

Gallery Program Code of Ethics DePauw University

I. Introduction

In recognition of its public responsibility, the Gallery Program and University Collections at DePauw University (herein referred to simply as the “Gallery Program”) endorses and upholds the highest ideals and concepts of ethical and professional practices. Those standards and commitments are defined in this Code of Ethics. It is intended to serve as a guide for the institution and all associated faculty, staff, students, trustees, and volunteers.

Premise

The Gallery Program’s collection is a public and academic educational program that collects, documents, preserves, and interprets objects, and disseminates the knowledge gained from them to serve society. To promote public trust, high standards of operation and behavior are necessary at all levels of the Gallery Program, including individual members of governing bodies, subdivisions and associations, volunteers, and staff. Maintaining these standards is a collective and individual effort.

As an institution actively involved with the training of future museum professionals, the Gallery Program has an added responsibility to students and the professional community to follow the recognized standards of the profession. For this reason, principles expressed in the Code of Ethics of the American Alliance of Museums (AAM), the Association of Academic Museums and Galleries (AAMG), and the International Council of Museums (ICOM) are endorsed and adapted as part of the Code of Ethics of the Gallery Program. This Code of Ethics is applicable to all parties and individuals associated with the Gallery Program and the University.

Statement Of Position

Scope: This Code of Ethics pertains to all governing bodies, faculty and staff members, students, volunteers, and support and/or associated groups of the Gallery Program.

Authority Recognition: This Code of Ethics is superseded by all laws, regulations, and international agreements of the United States and the State of Indiana. Within this framework, this Code of Ethics is also superseded by the general policies and regulations of the University and specific regulations applicable to certain individuals, such as students and faculty.

Endorsements in Principle: This Code of Ethics endorses in principle the guidelines of the International Council of Museums and the American Alliance of Museums. Within this framework, this Code of Ethics also endorses in principle the guidelines established by those disciplines and/or professions that are recognized as having affiliations with museums in the United States.

In situations where differences may occur, the interests of the Gallery Program will take precedence over the guidelines endorsed in principle.

Implementation: This Code of Ethics serves as the umbrella for the mission and policies of the Gallery Program. The policies, established by the governing body of the Gallery Program, are carried out under the guidance and supervision of its designated representative, the Director/Curator. The development of associated procedures is generally the responsibility of the Director/Curator and designated staff.

Periodic Review and Interpretation: An Ethics Committee, appointed by the Director/Curator, addresses any recommended changes of this document and resolves any issues raised about its interpretation. This Code of Ethics is reviewed at least every five years, and amended as needed.

II. Governance: General Responsibility

Administration

The University's Board of Trustees and the University's academic administration, in the persons of the President and the Vice President for Academic Affairs, is the governing authority for the Gallery Program. The governing body serves all parts of the Gallery Program as well as the faculty, staff, students, visitors, and support and/or associated groups of the Gallery Program. While the governing body has the responsibility of serving these parties, it must also insure that all activities are in agreement with federal, state, and University regulations, as well as the mission and policies established for the Gallery Program.

Agreements and Contracts

The governing body, through its designated representative, the Director/Curator, reserves the right to negotiate and involve the Gallery Program with corporations, agencies, or other outside parties in projects and programs which have mutual interest. The governing body will not obligate the Gallery Program to projects or programs that do not serve DePauw University's interests, or to situations that compromise the resources needed for ongoing activities related to the Gallery Program's primary functions.

Fiscal Matters

The governing body is responsible for using budgeted funds and resources to serve the interests of the Gallery Program and its mission, in a manner that provides an appropriate balance of allocations for staff, collections, facilities, equipment, programs, services, and other gallery and collection functions. In all fiscal matters, the governing body, through its agents, maintains full documentation and accountability for resource expenditures.

Personnel

The governing body recognizes the greatest asset of the Gallery Program is its staff, and that the quality of the staff is directly related to the Gallery Program's ability to build and maintain collections, conduct research, develop exhibit and education programs for public and academic audiences, and perform ongoing services. For this reason, the governing body, acting through the Director/Curator, is responsible for providing job descriptions, hiring qualified staff, providing training and career enhancement opportunities, supporting adherence to the Code of Ethics, providing resources to perform jobs, conducting periodic performance reviews and evaluations, and developing work environments that are in agreement with federal, state, and University regulations that address health, safety, and personnel issues.

Collections

The governing body recognizes that the collections are the foundation of the Gallery Program's functions. The governing body recognizes that the possession of these collections incurs legal and ethical obligations to provide proper housing, management, and care for the collections and associated documentation. For these reasons, the governing body, acting through the Director/Curator, is responsible for assuring that the scope of each collection agrees with the Gallery Program's mission, that collection growth

is balanced with available resources, and that appropriate allocation is made of personnel, facilities, equipment, services, and support to address the ongoing needs of each collection.

Audiences

The governing body recognizes the importance of serving both public and academic audiences, and that these audiences help justify financial support from federal, state, local, and private sources. For this reason, the Gallery Program establishes activities that serve its broad constituency; is a facility that provides a responsive, safe, and comfortable environment; and, is a resource for accurate information. The Gallery Program is particularly sensitive to dealing properly with cultural, social, and legal issues, such as due respect for human remains, handicap access, and religious and cultural diversity.

III. Collections

Statement

Collections are developed, managed, and conserved for use in research, exhibits, and/or education programs for public and academic audiences. To ensure these collections will be available for future generations, utilization is balanced with current preservation standards and practices.

Acquisition

The growth and development of collections adheres to the Mission Statement, Scope of Collections, and Acquisition Policy of the Gallery Program, particularly to legal and ethical acquisition, clear ownership, provenance, condition, value, need, and ability to provide proper long-term care. The Gallery Program is committed to continued growth and development of collections, in a manner that reflects quality and relevance over quantity. New acquisitions will emphasize collection integrity, object integrity, and maximum associated information.

Management, Care, and Use

The management, care, and use of these collections follow the Collections Management Policy of the Gallery Program, such as for security, loans, object utilization, integrated pest management, emergency preparedness, and preventive conservation. Implementation of the Collection Management Policy is based on written procedures that:

- 1) meet museum and academic standards for the respective collections;
- 2) include specifications for providing proper care with respect to environment, housing, and handling, and;
- 3) incorporate all parts of the collection, including objects, associated data, collection records, reference material, and specialized collections.

Disposal

The disposal of accessioned collection objects follows the Deaccession section of the Collections Management Policy of the Gallery Program and written procedures for policy implementation. All deaccessioned material is approved by the Collections Committee, documented fully, clearly justified, disposed of appropriately, and free from problems of ownership, conflict of interest, and ethical and legal issues. No personal gain resulting from deaccessioned material is to be realized by any individual having affiliations with the Gallery Program or the University. Furthermore, any funds realized from deaccessioned objects may **only** be used to acquire additional artworks for the collection.

Financial Management and Capitalization of Collections

As adopted by the Association of Art Museum Directors (AAMD) and the Association of Academic Museums and Galleries, DePauw University¹ shall not capitalize art collection holdings on its financial statements. As per the AAMD:

¹ Approved by the Audit Committee Chair on January 21, 2015. Effective with the June 30, 2015 financial statements.

The collections the museum holds in public trust are not financial assets and may not be converted to cash for operating or capital needs. No collection or portion thereof may be pledged as collateral for a loan, except that a museum may grant a security interest in a work that it is acquiring in order to secure the payment of the balance of the purchase price. To present fairly the museum's financial position, collections should not be capitalized. (For further guidance 12. professional practices in art museums and reference to applicable accounting standards, see appendix b, p. 20, paragraph d.). Likewise, no funds established for future art acquisitions (endowment or otherwise) should be pledged as collateral for loans. Member organizations should follow applicable accounting standards regarding the use of restricted funds and honor donor intent regarding the establishment and use of such funds

Furthermore, the American Alliance of Museums (AAM) makes it clear that accreditation shall not be granted to institutions with capitalized collections. Institutions that engage in this accounting practice shall be in direct violation of the AAM's code of ethics:

There is increasing pressure on museums to capitalize their collections and to use them as collateral for financial loans to the museum. The Alliance's Code of Ethics for Museums requires that collections be "unencumbered," which means that collections cannot be used as collateral for a loan. The AAMD code of ethics also precludes using collections as collateral, and further bars museums from capitalizing collections. The AASLH has also issued a position statement that declares that capitalizing collections is unethical.

IV. Conduct of Individuals

Statement

This Code of Ethics pertains to all governing bodies, faculty and staff members, students, volunteers, and support and/or associated groups of the Gallery Program.

Responsibility of the Gallery Program

Code of Ethics, Policies, and Procedures: Individuals having an affiliation with the Gallery Program are expected to be familiar with and to abide by the Code of Ethics, Policies, and Procedures adopted by the Gallery Program.

Duties and Responsibilities: Individuals having an affiliation with the Gallery Program are expected to fulfill all duties and responsibilities of their designated position and written job description, in a timely and professional manner.

Use of Resources: All resources of the Gallery Program, including personnel, salaried-time, facilities, collections, images, equipment, supplies and funds serve the interests and purposes of the Gallery Program. Unauthorized use of these resources by any individual, strictly for personal benefit, is ethically irresponsible and may be regarded as a conflict of interest, fraud, or theft.

Discretion and Confidentiality: Individuals affiliated with the Gallery Program have unique responsibilities related to maintaining the Gallery Program's image, trust, and credibility to its public and academic audiences. For this reason, affiliated individuals must:

- 1) properly represent the Gallery Program and their position when interacting with others;
- 2) exercise professional discretion about activities and concerns of the Gallery Program, and;
- 3) hold in confidence relevant information concerning matters such as collections, personnel, and security.

Conflict of Interest: Individuals having an affiliation with the Gallery Program must avoid situations that may be construed as a conflict of interest. Concerns about potential conflicts of interest will be conveyed immediately to the appropriate University authority. The purpose of this concern is to prevent the actual or perceived conflict between personal collecting and the objectives of the Gallery Program. Potential conflicts of interest include:

- 1) personal collecting within the curatorial collection areas of the Gallery Program;
- 2) using Gallery Program affiliation, Gallery Program resources, or the influence of one's position in unauthorized ways solely for personal benefit, or to serve solely the interests of persons outside the Gallery Program;
- 3) placing the Gallery Program in a situation that compromises its mission, policies, functions, practices, or philosophies;
- 4) placing the Gallery Program in a situation that it unduly competes with outside parties, and;
- 5) participating in other employment that compromises one's capability to perform in a timely and professional manner.

Responsibility To Collections

Integrity of Information: The Gallery Program's ability to serve its public and academic audiences is dependent on the quality and accuracy of available information. Such information includes object and collection documentation, personal communications, formal presentation, written correspondence, publication, exhibits, and educational programs. For this reason, individuals affiliated with the Gallery Program will maintain information integrity with respect to accuracy and completeness.

Integrity of Preservation: The Gallery Program's ability to perform its functions is dependent on the quality of object preservation and conservation. Individuals affiliated with the Gallery Program will demonstrate respect for the object by following professional museum preservation procedures, providing protection from agents of deterioration, providing proper housing, and exercising safe handling.

Integrity of Operations: Individuals affiliated with the Gallery Program collections will be knowledgeable about their respective collection(s), museum and academic standards related to their collection(s), and changes in philosophies and practices for properly managing and caring for the collection(s).

Responsibility To Other Individuals

Public and Academic Audiences: Individuals affiliated with the Gallery Program will be responsive to the Gallery Program's public and academic audiences, and treat each individual with professional courtesy.

Professional Associates: Individuals affiliated with the Gallery Program will be responsive and cooperative with professional associates outside of the Gallery Program organization.

Gallery Program Affiliates: Individuals affiliated with the Gallery Program (e.g., volunteers, students, administration) will respect the property and rights of one another. Individuals will acknowledge the roles and responsibilities of each other, and will cooperate as needed to promote the mission, functions, services, programs, and image of the Gallery Program. Supervisors and faculty are responsible for the actions of the individuals under their direction and will take an active role in providing direction, instruction, communication, and group cooperation.

DePauw University Code of Ethics: Policy for the Promotion of Ethical Conduct

As a nonprofit organization at the forefront of undergraduate liberal arts education, DePauw University's policy is to uphold the highest legal, ethical, and moral standards. DePauw's donors and volunteers support DePauw University because they trust the University to be good stewards of their resources and to uphold rigorous standards of conduct. DePauw's reputation for integrity and excellence requires the careful observance of all applicable laws and regulations, as well as a scrupulous regard for the highest standards of conduct and personal integrity.

DePauw University will comply with all applicable laws and regulations and expects its trustees, officers, and employees to conduct business in accordance with the letter and spirit of all relevant laws; to refrain from any illegal, dishonest, or unethical conduct; to act in a professional, businesslike manner; and to treat others with respect. Trustees and officers should not use their positions to obtain unreasonable or excessive services or expertise from DePauw University's faculty and staff.

In general, the use of good judgment based on high ethical principles will guide trustees, officers, and employees with respect to lines of acceptable conduct. However, if a situation arises where it is difficult to determine the proper course of conduct, or where questions arise concerning the propriety of certain conduct by an individual or others, the matter should be brought to the attention of DePauw University. Employees should contact their immediate supervisor and, if necessary, the Director of Human Resources. Board members should raise any such concerns with their Committee Chair or the Secretary of the University's Board of Trustees. Infractions of this Policy for the Promotion of Ethical Conduct are to be reported as set forth in DePauw University's Policy for Reporting Fraudulent, Dishonest, or Unlawful Behavior.

Endorsed by the Audit and Risk Management Committee – April 19, 2007