHS staff.

VOLUNTEERS

Staff is expected to provide appropriate training and intellectual enrichment for volunteers using the most current research and following industry standards and best practices. While volunteers participate in most Society activities, those with access to the archives and collections, and associated privileged information, work in areas that are particularly sensitive.

Access to the Society's internal activities and information is a privilege, and the lack of material compensation for effort expended on behalf of the Society in no way frees volunteers from adherence to standards that apply to paid staff. Volunteers must work toward the betterment of the Society and not for personal gain other than the gratification and knowledge to be derived from involvement with the organization.

Although the Society may accord them stated special privileges, volunteers should not accept gifts, favors, discounts, loans, or other dispensations of things of value that accrue to them from other parties in connection with carrying out their duties for the Society. Conflict of interest restrictions placed upon the staff must be explained to and observed by, volunteers.

Volunteers should understand clearly, and adhere to all policies, rules, procedures, and guidelines adopted by the Society. They must hold confidential matters that are not generally known or available to the public.

CONFLICTS OF INTEREST

Conflicts of interest apply equally to all AHS staff members, volunteers, chapter board members, the Board of Directors, and non-board-members who serve on any committees appointed by the aforementioned.

COLLECTIONS AND ARCHIVES

(See also, State Board of Directors Policy Manual Excerpts and AHS Collections Management Policy Excerpts.)

No AHS staff members, volunteers, chapter board members, state board members, or non-board-members who serve on any committees appointed by the aforementioned, or their representative, may acquire any property from the Society for their personal use except in the normal course of business from the Society's stores.

No AHS staff members, volunteers, chapter board members, state board members, or non-board-members who serve on any committees appointed by the aforementioned should use in their home, or for any other personal purpose, any object or item that is part of the Society's collections or archives, or under the guardianship of the Society, or use any other property, supplies, or resources of the Society except for the official business of the Society.

PERSONAL COLLECTING

(See also, State Board of Directors Policy Manual Excerpts and AHS Collections Management Policy Excerpts.)

Museum work requires impartiality and a sense of public responsibility, especially in the area of collections acquisitions. AHS staff members, volunteers, chapter board members, state board members, and non-board-members who serve on any committees appointed by the aforementioned, must not use their influence or position for personal gain, should never traffic in historical objects for monetary reasons, nor be party to the recommendation of historical objects for purchase by the Society or collectors in which they have any undisclosed financial interest; nor should they accept any commission or compromising gift from any seller or buyer of historical objects. They must not compete with the Society in collecting. Neither may they take advantage of, nor enable others to take advantage of, privileged information obtained as a result of their position for furthering personal interest or gain. If an AHS staff member, volunteer, chapter board member, state board member, or non-board-member who serves on any committee appointed by the aforementioned is a collector, they should exercise extraordinary discretion to assure that no conflict of interest arises between them and the concerns of the Society. If such an occasion should arise, it must be resolved by granting the Society's Collections Review Committee the first option to acquire the historical object in question.

At the time of employment, employees must provide the human resources liaison with a list of any personal collections that fall within the collecting interests of the Society. This list shall be kept in the employee's personnel file and be updated annually.

If an AHS staff member, volunteer, chapter board member, state board member, or non-board-member who serves on any committees appointed by the aforementioned purchases an object that falls within the Society's collecting areas, they must disclose the purchase to the Society's human resources liaison. If interest is expressed on behalf of the Society within thirty days, the purchaser must disclose the purchase price and provide a description of the object to the Vice President for Library, Archives, and Collections. The Society has the right to acquire the object at the price paid by the purchaser for up to six months after initial disclosure, and must notify the purchaser of its intention to do so within sixty days. This policy excludes the purchase of materials readily available on the open market, as well as objects inherited or received as gifts.

AHS staff members, volunteers, chapter board members, state board members, and non-board-members who serve on any committees appointed by the aforementioned may not purchase objects deaccessioned from the institution's collections, or trade objects from their personal collection for objects from the Society's collections.

AHS staff members, volunteers, chapter board members, state board members, or non-board-members who serve on any committees appointed by the aforementioned may not store personal collections on Society property or research or conserve their personal collections on Society time unless the research is in conjunction with a Society-sponsored project.

If AHS staff members, volunteers, chapter board members, state board members, or non-board-members who serve on any committees appointed by the aforementioned lend objects for an exhibition at the Society, they should lend them anonymously. Similarly, illustrations of such items should be credited anonymously in Society publications and exhibitions.

If an AHS staff member, volunteer, chapter board member, state board member, or non-board-member who serves on any committee appointed by the aforementioned wishes to dispose of part or all of their personal collection, they should offer it first to the Society as a gift or at fair market value. If the Society chooses not to purchase the collection, the owner should first consider sale at public auction rather than to a dealer. All such transactions should be documented.

AHS staff members, volunteers, chapter board members, state board members, and non-board-members who serve on any committees appointed by the aforementioned, should not negotiate personally with a dealer with whom they also do business on behalf of the Society.

Neither relatives, nor friends, should engage in a transaction, on behalf of any AHS staff member, volunteer, chapter board member, state board member, or any non-board-member who serves on any committees appointed by the aforementioned that is not in compliance with the above stated principles.

DEALING

There is a distinct difference between dealing (buying and selling for personal profit) and occasional trades or purchases to upgrade a personal collection. To avoid conflicting loyalties, AHS staff members, volunteers, chapter board members, state board members, and non-board-members who serve on any committees appointed by the aforementioned must not become involved in dealing.

AHS staff members, volunteers, chapter board members, state board members, and non-board-members who serve on any committees appointed by the aforementioned may not deal (buy and sell objects for profit on a regular basis) in historical objects within the scope of the Society's collections, act on behalf of a dealer, accept outside employment from a dealer, or retain interest in a dealership with interests in these same areas.

The sale of historical objects by individuals is strictly prohibited on Society premises.

LOANS AND GIFTS OF OBJECTS

Loans and gifts of objects, owned or created by AHS staff members, volunteers, chapter board members, state board members, or non-board-members who serve on any committees appointed by the aforementioned can benefit the Society and the public. However, loaned objects can be considerably enhanced in value by being exhibited, and gifts to the Society incur the liability of perpetual care. Therefore, the sole consideration of the Society in asking for and accepting such loans or gifts shall be the prospective benefit to the public. Such loans or gifts must be presented to the AHS staff Collections Review Committee, and approved prior to exhibition at the Society.

GIFTS

A gift relevant to the Society's collection should not be accepted by AHS staff members, volunteers, chapter board members, state board members, or non-board-members who serve on any committees appointed by the aforementioned for personal use, but presented instead to the AHS Collections Review Committee.

OUTSIDE EMPLOYMENT, CONSULTING, VOLUNTEERING

Professional employees are encouraged to participate in activities that do not interfere with the regular and punctual discharge of official duties provided the activity meets one of the following criteria (and with the appropriate secondary employment form on file):

- ❖ Is a means of personal professional development;
- ❖ Serves the community, state or nation, or
- ❖ Is consistent with the objectives of the Society.

Recognizing that the staff of the Society has highly specialized skills and expertise (e.g. teaching, lecturing, research, writing, collections and archives management, etc.), it is considered reasonable and desirable for staff members to engage in related endeavors, which are defined for purposes of this policy as any additional activity beyond duties assigned by the institution, and professional in nature.

Outside employment for compensation shall not be undertaken while traveling at the Society's expense.

Any employee of the Society engaged in or considering seeking professional outside employment for pay must disclose such employment in writing to the agency's designated human resources liaison via a secondary employment form; that form will be kept in the employee's personnel file. Outside employment of any kind must not impair the employee's ability to execute their duties and responsibilities at the Society in an appropriate and professional manner with total objectivity.

INTEGRITY IN PRESENTATION

Truth and accuracy are standards in interpreting and disseminating knowledge about the Society's collections and archives for the public through exhibitions, programs, publications and events. It is the responsibility of AHS staff members, volunteers, chapter board members, state board members, and non-board-members who serve on any committees appointed by the aforementioned, to present the best current information and research about the items the Society displays. Intellectual honesty and objectivity in the presentation of historical items is the duty of every Society professional. They should never intentionally communicate false or misleading information, and are obligated to adhere to the general practice of making full and timely disclosure of public information. The information disclosed shall be accurate, clear, and understandable; the purpose of such disclosure being to present all material facts.

REPUTATION

AHS staff members, volunteers, chapter board members, state board members, and non-board-members who serve on any committees appointed by the aforementioned, should never abuse their official positions or their contacts through the Society, impair in any way the performance of their official duties, compete with the institution, or bring discredit or embarrassment to the Society or to the profession in any activity, Society-related or not. They should be prepared to accept as conditions of representing the Society the restrictions that are necessary to maintain public confidence in the Society's goals and in the museum profession and are therefore expected to agree to act in conformity with these guidelines.

The reputation and name of the Society are valuable assets and should not be exploited either for personal advantage or the advantage of any other person or entity. Information about the administrative and non-scholarly activities of the Society that AHS staff members, volunteers, chapter board members, state board members, or non-board-members who serve on any committees appointed by the aforementioned may acquire in the course of their duties, and which is not generally known or available to the public, must be treated as information proprietary to the Society. Such information should not be used for personal advantage or for purposes detrimental to the Society and should not be disclosed to third parties without the express written consent of the Society. They may not use confidential information (e.g., information about ownership of historical objects) acquired through their position in any outside employment or activity without the express prior consent.

Staff members should be cautious in providing members of the public with the names of outside suppliers of services, such as appraisers, conservators, or framers. Whenever possible, the names of multiple qualified sources should be provided so that no appearance of personal favoritism is created.

Whenever a matter arises that could be perceived as a conflict between the interests of the Society and an outside or personal interest of an employee or an employee's family, the employee should bring the matter to the attention of their supervisor for resolution.

PROFESSIONALISM

AHS staff members, volunteers, chapter board members, state board members, and non-board-members who serve on any committees appointed by the aforementioned, should respect the professional expertise of the staff, who have been engaged because of their specialized knowledge or ability in some aspect of Society activity. With respect to the resolution of issues involving professional matters, the opinions and professional judgments of members of the Society staff should be considered; however, responsibility for the final decisions will rest with the Society's executive director.

OWNERSHIP OF SCHOLARLY MATERIAL

Staff members are encouraged to write and publish both for the Society and on their own. Publications, lectures, manuscripts, and all other materials prepared by an employee within the scope of employment at the Society and/or any scholarly works produced as a result of financial support from the Society are the sole property of the Society except as authorized in writing by the executive director. Employees must also first confer with the executive director before agreeing to author, as a private individual, any publication that substantially draws upon materials prepared in the scope of employment with the Society. Further, such service should neither impair the employees' ability to act with total objectivity regarding the Society's interests nor interfere with job performance. If the scholarly activity is a personal project, done exclusively on personal time, and not within the scope of assigned responsibilities, ownership is generally personal.

COLLECTING AND PRESERVATION

DEFINITIONS

REGISTRAR, COLLECTION MANAGER, ARCHIVIST

Individuals with the title or function of registrar, collections manager, or archivist have a varied range of responsibilities and activities. The Society has adopted the basic description in the glossary of Museum Registration Methods: "an individual with broad responsibilities in the development and enforcement of policies and procedures pertaining to the acquisition, management and disposition of collections. The registrar maintains records pertaining to the objects for which the institution has assumed responsibility. Usually, the registrar also handles arrangements for accessions, loans, packing, shipping, storage, customs and insurance as it relates to Society material."

Staff with these titles are typically specialists in the areas of information management, risk management and logistics. The primary concerns of these staff members are creating and maintaining accurate records pertaining to objects and archival materials, including those documents that provide legal protection, ensuring the safety of said items, arranging insurance coverage, and handling, transporting and control of those items. These employees' obligations to the AHS collections and archives, items on loan, and all associated records, are paramount.

PREPARATORS

Preparation of objects for exhibition purposes or otherwise is a pursuit requiring extensive training and special aptitudes. It places in the hands of the preparator objects that are of great value and significance. Preparators have obligations not only to the objects with which they are entrusted, but also to owners or custodians, to colleagues and trainees, and to the public. The following principles and practices guide preparators at the Society in the ethical practice of their profession.

All professional actions of preparators are governed by unswerving respect for the aesthetic and physical integrity of the object. Preparators undertake the preparation and handling of historical objects only within the limits of their professional competence and within the limitations of their facilities. With every object, regardless of one's opinion of its value or quality, preparators should adhere to the highest and most exacting standards of handling. Although circumstances may omit the extent of treatment, the quality of the handling should never be governed by the quality or value of the object. While special techniques may be required during the handling of large groups of objects, these procedures should be consistent with the preparators' respect for the integrity of the objects. Preparators should not perform or recommend any treatment that is not appropriate to the preservation or best interests of a historical object.

MANAGEMENT, MAINTENANCE, CONSERVATION

The obligation of the Society to its collections is paramount. An ethical duty of the Society is to transfer to posterity a record of human culture. The Society staff must be in control of the collections and archives and monitor the location and the condition of the objects held.

Each item is an integral part of a cultural composite, including the provenance that establishes its proper place and importance, and without which the value of the item is diminished. The maintenance of this information in orderly and retrievable form, its public availability, and the educational programs whereby the public may better understand the collections, are critical concerns of those charged with managing the collections and archives.

The Society shall establish procedures for the periodic evaluation of the condition of the collections and archives and for their maintenance in keeping with professionally accepted standards.

Collections and archives staff work in close cooperation with curators, conservators, and preparators in maintenance and physical care of the collections and archives, and are guided by the Collections Management Policy. In management of items on loan, staff must adhere to and enforce the lenders' conditions of loan.

Collections and archives staff have responsibility for the physical care of items in storage and should ensure that the best and most secure environment possible is used for storage and preservation. The condition of the collections and archives should be reviewed periodically, and the expertise of conservators should be sought as needed.

Objects and archival materials in movement are the responsibility of collections and archives staff, as risk managers; they determine and arrange for the correct methods of handling, packing, transporting and couriering items. They must also consider borrowers' capabilities and facilities, identifying potential risks and complications and acting to reduce or eliminate them.

Collections and archives staff bear the responsibility for items in the custody of AHS, including their safe movement, temporary storage, and correct disposition, always treating items on loan, of whatever value, quality, or type, with the same care and respect given to items in the Society's collections and archives.

Collections and archives staff must complete condition reports in an honest and timely manner, be familiar with the terms of their insurance coverage, and ensure that the insurance reporting is accurate. In filing an insurance claim, all relevant circumstances of loss or damage must be disclosed, even if it appears that the Society is at fault.

ACQUISITION AND DISPOSAL

Stewardship of collections and archives entails the highest public trust and carries with it the presumption of rightful ownership, permanence, care, documentation, and accessibility. The Society must weigh carefully the interests of the public for which it holds collections in trust, the donor's broadest intentions, the interests of the scholarly and cultural communities, and the institution's own financial well-being in all matters related to acquisition and disposal of Society materials, ensuring that collections and archives in its custody:

- ❖ Support its mission and public trust responsibilities;
- ❖ Are protected, secure, unencumbered, cared for, and preserved;
- ❖ Are accounted for and documented;
- ❖ Are accessible within appropriate guidelines.

The Society must remain free to improve its collections and archives through selective disposal as well as acquisition. Objects and archival materials that lack provenance, no longer retain their physical integrity, are not authentic, or are no longer useful to the Society, may be removed from the

collections in accordance with the Collections Management Policy. Further, the Society must make every effort to ensure that disposal of collection and archival materials is solely for the advancement of the Society's mission through the enhancement of collections and archives and/or the long-term preservation of items of cultural significance.

Curatorial, archives, and administrative staff are best qualified to assess the pertinence of objects and archival materials to the Society's activities. Curators and archivists usually propose items for acquisition or disposal to the AHS staff Collections Review Committee for approval. Collections staff advice concerning the feasibility of storage, the risk of movement to the items under consideration, condition of the items, and certain legal aspects of the transaction, and they are responsible for obtaining documentation of the decision to acquire the object, the document transferring title of an object to the Society, and the receipt of delivery of items. Collections and archives staff should be aware of, and not contribute to, the violation of tax, wildlife, import or other laws and regulations governing acquisition of items by the Society and other institutions with which they are involved, and they should ensure that items acquired are appropriately insured by the Society.

The Society maintains a Collections Management Policy that details its policies regarding the acquisition and disposal of historical objects and archival materials. Objects and archival materials collected by AHS should be relevant to the Society's purposes and activities, be accompanied by a valid legal title, be conveyed preferably without restrictions (if restrictions are part of a conveyance then such restrictions must be clearly set forth in the instrument of conveyance), and be properly cataloged, conserved, stored, or exhibited. Acquisitions are subject to the approval procedures of the staff Collections Review Committee.

The Society will acquire or accept an object or archival materials only when it can determine with reasonable certainty that the items have not been derived from illicit trade and that acquisition does not contribute to the continuation of illicit trade in historical items. As a general rule, acceptance of a historical object as a gift from a dealer should be accompanied by documentation for review by the Collections Review Committee.

Staff must be cognizant of all laws (international, national, state, and local) affecting the acquisition of historical objects and archival materials in their areas of responsibility. They should not knowingly acquire, nor allow to be recommended for acquisition, any historical objects or archival materials that have been stolen or illegally imported into the United States in contravention of the applicable laws of the countries of origin or exporting countries and/or contravention of international treaties and international conventions. The provenance of all objects and archival materials should be sought and recorded.

While curators and archivists typically propose deaccessions, collections staff members monitor and document procedures, and should bring to the attention of the curators and archivists any items in irreparable condition, or that jeopardize the safety of the rest of the collections and archives. Collections staff should verify the Society's legal right to dispose of an item, and inform the curator or archivist, and other appropriate Society staff, of any restrictions attached to an item that may bear on its disposition.

Once all the proper approvals have been granted, and the object is disposed of, collections staff must amend all the related records to show the date of deaccession, the authority for it, and the method of disposal. Records should also show the disposition of any funds realized through sale, or any exchange acquired as a result of the deaccession. Donor credit for, and use of funds realized through, the sale of an object must comply with the policies of the AAM and AHS.

HUMAN REMAINS AND CULTURALLY SENSITIVE OBJECTS

AHS considers ongoing acquisitions of individually or culturally sensitive materials on a case-by-case basis according to issues of ownership, intellectual property rights, access, privacy, and cultural constraints and in compliance with the Native American Graves Protection and Repatriation Act of 1990. The exhibition, interpretation, and publication of such materials should be done with tact and respect for human dignity and, when possible, in consultation with the communities from which the materials originated. Staff must be tactful and responsible in giving access to collections of human remains and sacred objects, and must store, transport and care for these materials in a manner acceptable to the profession and to the cultures of origin.

APPRAISALS

No employee shall perform appraisals (of AHS or non-AHS objects) for the Society, its directors or committee members, lenders, other museums, or individuals (i.e. donors) for any reason.

Staff involved in gifts of historical objects or archival materials to the Society should be familiar with IRS Publication 526 dealing with the valuation of donated property, especially as concerns the material relating to charitable gifts of objects and the appraisal requirements as described in the instructions to IRS Form 8283.

The donor of a historical object or archival materials to the Society must secure their own appraisal at their own expense. The Society shall avoid any action that might appear to be an effort to assist the donor in securing an improper income tax deduction. The Society and its personnel shall also refrain from offering any tax advice to a donor or potential donor.

Staff may place a value on items acquired by or lent to the Society if the donor or lender fails to indicate an amount. Any values shown are for internal use only, primarily to ensure the proper management of insurance, and are not to be considered an appraisal by the Society. The Society's collections staff maintains a list of independent appraisers and may suggest, but not endorse, names upon request.

When choosing an appraiser, the Society should seek appraisers that are accredited members of organizations. An appraiser should be chosen on the basis of a minimum of three bids. Under no circumstances would the Society consider the services of an appraiser who has donated to the collection, or who has engaged in business with members of the staff. An appraisal must represent an honest and objective judgment, and must include an indication of how the determination was made.

COMMERCIAL USE

In developing the manufacture and sale of replicas, reproductions, or other commercial items adapted from an object in the Society's collections, all procedures must be carried out in a manner that will neither discredit the integrity of the Society, nor trivialize or damage the original object, and that will ensure accuracy and high quality of manufacture. Great care must be taken to identify such objects as reproductions.

AVAILABILITY OF COLLECTIONS, ARCHIVES, AND ASSOCIATED RECORDS

Although the public must have reasonable access to the collections and archives on a nondiscriminatory basis, the Society assumes as a primary responsibility the safeguarding of materials, and therefore must regulate access to them. Nevertheless, the collections and archives should be made available to the general public within regularly maintained open hours that are published periodically. Some parts of the collection may be set aside for the active scholarly pursuits of staff and scholars. Whenever possible, legitimate requests for information and/or the examination of objects should be honored. This access shall include loans to responsible institutions for exhibition purposes.

The records and documents that form a body of information pertaining to the collections, archives, and items on loan are the responsibility of the collections and archives staff. Those records comprise legal documents establishing ownership or loan status: records of accession, location, donor or vendor, exhibition and publication. They may also include photographs, licenses and permits, exhibition bond notices and historical records.

Collections and archives staff must maintain records that are meticulously complete, honest, orderly, retrievable and current. Records should be created in a timely manner and accurately dated, and must be stored in an archival and technologically sound and secure manner, both to ensure

their preservation and to prevent access by unauthorized persons. These records are used to protect the Society against the risk of lawsuits or loss through the use of valid documents such as gift, sales, loan and custody forms, and receipts, by implementing all aspects of insurance coverage for owned or borrowed items on the premises or in transit according to the terms of their insurance policy or indemnity, and by complying with pertinent laws and regulations governing such things as import and export or other movement of items, or rights and reproductions of items. Collections and archives staff, through the records maintained, are accountable for the objects in the custody of AHS, and must be able to provide current information on each object, its location, status and condition.

Collections and archives staff are responsible for creating and maintaining accurate records and updating them in light of new research, and for ensuring that the records reflect the facts insofar as they are known. Records constitute part of a Society's accountability to the public. Collections and archives staff must ensure that sensitive or confidential material in the Society's records is not accessible to unauthorized persons. When in doubt, staff should consult the executive director.

The Society security arrangements should never be discussed outside the organization. All internal discussion should be limited to a need-to-know basis.

Staff who care for collections and archives staff are visible to the public. Because of their access to confidential matters and information, it is incumbent upon staff to be discrete and cautious in all their communications or actions to preserve the integrity of the Society. Collections and archives staff are not to give, for a fee or on a retainer, any certificate or statement as to the authenticity of an object, or any statement of the monetary value of a historical object, except where authorized by, and in accordance with, the lawful purposes of their own or other non-profit institutions or government agencies, and they must never abuse their access to information and to other Society assets by using them to personal advantage.

Because of their experience and responsibility as risk managers, registrars are often regarded as authorities in the care and transport of valuable or problematic objects. They must guard against giving the impression that the Society endorses the services of any specific vendor or supplier.

When the registrar offers a suggestion for the services of conservators, appraisers, packers, shippers, customs brokers or others, whenever possible registrars should offer the names of multiple qualified vendors to avoid any appearance of favoritism.

INTERPRETATION AND DISSEMINATION

The Society serves the public through its exhibitions, scholarship, education programs, public events and other activities, and is committed to ensuring that these:

- ❖ Support its mission and remain relevant and responsive to the interests and concerns of the widest possible spectrum of residents of Arizona
- ❖ Are intellectually responsible, founded on objective scholarship, and consistent with the most current knowledge and research
- ❖ Are accessible and encourage participation of the widest possible audience consistent with its mission and resources
- ❖ Respect the cultural diversity, pluralistic values, traditions, and concerns of our region
- ❖ Promote the public-good rather than individual financial gain.

DEFINITIONS

CURATORS AND EDUCATORS

Curators and educators are responsible for the accuracy of their research and interpretation, and for the content of written and oral educational material pertaining to the collections and archives, whether delivered or prepared by themselves or by others, including docents and volunteers. They have a responsibility to an object's creator(s) and should present the creator's perspective and the object's cultural context as accurately and as sensitively as possible. All projects at AHS are subject to management decisions. While expected to comply with such decisions, curators and educators are not required to reverse, alter, or suppress their professional judgment.

An educator is a specialist in the fields of history, museum education, or material culture, and is responsible for all educational materials, programs and projects that relate to the collections and archives, temporary exhibitions, and/or related activities. Educators develop and preserve thorough, up-to-date comprehensible educational information.

A curator may be a specialist or a generalist in a field related to the collection in their care and is responsible for the overall well-being and scope of that collection, including acquisition and disposal, preservation and access, interpretation and exhibition, and research and publication.

As authorities concerning the collection under their care, curators develop and preserve thorough, up-to-date, comprehensive information about those collections. They work in cooperation with collections and archives staff to ensure that items and related documentation are well maintained.

Based on their expertise, curators offer guidance in order that the institution not suffer legally, financially, scientifically, or aesthetically through acquisition or disposal of objects from collections.

They usually initiate the acquisition and disposal of objects under their care and must adhere to the acquisition and disposal policies of the Society. Curators should review the objects in the Society's collections periodically to assess their continued relevance and to evaluate their physical care.

Curators are not to give, for a fee or on a retainer, any certificate or statement as to the authenticity or authorship of a historical object, or any statement of the monetary value of a historical object, except where authorized by, and in accordance with, the lawful purposes of their own or other non-profit institutions or government agencies. Curators must never abuse their access to information and to other Society assets by using them to personal advantage.

MUSEUM STORES

Museum stores are primarily an extension of the educational aspect of their institution. A national Museum Store Association promotes professional standards and to foster a climate of integrity within the museum store profession. The use of the term "museum stores" has specific meaning which carries important obligations to the public to ensure quality and authenticity.

Reproductions, replicas, and derived products sold in AHS stores must be carefully regulated because of the ease with which the public may misperceive them. The use of standardized terminology in the production, promotion and sale of reproductions, replicas, and derived products, is indispensable. All reproductions and replicas must be clearly identified as such. Advertising which implies that reproductions are in fact original works is unethical, misleading, and in some instances illegal. Likewise, any representation, which suggests that the value of a reproduction appreciates, is unacceptable.

The sale of any deaccessioned material through the Society stores is prohibited. Even though the item may have been properly deaccessioned, the public may perceive the transaction as AHS stores participating in the liquidation of the Society's collection. Therefore, no deaccessioned items should ever be sold through the Society stores.

APPENDIX A

STATE BOARD OF DIRECTORS POLICY MANUAL EXCERPTS

Part IV. Board Activities

Policy #7 | Title: Board Activities

(State Board of Directors Policy Manual, azhs.org)

7.1 CODE OF ETHICS

Introduction

- ❖ The Society is both a non-profit educational corporation and an agency of the state of Arizona. Accordingly, the members of the Board and its officers are subject to the “Code of Ethics for State Service” detailed in the State of Arizona Personnel Rules. Further, all officers and Board members of the Society are “fiduciaries” of the state of Arizona. The word contemplates trust, confidence and good faith above and beyond the legal obligation as a basis of the relationship. This means that in all activities pertaining to the business of the Society, the officers and Board members work primarily for the benefit of the state of Arizona.
- ❖ The Board is a governing board and is ultimately responsible for the Society and for the protection and nurturing of its various assets, including the collections and related records, facilities, financial assets, and the well-being of the staff. The Board is obliged to develop and define the policies of the Society as they relate, complement and underscore the statutes and regulations of the state of Arizona. The Board must ensure that all the Society’s assets are properly and effectively used for the benefit of the State and the public.
- ❖ The Board is obligated to ensure that best practices are followed for the physical security and preservation of the collections, to monitor and develop the financial structure that ensures the Society’s long-term viability.
- ❖ In fulfilling these obligations, the Board is obliged to adhere to an ethical code of conduct. Everyone, whether director, employee, or volunteer, should use the guidelines set forth in this code of conduct to focus his or her attention on ethical issues as they may arise.
- ❖ Individual Board members, employees, and volunteers are ethically obligated to ensure that they, or others on their behalf, do not violate the principles of the code of conduct, and to ensure, as far as possible, that the acts of others do not place anyone connected with the Society in a position of compromise.

7.2 GENERAL DEPARTMENT

- ❖ Members of the Board are expected to act with integrity and objectivity and in accordance with the most stringent ethical principles. Board members are expected to exercise independent professional judgment comparable with professionals in other disciplines. As a public institution, Board members are never completely separable from the institution.
- ❖ Any institution-related action by an individual officer or Board member may reflect on the Society or may be attributed to it. Board members must be concerned not only with the true personal motivations and interests as they see them, but also the way in which the public might construe such actions.

7.3 CONFLICTS OF INTEREST

- ❖ Board members should never abuse their official position. Board members must accept, as conditions of service, the necessary restrictions to maintain public confidence in the Society and in the historical profession. Board members will not act in their individual capacities unless as expressly authorized by the Board. Board members will work for the Society as a whole and not solely as an advocate for activities of sub-units of the institution.
- ❖ Board members must maintain, in confidence, information regarding the Society when that information is not generally available to the public. The Board members will never take personal advantage of information available to them because of their board service. Should conflict develop between the needs of the individual and the institution, those of the Society will, in all cases, prevail.
- ❖ Board members shall conduct their activities, including those relating to immediate family members or business associates, in such a way that no conflict will arise between the interests of the other entities and the policies, operations, or interests of the Society.

APPENDIX A, continued

- ❖ Board members seeking personal assistance from other staff, board members, or volunteers should not expect that such assistance will be rendered to an extent greater than that available to a member of the general public in similar circumstances or with similar needs.
- ❖ Board members will not accept gifts, favors, discounts, loans, other dispensation, or things of value that might accrue to them from other parties in connection with carrying out their duties for the Society.
- ❖ Board members whose individual interests, or the interests of their immediate family members or business associates, conflict or appear to conflict with the interests of the Society, shall make these interests a matter of record. The Board, by majority decision, will then determine the proper course of action in each individual case where there may be an actual or apparent conflict of interest.

7.4 PROPERTY OF THE INSTITUTION

- ❖ Board members may only use the property of the Society for official purposes and make no personal use of the collections, property or services in a manner unavailable to a member or the general public. They, or individuals who might act for them, will not acquire objects from the collections of the Society, except when the object and its source have been advertised, its full history made available, and sold at public auction or otherwise clearly offered for sale in the public marketplace.

7.5 PERSONAL COLLECTIONS

- ❖ Board members must disclose all circumstances regarding personal collections and collecting activities that parallel or compete with the collecting of the Society.
- ❖ Board members must not use any object that is part of the Society's collection or under the guardianship of the Society in their homes or for any other personal purpose.

APPENDIX B

AHS COLLECTIONS MANAGEMENT POLICY EXCERPTS

(AHS Collections Management Policy, azhs.org)

DEACCESSIONS

AHS periodically deaccessions and disposes of collections items. The term “deaccession” refers to the internal procedural steps by which a collections object may be removed from the official inventoried permanent collection of AHS. Any deaccession of a work should be solely for the advancement of AHS’s mission. The term “disposal” refers to the sale, exchange, or other transfer of the item.

AHS may deaccession collections items because:

- ❖ The item is no longer relevant to the mission of AHS.
- ❖ The item is redundant and not necessary for research.
- ❖ The item is in poor physical condition, whether through accidental damage, deterioration, infestation or inherent vice (the quality of a material or an object to self-destruct or to be unusually difficult to maintain) and is beyond restoration to a level suitable for public display, scholarly use or other appropriate AHS purposes.
- ❖ The item is a danger to human health or to other items in the collection.
- ❖ AHS is unable to preserve or store the item in a responsible manner.
- ❖ AHS is ordered to return an object to its original and rightful owner by a court of law; AHS determines that another entity is the rightful owner of the object; or AHS determines that the return of the object is in the best interest of the institution.

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

Funds designated for “direct care of collections” shall be used in ways that will make a physical or immediate impact on an object or objects that increases or restores its cultural value, thus prolonging its life and usefulness. These funds shall be maintained in a separate restricted account. Proposed uses of these funds shall be considered and approved by the staff Collections Review Committee, in accordance with the American Alliance of Museums’ “Direct Care of Collections” Ethics, Guidelines, and Recommendations of 2016.

PERSONAL COLLECTING

The acquiring, collecting and owning of historic materials is not in itself unethical and can enhance professional knowledge and judgment. However, the acquisition, maintenance and management of a personal collection by an AHS employee or Board member can create ethical questions. Extreme care is required whenever an employee or Board member collects historic materials similar to those collected by AHS.

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

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

Members of the AHS staff and boards will sign a non-competition ethics statement.

APPENDIX C

STATE OF ARIZONA EMPLOYEE HANDBOOK EXCERPTS

(State of Arizona Employee Handbook, <https://hr.az.gov/ADOA-Policies>)

EQUAL OPPORTUNITY EMPLOYMENT

It is the State of Arizona's policy to provide equal employment opportunity to all without regard to race, color, religion, sex, age, national origin, disability, genetic information, pregnancy, military or veteran status, or any other status protected by law. All individuals are to be treated in a fair and non-discriminatory manner throughout the employment process.

CONFLICT OF INTEREST

Arizona Revised Statutes (A.R.S.) §§ 38-SOI through 38-SIO and State Personnel Rules place some restrictions with which employees must comply regarding business interests, outside (secondary) employment and employment of relatives. To ensure compliance with the provisions of these laws and rules, you are required to make an initial disclosure when first employed by the State and any time there is a change.

OUTSIDE EMPLOYMENT

A State employee is not to engage in outside or secondary employment or other activity that is not compatible with the full and proper discharge of the employee's duties and responsibilities.

STATE PROPERTY

State property is made available to employees to assist them in the performance of their job duties. Property which the State furnishes for your use in conducting State business includes, but is not limited to: phones, copy and fax machines, cameras, radios, email services, personal computers, access to the Internet, and vehicles.

Preventing the loss, damage, misuse or theft of State property is the responsibility of each employee. If you have State property in your personal possession, reasonable precautions should be taken to ensure its security. In the case of loss or damage, you must report the loss or damage to your supervisor/manager in accordance with your agency's policies and procedures.

Arizona Revised Statute (A.R.S.) § 38-448 specifically prohibits State employees from using agency owned or agency leased computer equipment to access, download, print or store any pornographic material.

Any use of State property for other than State-business purposes must be exercised in accordance with your agency's policies and procedures.

POLITICAL ACTIVITIES

Arizona Revised Statute (A.R.S.) § 41-752 regulates the political activities of State officers and employees. The full text of this law is copied below:

- A.** Except/or expressing an opinion or pursuant to section 16-402, an employee shall not engage in any activities permitted by this section while on duty, while in uniform or at public expense.
- B.** An employee shall not:
 - 1.** Use any political endorsement in connection with any appointment to a position in the state personnel system.
 - 2.** Use or promise to use any official authority or influence for the purpose of influencing the vote or political action of any person or for any consideration.
- C.** An employee, a member of the state personnel board or a member of the law enforcement merit system council shall not be a member of any national, state or local committee of a political party, an officer or chairperson of a committee of a partisan political club or a candidate for nomination or election to any paid public office, shall not hold any paid, elective public office or shall not take any part in the management or affairs of any political party or in the management of any partisan or nonpartisan campaign or recall effort, except that any employee may:
 - 1.** Express an opinion.
 - 2.** Attend meetings for the purpose of becoming informed concerning the candidates for public office and the political issues.
 - 3.** Cast a vote and sign nomination or recall petitions.
 - 4.** Make contributions to candidates, political parties or campaign committees contributing to candidates or advocating the election or defeat of candidates.
 - 5.** Circulate candidate nomination petitions or recall petitions.
 - 6.** Engage in activities to advocate the election or defeat of any candidate.
 - 7.** Solicit or encourage contributions to be made directly to candidates or campaign committees contributing to candidates or advocating the election or defeat of candidates.

APPENDIX C, continued

D. A person shall not:

1. Solicit any employee, member of the state personnel board or member of the law enforcement merit system council to engage or not engage in activities permitted by this section with the direct or indirect use of any threat, intimidation or coercion, including threats of discrimination, reprisal, force or any other adverse consequence, including the loss of any benefit, reward, promotion, advancement or compensation.
2. Subject any employee, member of the state personnel board or member of the law enforcement merit system council engaging in activity permitted by this section to any direct or indirect discrimination, reprisal, force, coercion or intimidation or any other adverse consequence, including the loss of any benefit, reward, promotion, advancement or compensation.
3. Subject any employee, member of the state personnel board or member of the law enforcement merit system council who chooses not to engage in any activity permitted by this section to any direct or indirect discrimination, reprisal, force, coercion or intimidation or any other adverse consequence, including the loss of any benefit, reward, promotion, advancement or compensation.

E. Subsections 8 and C of this section do not apply to those employees listed in section 41-742, subsection F.

F. This section does not apply to school board elections or community college district governing board elections, and an employee may serve as a member of the governing board of a common or high school district, as a member of a community college district governing board or in the office of precinct committeeman.

G. An employee who violates any of the provisions of this section is subject to suspension of not less than thirty days or dismissal.

H. A person who violates:

1. Subsection D of this section is guilty of a class 6 felony.
2. Any other provision of this section is guilty of a class 1 misdemeanor.

I. In addition to any other penalty, any person soliciting or encouraging a contribution in a manner prohibited by this section is subject to a civil penalty of up to three times the amount of the contribution solicited or encouraged plus costs, expenses and reasonable attorney fees.

J. This section does not deny any employee or board member any civil or political liberties as guaranteed by the United States and Arizona Constitutions.

K. It is the public policy of this state, reflected in this section, that government programs be administered in an unbiased manner and without favoritism for or against any political party or group or any member in order to promote public confidence in government, governmental integrity and the efficient delivery of governmental services and to ensure that all employees are free from any express or implied requirement or any political or other pressure of any kind to engage or not engage in any activity permitted by this section.

Toward this end, any person or entity charged with the interpretation of this section shall take into account the policy of this section and shall construe any of its provisions accordingly.

ARIZONA HISTORICAL SOCIETY CODE OF ETHICS ACKNOWLEDGMENT

RECEIPT AND REVIEW

I hereby acknowledge that I have received a copy of the Arizona Historical Society Code of Ethics. An authorized staff member has reviewed the content with me.

Name (please print)

Signature

Date

Authorized signatory name (please print)

Signature

Date

A signed copy of this Code will be kept on file with the AHS human resources liaison.



Connecting people through the power of Arizona's history.

azhs.org