

**BIODIVERSITY INSTITUTE
THE UNIVERSITY OF KANSAS**

Acquisition Policies and Procedures

Introduction and Definitions

Accession Policy

Terms of Acceptance of Accessions

Accession Procedure

Accession Record

Accession Checklist

Deed of Transfer

Acceptable Substitute Documentation

Repository Agreement Policy

Repository Agreement Procedure

Appendix A. References

Appendix B. Filing 3-177 Declarations

Appendix C. Legal Definitions

Appendix D. Checklists and Forms

1. Specimen Acquisition Checklist
2. Accession Checklist
3. Deed of Transfer
4. Repository Checklist

Appendix E. Guidelines for Repository Agreements

BIODIVERSITY INSTITUTE THE UNIVERSITY OF KANSAS

Acquisition Policies and Procedures

INTRODUCTION and DEFINITIONS

The University of Kansas Biodiversity Institute acquires specimens for its collections by accession or by means of repository agreements. In an accession, ownership of a collection is transferred to the institute. Under the terms of a repository agreement, the institute takes custody of a collection and provides curatorial services for the collection in accordance with a written agreement.

The word *accession* is defined in legal terms as: “a. The addition to or increase in value of property by means of improvements or natural growth. b. The right of a proprietor to ownership of such addition or increase.”

An *accession* is a specimen or group of specimens received from a single source, usually at one time, for which the institute has custody, right, or title. Thus, 400 specimens collected on one field trip to Canada, a single fossil from the Kansas River, or all birds from Kansas obtained by salvage during the calendar year could each be treated as one accession.

Accessioning is the formal process by which a specimen or object is legally accepted and recorded as an institute item. *Accessioning* includes the process of the registration of specimens or objects in the institute, including the preparation and archiving of appropriate documentation.

To *accession* is to record and process an addition to the permanent collection. The accession process establishes the institute’s legal claim to the specimen. It involves the creation of an immediate, brief, and permanent record, with a control number or other unique identifier, for specimens or objects added to the collection. The accession process does three things: (1) it assigns a unique accession number to a specimen or group of specimens; (2) it describes (identifies) the specimens; (3) it establishes the provenance or the history of the specimens. The institute should not accession specimens or objects until it is feasible legally and financially to possess them. Specimens received by the institute and held pending an accession decision are not considered institute property.

An *accession number* is assigned to each specimen or group of specimens as part of the accession process. This number is used to relate all documentation and other records to that accession. The accession number also is included in the catalog entry for each specimen in the accession. All correspondence relating to an accession must be identified by the accession number. The accession numbers used by the Biodiversity Institute are unique, compound, sequential numbers (e.g., 2009-HR-001). Accession numbers are assigned by the institute director or the director’s designee.

The *accession record* contains the essential information describing the transactions through which the institute acquires specimens. An accession record consists of archival documents (e.g., the accession form, permits, letters, *Deed of Transfer* form, and other appropriate documentation maintained by the collections manager of each division, and the accession database maintained by the institute administration). The accession record is part of the permanent documentation of the institute.

Specimens may not be cataloged until they have been accessioned (assigned an accession number by the administration). Catalog numbers may not be “reserved” for unaccessioned specimens, as reserving a catalog number constitutes the first step in cataloging a specimen.

Specimens received on loan or under a repository agreement may not be accessioned. A loan is defined as specimens or objects that have been loaned to the institute by the owner. The institute is responsible for the care and return of specimens or objects on loan, but cannot take possession of them unless the lender provides the documentation necessary to convert the loan to a gift, purchase, exchange, etc. Specimens received as part of a repository agreement are not accessioned (because ownership is not transferred), but may be cataloged.

All accessions of specimens of wildlife originating both inside and outside the US are subject to the limitations of the Lacey Act. Under the terms of the Lacey Act, the term *wildlife* includes arthropods and all other invertebrates, as well as vertebrates. All institute specimens may be subject to one or more laws or regulations at state, national or international levels.

Deaccessioning is the process of permanently removing accessioned materials from the collections.

A *specimen* is a whole plant or animal or any part of a plant or animal, including all genetic material and fossils (see Appendix C).

A *repository agreement* is a written contract that transfers specimens to the institute, allows the institute to provide curatorial services for the specimens and to use the specimens for research purposes, but does not transfer ownership of the specimens to the institute. The repository agreement establishes the time period for the deposit of the specimens, describes standards of collection care and management, and specifies what rights and privileges (which may include compensation) the institute will receive for the services it provides.

ACCESSION POLICY

The following is the *Accession Policy of the KU Biodiversity Institute*.

The Biodiversity Institute acquires specimens by field collection, exchange, gift, purchase, bequest, contract, abandonment, or other appropriate means. The institute is responsible for maintaining and conserving the specimens in collections in perpetuity as a public trust. For this reason, the institute accepts and acquires only those specimens for which it can provide proper care, conservation, and storage.

Individual staff members and students act as agents for the institute when collecting specimens, but individuals do not own the specimens that they collect.

Decisions concerning which specimens to accept for the collections are made by the appropriate curator-in-charge. Each division is responsible for the direction of growth of its collections. In general, collection acquisition is focused by research and tailored to resources.

All specimens accessioned and cataloged by the institute must be obtained legally. All specimens should be documented with the necessary permits and licenses, and/or other documentation to show that they have been collected, and/or imported in full compliance with applicable laws and regulations. The institute may accept specimens that have been confiscated by government authorities. The institute adheres to the CITES convention and follows appropriate USFWS regulations.

Title to all objects acquired for the collections should be obtained free and clear, without restrictions on use, exhibition, loan, dispersal, or future disposition.

All specimens obtained by exchange, donation, or purchase are documented by an invoice (the *Accession Checklist*) that documents that the specimens have (as far as can be determined) been legally obtained. The Accession Checklist is signed by a member of the curatorial staff (usually the collections manager) and a copy is kept on file as part of the permanent records of the appropriate division.

The institute cannot and will not guarantee that donated specimens will be placed on long-term or permanent exhibition, that they will be exhibited or housed intact as a single collection, or that they will not be deaccessioned.

If a specimen of unknown origin or uncertain status is brought to the institute, the specimen may be temporarily held for safekeeping. The appropriate state or federal authorities should be notified at once. The specimen is not to be accessioned and cataloged into the collection until after the authorizing documentation has been obtained from the government authorities.

Terms of Acceptance of Accessions

1. All donations, exchanges, gifts, purchases, bequests, and receipt of specimens or objects from regular museum field work are considered outright and unconditional accessions to be used at the institute's discretion. The *Deed of Transfer* (or acceptable substitute documentation) legally transfers the ownership of all specimens and/or objects listed on the accession form(s) to the University of Kansas Biodiversity Institute. By the execution of the *Deed of Transfer* (or acceptable substitute documentation) the agent agrees to these terms of transfer.
2. The University of Kansas Biodiversity Institute does not promise, and is in no way obliged, to exhibit or restrict the use of these specimens and/or objects and may deaccession or dispose of these specimens and/or objects, if appropriate.
3. Donations to the University of Kansas Biodiversity Institute may be tax deductible but the institute cannot provide appraisals of donations.
4. The University of Kansas Biodiversity Institute shall have the absolute and unconditional ownership of the specimens and/or objects listed on the *Deed of Transfer* (or acceptable substitute documentation).

Accession files are maintained by the collections manager (or appropriate staff member) of each division. Originals or copies of all documentation pertinent to each accession must be given to the collections manager of the appropriate division. When all necessary documentation is in hand, the collections manager obtains an accession number from the institute director or the director's designee. **No specimen may be cataloged into any collection in the institute until the accession process is complete.** The accession process consists of: (1) receipt of the specimens; (2) confirmation that originals or copies of all necessary documentation for the legal acquisition of the accession are in hand; (3) completion of the Accession Checklist; (4) receipt of a signed *Deed of Transfer* (or acceptable substitute documentation) from the accession agent; (5) submission of the appropriate documentation to the director or the director's designee; and (6) the issuance of an accession number by the institute administrative office.

The institute administration is responsible for maintaining and renewing appropriate institutional permits for doing field work, obtaining specimens, and bringing specimens back to the museum for accessioning. Institutional permits include:

- APHIS transfer and import/export permits
- Bald Eagle Protection Act permit
- CITES Certificate of Scientific Exchange permit
- US Fish & Wildlife Endangered and Threatened Species Act permit
- Migratory Bird Treaty Act permit

ACCESSION PROCEDURE

Specimens are not automatically accessioned when they are received. Because accessioning initiates ownership, specimens are not accessioned until all documentation is in order. All specimens must be accessioned in order to be cataloged.

Before specimens are acquired for the institute, the following procedure must be followed.

1. Review the *Specimen Acquisition Checklist*.
2. Request copies of the appropriate permits held by the institute from the director (or person designated by the director).
3. Obtain or apply for the documentation needed to possess, export, and import the specimens legally.

Once specimens have been obtained, the following accession procedure is followed to assume legal ownership of the specimens.

1. Obtain a signed *Deed of Transfer* form or other acceptable documentation.
2. Compile the documentation necessary for specimen accession.
3. Complete the *Accession Checklist* – a signature authorizing the accession must be obtained from a staff member with the division accepting the specimens
4. Submit the completed and signed *Accession Checklist* and supporting documents to the director (or person designated by the director).
5. Obtain an accession number (accession numbers are issued by the institute administration once the appropriate documentation is approved and the accession information is entered into the accession database).
6. File the Accession Checklist and associated documentation in the permanent accession records of the division.

Specimens may be cataloged only after the entire accession procedure is completed.

If the director or the director's designee declines to approve the accession, the specimens may not be cataloged into the collection. The director will resolve such cases with the individual responsible on a case-by-case basis.

ACCESSION RECORD

All documentation (or copies of such documentation) relating to the legality of an accession and the accession process *must* be kept as part of the accession record labeled with the accession number. This record should contain copies of all collecting permits, licenses, export and import permits, species-specific permits, correspondence, and the signed *Accession Checklist*; it does not necessarily contain field notes. The accession record is retained by the collections manager (or other staff member) of the appropriate division for the institute. The accession record is a legal, permanent, archival record of institute activity.

ACCESSION CHECKLIST

Each accession must be accompanied by a properly completed and signed *Accession Checklist* that includes the following documentation (as applicable).

For *RECEIPT OF SPECIMENS PREVIOUSLY CATALOGED IN ANOTHER MUSEUM* (see Appendix C) (specimens received via donation, exchange, gift, abandonment, or purchase):

- transmittal form or letter of transmittal from appropriate authority at the institution of origin
- signed *Deed of Transfer* form or acceptable substitute documentation
- export permit (if from a non-US institution)
- import permit (if from a non-US institution)
- CITES permits if transaction involves CITES-listed specimens
- APHIS certification
- original or copy of field notes for specimens in the accession
- originals or copies of any correspondence relating to this accession

For *RECEIPT OF SPECIMENS NOT PREVIOUSLY CATALOGED IN ANOTHER MUSEUM* (specimens received via field work, gift, exchange, purchase, donation, bequest, or contract):

- original or copy of collecting permit(s)
- original or copy of export permit (if from a non-US locale or institution)
- signed *Deed of Transfer* form or acceptable substitute documentation
- US Fish and Wildlife Service ESA permit
- copy of the *3-177 Declaration for Importation or Exportation of Fish or Wildlife* form (see Appendix B)
- CITES permits (if transaction involves CITES-listed specimens)
- other permits as required (see Specimen Acquisition Checklist)
- APHIS certification (if applicable)
- original or copy of field notes for specimens in the accession
- originals or copies of any correspondence relating to this accession

DEED OF TRANSFER

A signed *Deed of Transfer* form (or acceptable substitute documentation) must be obtained from the source of each accession (including staff members and students of the University of Kansas Biodiversity Institute) obtained by regular institute field work, gift, exchange, purchase, donation, bequest or contract. The information needed for the *Deed of Transfer* form (or acceptable substitute documentation) is:

- date of preparation of the document
- name, address, telephone, and electronic address (email) of the agent/donor that the *Deed of Transfer* form (or acceptable substitute documentation) is received from
- a short description of the contents of the accession, including number of specimens
- the agent's/donor's signature to acknowledge the terms of acceptance of the accession, and to confirm that a good faith effort has been made to ensure that the specimens and/or objects comprising the accession were obtained legally.

Acceptable Substitute Documentation

In lieu of a signed *Deed of Transfer*, an agent/donor may provide a signed letter or an electronic message providing the following:

- date of preparation of the document
- name, address, telephone, and electronic address (email) of the agent/donor that the documentation is received from
- a short description of the contents of the accession, including number of specimens
- A statement that the agent/donor acknowledges the terms of acceptance of the accession and has made a good faith effort to ensure that the specimens and/or objects comprising the accession were obtained legally.
- *Terms of Acceptance of Accessions*
 1. All donations, exchanges, gifts, purchases, or bequests of specimens or objects are considered outright and unconditional accessions to be used at the museum's discretion.
 2. The University of Kansas Biodiversity Institute does not promise, and is in no way obliged, to exhibit or restrict the use of these specimens and/or objects and may deaccession or dispose of these specimens and/or objects, if appropriate.
 3. Donations to the University of Kansas Biodiversity Institute may be tax deductible but the institute cannot provide appraisals of donations.
 4. The University of Kansas Biodiversity Institute shall have the absolute and unconditional ownership of the specimens and/or objects included in this donation, exchange, gift, purchase, or bequest.
 5. The agent/donor has agreed to these terms of acceptance.
 6. To the best of the agent's/donor's knowledge, the specimens and/or objects comprising this accession were obtained legally.

REPOSITORY AGREEMENT POLICY

The following is the *Repository Agreement Policy of the KU Biodiversity Institute*.

The Biodiversity Institute acquires specimens under the terms of a *Repository Agreement* by field collection, exchange, contract, or other appropriate means. The institute is responsible for maintaining the specimens on repository agreement with the same level of care as it provides for accessioned collections. For this reason, the institute accepts on repository agreement only those specimens for which it can provide proper care, conservation, and storage under the terms of the particular repository agreement.

Decisions concerning which repository agreements to accept are made by the Repository Agreement Committee. This committee is appointed annually by the director of the institute and consists of the director's designee(s), a curator, and a collections manager, plus representatives of the division requesting the repository agreement. The Repository Agreement Committee should review a draft copy of the *Repository Agreement* before it is signed. The division requesting a repository agreement must demonstrate that it has the resources (time, space, and materials) to properly house the collection for the duration of the agreement.

Specimens accepted on repository agreements can be cataloged and managed as regularly accessioned collections, according to the terms of the particular agreement. Databases and catalogs must indicate that the institute does not have ownership of specimens accepted on repository agreement, as well as indicate any other restrictions or required notifications as stipulated in the repository agreement.

Each division is responsible for the direction of growth of its collections. In general, collection acquisition is focused by research and tailored to resources.

All specimens accepted on repository agreement must be obtained legally by the institute. All specimens should be documented with the necessary permits and licenses, and other documentation to show that they have been collected, exported, and imported in full compliance with applicable laws and regulations. The institute adheres to the CITES convention and follows appropriate USFWS regulations.

All specimens obtained on repository agreement are documented as specified by the repository agreement. This documentation is kept on file in the permanent records of the appropriate division.

REPOSITORY AGREEMENT AND ACQUISITION PROCEDURES

Repository agreements must be approved by the Repository Agreement Committee. Specimens covered by a repository agreement may not be cataloged until the agreement has been approved.

Before specimens are acquired under a repository agreement, the following procedure must be followed.

1. Review the *Repository Checklist*.
2. Submit a draft copy of the *Repository Agreement* to the Repository Agreement Committee for review.

3. Request copies of the appropriate permits held by the institute from the director (or person designated by the director).
4. Obtain the documentation necessary for approval of the Repository Agreement.
5. Obtain the documentation needed to possess the specimens legally.

Once the repository agreement has been approved, the following procedure is followed when specimens are acquired under the agreement.

1. Complete the *Repository Checklist* for each acquisition under the repository agreement.
2. Submit the completed *Repository Checklist* and supporting documents to the director (or person designated by the director).
3. Obtain a repository acquisition number (repository acquisition numbers are issued by the institute administration once the appropriate documentation is approved and the repository agreement information is entered into the accession database. A repository acquisition number is equivalent to an accession number).
4. File a copy of the *Repository Agreement* and associated documentation in the permanent records of the division.

Specimens may not be collected or otherwise obtained until the repository agreement has been approved. Specimens may not be cataloged until the repository acquisition procedure is completed.

APPENDIX A. REFERENCES

- Anon. 1994. Fish and Wildlife facts: Lacey Act Amendments of 1981 (Public Law 97-79). *Association of Systematic Collections Newsletter* 22(6):77; 83; 85.
- Anon. 1995. Fish and Wildlife Service agrees to modify regulations: new Federal Register Notice due out: will relax requirements for museums and scientists. *Association of Systematic Collections Newsletter* 23(1):1; 3.
- ASC. 1991. Guidelines: the ethics and responsibilities of museums with respect to acquisition and disposition of collection material. *Association of Systematic Collections Newsletter* 19(6):77-79.
- Bellardo, L.J. and L.L. Bellardo (compilers). 1992. *A Glossary for Archivists, Manuscript Curators, and Record Managers*. Society of American Archivists, Chicago, viii + 45 pp.
- Buck, R.A. and J.A. Gilmore (editors). 1998. *The New Museum Registration Methods*. 4th edition. American Association of Museums, Washington D.C. 427 pp.
- Cato, P.S., J. Golden, and S.B. McLaren (compilers and editors). 2003. *Museum Wise. Workplace Words Defined*. Society for the Preservation of Natural History Collections, Washington, D.C., 380 pp.
- Cato, P.S. and S.L. Williams. 1994. Guidelines for developing policies for the management and care of natural history collections. *Collection Forum* 9(2):84-107.
- Duckworth, W.D., H.H. Genoways, and C.L. Rose. 1993. *Preserving Natural Science Collections: Chronicle of Our Environmental Heritage*. National Institute for the Conservation of Cultural Property, Washington, D.C. iii + 140 pp.
- Estes, C. and K.W. Sessions (compilers). 1983. *Controlled Wildlife. Volume II. Federally Controlled Species*. Association of Systematics Collections, Lawrence. vii + 327 pp.
- Estes, C. and K.W. Sessions (compilers). 1984. *Controlled Wildlife. Volume I. Federal Permit Procedures*. Association of Systematics Collections, Lawrence. vi + 304 pp.
- Federal Register. 1985. *Endangered species convention*. 50 CFR Part 23
- Federal Register. 1987. *Importation, exportation, and transportation of wildlife*. 50 CFR Part 14
- Federal Register. 1994. *Endangered and threatened wildlife and plants; animal candidate review for listing as endangered or threatened species; proposed rule*. 50 CFR Part 17
- Guthe, C.E. *Documenting Collections: Museum Registration and Records*. Technical Leaflet 11, American Association of State and Local History, Nashville.
- Hoagland, K.E. (ed.). 1994. *Guidelines for Institutional Policies and Planning in Natural History Collections*. Association of Systematic Collections, Washington, D.C. vi + 120 pp.
- Hoagland, K.E. 1995. Fish and Wildlife Service update on regulations and permits. *Association of Systematic Collections Newsletter* 23(2):17; 22.
- Hoagland, K.E. 1995. ASC comments on import-export of wildlife Revised Rule. *Association of Systematic Collections Newsletter* 23(3):31-32.
- Johnson, P.J. 1994. Lacey Act 1. *Insect Collection News* number 9.
- King, S.T. and J.R. Schrock. 1985. *Controlled Wildlife. Volume III. State Wildlife Regulations*. Association of Systematics Collections, Lawrence. x + 315 pp.
- Lewis, R.H. 1976. *Manual for Museums*. National Park Service, U.S. Department of the Interior, Washington, D.C. xiii + 412 pp.
- Littell, R. 1993. *Controlled Wildlife: Volume I. Federal Permit Practices*. Second edition. Association of Systematic Collections, Washington, D.C. 264 p.
- Malaro, M.C. 1979. Collection management policies. *Museum News* 58(2):57-61.
- Malaro, M.C. 1985. *A Legal Primer on Managing Museum Collections*. Smithsonian Institution Press, Washington, D.C. xiii + 351 pp.

- Miller, J.Y. 1994. Systematic collections and the law: the Lacey Act. *Association of Systematic Collections Newsletter* 22(6):77; 80-83.
- Phelan, Marilyn E. 1994. *Museum Law. A Guide for Officers, Directors, and Counsel*. Kalos Kapp Press, Evanston.
- Porter, D.R. 1985. *Current thoughts on collection policy*. AASLH Technical Report no. 1, American Association for State and Local History, Nashville. 12 pp.
- Santiago, M. 1988. The registrar in the cabinet of curiosities. Pp. 58-75 in Case, M. (ed.). *Registrars on Record: Essays on Museum Collection Management*. American Association of Museums, Washington, D.C. xiv + 257 pp.
- Society for the Preservation of Natural History Collections. 1994. Guidelines for the care of natural history collections. *Collection Forum* 10(1):32-40.

INTERNET SOURCES

- CITES Convention.....<http://www.cites.org/>
- CITES Appendices.....<http://www.cites.org/eng/append/index.shtml>
- US Fish and Wildlife Service.....<http://www.fws.gov/>
- US Animal Plant Health Inspection Service.....<http://www.aphis.usda.gov/>
- US National Archives and Records Administration – Code of Federal Regulations (searchable)
.....<http://www.gpoaccess.gov/cfr/index.html>
- Title 50 CFR – searchable.....
.....<http://www.access.gpo.gov/cgi-bin/cfrassemble.cgi?title=199750>

APPENDIX B. FILING 3-177 DECLARATIONS

A *3-177 Declaration for Importation of Exportation of Fish or Wildlife* form must be filed with the US Fish and Wildlife Service (USFWS) when specimens are transferred in or out of the United States, including specimens on loan, specimens obtained under a repository agreement, and specimens obtained during fieldwork. The USFWS prefers that these forms be filed electronically using “eDecs” whenever possible. Information on using the eDecs system is available at <https://edecs.fws.gov/#>

APPENDIX C. LEGAL DEFINITIONS

The legal definitions for most of the terms used in federal wildlife law can be found in the U.S. Code of Federal Regulations, 50 CFR, which is available on-line at <http://www.access.gpo.gov/cgi-bin/cfrassemble.cgi?title=199750>

Some of the more commonly requested definitions from 50 CFR are provided below.

Accredited scientific institution

“Accredited scientist means any individual associated with, employed by, or under contract to and accredited by an accredited scientific institution for the purpose of conducting biological or medical research, and whose research activities are approved and sponsored by the scientific institution granting accreditation..”

—CFR 50, §14.4.

Accredited scientist

“Accredited scientific institutions means any public museum, public zoological park, accredited institution of higher education, accredited member of the American Zoo and Aquarium Association, accredited member of the American Association of Systematic Collections, or any State or Federal government agency that conducts biological or medical research.”

—CFR 50, §14.4.

Animal

“Animal means an organism of the animal kingdom, as distinguished from the plant kingdom; including any part, product, egg, or offspring thereof, or the dead body or parts thereof (excluding fossils), whether or not included in a manufactured product or in a processed food product.”

—CFR 50, §10.12.

Fossil

“Fossil means the remains of an animal of past geological ages which as been preserved in the earth’s crust through mineralization of the object.”

—CFR 50, §10.12.

Plant

“Plant means any member of the plant kingdom, including seeds, roots and other parts thereof.”

—CFR 50, §10.12.

Public

“Public as used in referring to museums, zoological parks, and scientific or educational institutions, refers to such as are open to the general public and are either established, maintained, and operated as a government service or are privately endowed and organized but not operated for profit.

—CFR 50, §10.12.

Scientific specimens

“... dead, preserved, dried, or embedded scientific specimens or parts thereof...”

—CFR 50, §14.24.

APPENDIX D.

1. Specimen Acquisition Checklist
2. Accession Checklist
3. Deed of Transfer
4. Repository Checklist

KU Biodiversity Institute – Specimen Acquisition Checklist

Name of Provider: _____

Division: _____

Date: _____

Type of Specimen Transaction:

- | | |
|--|---|
| <input type="checkbox"/> Original collection by KUBI staff/student/associate
<input type="checkbox"/> Exchange
<input type="checkbox"/> Purchase
<input type="checkbox"/> Contract
<input type="checkbox"/> Other (e.g., salvage; explain) _____ | <input type="checkbox"/> Gift
<input type="checkbox"/> Bequest
<input type="checkbox"/> Abandonment |
|--|---|

	Yes	Applied For	Doc. Attached	No	Not Applicable
A. Do you have the source country's:					
1. collecting permit(s)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. the source country's export permit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. the US "Declaration for Importation" form 3-177?	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Have you notified US Fish & Wildlife of your port of entry?	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
C. Is the source country a CITES signatory?	<input type="checkbox"/>			<input type="checkbox"/>	
D. Are any anticipated specimens CITES listed? If CITES listed specimens included, do you have:	<input type="checkbox"/>			<input type="checkbox"/>	
1. a copy of the source country's CITES export permit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2. the US CITES import permit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
E. Will you be transporting tissues or other animal parts removed from the specimens?	<input type="checkbox"/>			<input type="checkbox"/>	
1. if yes, do you have an APHIS certification?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F. Do you have all of the required specialized permits:					
Antarctic Conservation Act permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bald Eagle Protection Act permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bureau of Land Management permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Controlled Substances Act	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Feather Import Quota	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Federal Noxious Weed Act	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fur Seal Act	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Marine Mammal Protection Act permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Migratory Bird Treaty Act permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Plant Pest Act	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Plant Quarantine Act	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
State Collecting Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
US Fish and Wildlife Service salvage permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
State salvage permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

COMMENTS: _____

Reviewed by: _____ Date: _____

KU Biodiversity Institute – Accession Checklist

The following checklist is to be completed and approved before any specimen or object may be accessioned by the Biodiversity Institute. Check boxes ONLY if the required documents are in hand. 'NA' signifies 'Not applicable'.

FOR RECEIPT OF SPECIMENS PREVIOUSLY CATALOGED IN ANOTHER INSTITUTION			
(by donation, exchange, gift, abandonment, or purchase)	Yes	No	NA
Transmittal form or letter from appropriate authority at the institution of origin	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Signed Deed of Transfer form	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Export permit (if from a non-US institution)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Import permit (if from a non-US institution)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CITES permits (if transaction involves CITES-listed specimens)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APHIS certification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FOR RECEIPT OF SPECIMENS <u>NOT</u> PREVIOUSLY CATALOGED IN ANOTHER INSTITUTION			
(field work, gift, exchange, purchase, donation, bequest, or contract)	Yes	No	NA
Original or copy of collecting permit(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Original or copy of export permit (if from a non-US locale or institution)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Signed Deed of Transfer form	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
US Fish and Wildlife Service ESA permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Copy of 3-177 form (if from a non-US locale or institution)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CITES permit(s) (if transaction involves CITES-listed specimens)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Migratory Bird Treaty Act permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APHIS certification(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Original or copy of field notes for specimens in this accession	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Originals or copies of any correspondence relating to this accession	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Antarctic Conservation Act permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bald Eagle Protection Act permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bureau of Land Management permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Controlled Substances Act	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Feather Import Quota	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Federal Noxious Weed Act	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fur Seal Act	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Marine Mammal Protection Act permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Plant Pest Act	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Plant Quarantine Act	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
State Collecting permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
US Fish and Wildlife Salvage permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Description of Accession: <input type="checkbox"/> See attached complete description
I hereby attest that to the best of my knowledge the above information is correct and accurate and that the specimens and/or objects comprising this accession were obtained legally and are suitable for accession.
Signature _____ Title: _____ Date: _____
Printed name: _____
This accession is approved by the Biodiversity Institute of the University of Kansas.
Signature _____ Title: _____ Date: _____
Accession Number: _____

**The University of Kansas Biodiversity Institute
Deed of Transfer**

Date _____

Received from: Name _____

Address _____

Telephone _____

Description of Accession:

<p>AGREEMENT</p> <p>I hereby acknowledge that I have read the terms of acceptance (below), and that to the best of my knowledge, the specimens and/or objects comprising this accession were obtained legally and further, that I have the authority to transfer their ownership to the University of Kansas Biodiversity Institute.</p> <p>Signature of agent/donor:</p>
--

Date:

Terms of Acceptance

1. Signing this document legally transfers ownership of all specimens and/or objects listed on the accession form(s) to the Biodiversity Institute of the University of Kansas (institute). By the execution of this Deed of Transfer the donor or agent represents and warrants that he/she has full power and authority to transfer or give the specimens and/or objects to the institute. All donations, exchanges, gifts, purchases, bequests, and receipt of specimens or objects from regular fieldwork are considered outright and unconditional accessions to be used at the institute's discretion.
2. The donor or agent acknowledges that the institute has not promised, and is in no way obliged, to exhibit or restrict the use of these specimens and/or objects and may deaccession or dispose of these specimens and/or objects, if appropriate.
3. Donations to the institute may be tax deductible. Although the institute is unable to provide appraisals of donations, the staff will provide a list of qualified appraisers upon request.
4. The institute shall have the absolute and unconditional ownership of the specimens and/or objects listed on this Deed of Transfer form.

KU Biodiversity Institute – Repository Checklist

The following checklist is to be completed before any specimen or object may be accepted under a repository agreement by the Biodiversity Institute. Check boxes **ONLY** if the required documents are in hand. “NA” signifies “Not applicable.”

FOR RECEIPT OF SPECIMENS PREVIOUSLY CATALOGED IN ANOTHER INSTITUTION			
(by donation, exchange, gift, abandonment, or purchase)	Yes	No	NA
Transmittal form or letter from appropriate authority at the institution of origin	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Export permit (if from a non-US institution)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Import permit (if from a non-US institution)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CITES permits (if transaction involves CITES-listed specimens)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APHIS certification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FOR RECEIPT OF SPECIMENS <u>NOT</u> PREVIOUSLY CATALOGED IN ANOTHER INSTITUTION			
(field work, gift, exchange, purchase, donation, bequest, or contract)	Yes	No	NA
Original or copy of collecting permit(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Original or copy of export permit (if from a non-US locale or institution)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
US Fish and Wildlife Service ESA permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Copy of 3-177 form (if from a non-US locale or institution)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CITES permit(s) (if transaction involves CITES-listed specimens)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Migratory Bird Treaty Act permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
APHIS certification(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Original or copy of field notes for specimens in this accession	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Originals or copies of any correspondence relating to this accession	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Antarctic Conservation Act permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bald Eagle Protection Act permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bureau of Land Management permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Controlled Substances Act	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Feather Import Quota	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Federal Noxious Weed Act	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fur Seal Act	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Marine Mammal Protection Act permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Plant Pest Act	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Plant Quarantine Act	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
State Collecting permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
US Fish and Wildlife Salvage permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Description of acquisition on repository agreement: <input type="checkbox"/> See attached complete description			
I hereby certify that to the best of my knowledge the above information is correct and accurate, and further that the terms of this repository agreement have been met.			
Signature: _____ Title: _____ Date: _____			
Printed name: _____			
This acquisition is approved by the Biodiversity Institute of the University of Kansas.			
Signature: _____ Title: _____ Date: _____			
Repository: _____			
Repository Acquisition Number: _____			

APPENDIX E.

GUIDELINES FOR REPOSITORY AGREEMENTS

Approval of repository agreements is the responsibility of the Repository Agreement Committee. The Repository Agreement Committee is appointed annually by the director of the Biodiversity Institute and consists of the director's designee(s), a curator, and a collections manager, plus a representative of the division requesting the repository agreement. The Repository Agreement Committee assists in the preparation of repository agreements by providing advice and reviewing draft copies of each agreement before it is signed.

Each repository agreement must be developed in the context of the particular requirements of the participating institutions. These guidelines are provided as a framework for negotiating individual agreements.

Outline of a typical repository agreement

- I. Purpose
- II. Authority for the agreement
- III. Applicability
- IV. Terms of the agreement
- V. Definitions
- VI. Management, preservation, and curation of collections
- VII. Standards to determine the effectiveness of the agreement
- VIII. Use of collections
- IX. Inspections and inventories
- X. Signatures of responsible authorities

PURPOSE

This section:

- Describes the intent of the repository agreement.
- Explains why the repository agreement is needed.
- Describes the benefits of the repository agreement to each participating institution.

AUTHORITY FOR THE AGREEMENT

This section identifies those responsible for the agreement. The information to be provided includes:

- The name of each participating institution.
- The shipping address, mailing address, and telephone number of each participating institution.
- The name, title, mailing address, telephone number, FAX number, and electronic mail address of the key individuals from each participating institution.

APPLICABILITY

This section defines:

- The general time frame that the repository agreement is to be in force.

- Provides a list of activities included in the agreement (e.g., field training, curation support).
- Defines the specimens, objects, and collections included under the terms of the agreement.

TERMS OF THE AGREEMENT

This section defines:

- The starting date and termination date of the agreement.
- Provides a schedule for renewal and/or revision of the agreement (if applicable).
- Details how collections included in the agreement are to be distributed upon dissolution of the agreement.
- Identifies the individual representatives from each institution who are responsible for carrying out the repository agreement.

DEFINITIONS

This section provides a glossary that defines the terminology used in the repository agreement, e.g.:

- Bona fide researcher
- Cataloging
- Collection
- Collection care
- Curation
- Fieldwork
- Loan
- Research use
- Researcher
- Specimen
- Student
- Tissue sample
- Training
- Shipping

MANAGEMENT, PRESERVATION, AND CURATION OF THE COLLECTIONS

- Specimens will be managed, preserved, and curated at the same level of standards as regular collections in the Biodiversity Institute.
- Each specimen will be tagged in the field with a legible field number.
- Each specimen will be tagged with a unique catalog number after it is received by the Biodiversity Institute
- Each specimen or specimen container will be labeled with current scientific name and correct locality information.
- Specimen records will be entered into a digital database.
- Specimens will be housed in the Biodiversity Institute in accordance with current discipline standards.

- The institution which owns the specimens will be charged a one time processing fee of US \$15.00 per specimen for cataloging and housing, and an annual fee of \$5.00 per specimen for curation, conservation, and management costs.
- Specimens will be available for reasonable loan requests by members of the *bona fide* international scientific community.

STANDARDS TO DETERMINE AGREEMENT EFFECTIVENESS

This section establishes standards that can be used to assure all parties that the repository agreement is effective. Violations of these standards may lead to the termination of the repository agreement by the Biodiversity Institute at any time.

USE OF COLLECTIONS

Defines standard use of the collections covered by the repository agreement by staff and students of the Biodiversity Institute and the *bona fide* international scientific community.

INSPECTIONS AND INVENTORIES

Provides for reasonable, regular inspections and/or inventories by all parties of the collections covered by the repository agreement.

SIGNATURES

Provides for legal signatures of the official representatives of all parties involved in the repository agreement.