MUSEUM HANDBOOK

PART II

MUSEUM RECORDS

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Museum Handbook, Part II authors are: Chapters 1-6: (2000) Kathleen Byrne, Museum Registrar

Appendix A: (2000) Steve Floray, Museum Specialist

Appendix B: (2000) Ann Hitchcock, Chief Curator; Lynn Black, Computer Specialist

Appendix D: (2008) John W. Roberts, Senior Archivist

Appendix M: (2017) Kathleen Byrne, Museum Registrar; Laura Anderson, Museum Curator, National Mall; and Kate Funk, Staff Curator Southeast Regional Office.

Appendix N: (2018) Kathleen Byrne, Museum Registrar; Kate Everitt, Cultural Resource Program Manager, GUIS; Susan Haake, Curator, LIHO; Michael Hosking, Curator, HAFE; Kirsten Kvam, Museum Curator/Registrar, SAFR,; Kathy Lang, curator, STEA; Laurel Racine, Chief of Cultural Resources, LOWE.

All other appendices were revised by Kathleen Byrne with assistance from Kandace Muller, Museum Technician, and interns Barbara Copp, Jason O'Neal, and Jennifer Walton.

TABLE OF CONTENTS

Page

INTRODUCTION ix

1. DOCUMENTING MUSEUM COLLECTIONS
A. Overview 1:1
B. Training 1:3
C. Work Area 1:3
D. Forms, Supplies, and Equipment 1:4
E. Authorities 1:7
F. Records Protection 1:8
G. Information Protection 1:11
H. List of Figures 1:11

2. ACCESSIONING
A. Overview 2:1
B. General Information on Accessions 2:1
C. Acquisition Policies 2:4
D. Special Considerations for Accessions 2:5
E. Acquiring Copyrights 2:7
F. Gifts 2:8
G. Gift Considerations 2:10
H. Purchases 2:13
I. Purchase Considerations 2:14
J. Exchanges 2:17
K. Exchange Considerations 2:18
L. Transfers 2:20
M. Transfer Considerations 2:21
N. Field Collections 2:22
O. Other Field Collections 2:25
P. Incoming Loans 2:27
Q. Incoming Loan Considerations 2:28
R. Processing and Documenting Incoming Loans 2:30
S. Tracking Incoming Loans 2:33
T. Old Loans 2:35
U. Accession Book 2:38
V. Documenting Accessions 2:43
W. List of Figures 2:51

3. CATALOGING
A. Overview 3:1
B. General Information on Cataloging 3:2
C. Cataloging Procedures 3:6
D. Tracking Catalog Numbers 3:10
E. Cultural Resources (CR) Catalog Data Fields 3:12
F. Natural History (NH) Catalog Data Fields 3:16
G. Making Changes on the Catalog Record 3:18
H. Submitting Catalog Records to the National Catalog 3:20
I. List of Figures 3:24

Page

4. INVENTORY AND OTHER SPECIAL INSTRUCTIONS

Section I. Annual Inventory of Museum Property 4:1
A. Overview 4:1
B. Conducting the Inventory 4:4
C. Completing the Random Sample and Controlled Property Inventories 4:7
D. Accessions Inventory 4:8
E. Completing the Accessions Inventory 4:9
F. Submitting the Inventory 4:10
G. Inventory Deficiencies and Property Irregularities 4:11
H. Spot-Check Inventories and Audits 4:12

Section II. Documenting Object Location 4:12
A. Overview 4:12
B. Documenting Current Location 4:13
C. Documenting Location Changes 4:13

Section III. Reporting Loss of Museum Objects 4:14
A. Overview 4:14
B. Discovering Loss 4:15
C. Reporting Loss 4:16

Section IV.. Reproductions, Living History Items, Exhibition Aids, and Outdoor Exhibits 4:19
A. Reproductions 4:19
B. Living History Items 4:21
C. Exhibition Aids 4:22
D. Outdoor Exhibits 4:22

Section V. Consumptive Use of Museum Objects 4:23
A. Overview 4:23
B. Consumptive Use Approval 4:23

Section VI. Following Regulations for Cataloging Natural History Specimens 4:24
A. Overview 4:24
B. Documenting Natural History Collections Collected under 36 CFR 2.5g 4:25
C. Natural History Collections on Loan to Non-NPS Repositories 4:29

Section VII. Buying Insurance for Borrowed Objects 4:29
A. Overview 4:29
B. Buying Insurance 4:30
C. Insurance Policies 4:31

Section VIII. Completing the Collections Management Repport 4:34
A. Overview 4:34
B. Reporting Center Collections 4:35
C. CMR Program 4:36
D. Completing the CMR 4:37
E. Submitting the CMR 4:41

Section IX. Determining the Monetary Value of Museum Objects 4:42
A. Overview 4:42
B. Monetary Values 4:43
C. Assigning Monetary Value 4:43
D. Professional Appraisals 4:45
E. Re-Appraising Objects 4:49
F. Documenting Appraisal Information 4:49
G. Appraisals and Tax Deductions 4:49

Page

Section X. List of Figures 4:50

5. Outgoing Loans
A. Overview 5:1
B. General Information on Loans 5:1
C. Outgoing Loan Considerations 5:3
D. Documenting Loans 5:6
E. Processing Loans 5:10
F. Tracking Loans 5:11
G. Special Procedures for Lending Objects to Repositories 5:13
H. Special Procedures for Lending Objects to NPS Conservation Treatment Facilities 5:14
I. List of Figures 5:15

6. Deaccessioning
A. Overview 6:1
B. General Information on Deaccessions 6:1
C. Special Considerations for Deaccessions 6:3
D. Processing Deaccessions 6:7
E. Documenting Deaccessions 6:10
F. Tracking Deaccessions 6:15
G. Packing and Shipping Deaccessions 6:17
H. Return to Rightful Owner (See Flow Chart Figure 6.1) 6:18
I. Loss, Theft, Involuntary Destruction, Voluntary Destruction/Abandonment (See Flow Chart Figure 6.2) 6:19
J. Outside Scope of Collection (See Flow Charts Figures 6.3 and 6.4) 6:22
K. Outside SOCS Requirements 6:25
L. Outside SOCS Procedures 6:28
M. Destructive Analysis 6:32
N. Native American Graves Protection and Repatriation Act (See Flow Chart Figure 6.5) 6:32
O. NPS Clearinghouse Services 6:37
P. List of Figures 6:38

APPENDICES

Page

A. MANDATES AND STANDARDS FOR NPS MUSEUM COLLECTIONS

A. Overview A:1
B. Laws, Regulations, and Conventions – NPS Cultural Collections A:1
C. Laws, Regulations, and Conventions – NPS Natural History Collections A:6
D. Policies and Standards A:9
E. List of Figures A:17

B. CATALOGING COSTS

A. Estimating Cataloging Costs B:1
B. Funding Cataloging Costs B:2
C. Applying For and Spending Cataloging Funds B:3
D. List of Figures B:5

C. CATALOGING GUIDELINES

A. Overview C:1
B. Component Parts, Pairs, and Sets C:1
C. Methods of Describing Objects C:3
D. Terms for Describing Object Condition C:4
E. Measuring Objects C:8
F. Recording Dimensions and Weight C:11

D. MUSEUM ARCHIVES AND MANUSCRIPT COLLECTIONS

A. Overview D:1
B. Understanding Definitions D:5
C. Reviewing the Basics of Park Records Management D:7
D. Learning Archival Theory D:9
E. Locating and Identifying Park Archival and Manuscript Collections D:11
F. Summarizing Survey Findings D:16
G. Appraising and Evaluating Collections D:17
H. Accessioning Collections D:19
I. Preserving Collections D:20
J. Arranging Collections D:23
K. Creating Folder Lists D:23
L. Creating and Updating Other Container Lists D:26
M. Writing Finding Aids D:27
N. Determining How to Catalog Your Archival and Manuscript Collections D:28
O. Cataloging Archival and Manuscript Collections: ANCS+ Collections Management Module D:29
P. Cataloging Archival and Manuscript Collections: ANCS+ Archives Module D:31
Q. Planning for the Future D:32
R. Producing Repository-level Guides to Park Holdings D:37
S. Publicizing the Finding Aid or Repository-level Guide D:38
T. Providing Access to Archival and Manuscript Collections D:39
U. Identifying Appropriate Restrictions for Archival and Manuscript Collections D:41
V. Implementing Access and Usage Policies for Archival and Manuscript Collections D:47
W. Monitoring and Tracking Researcher Use of Archival and Manuscript Collections D:48
X. Handling Freedom of Information Act Requests D:51
Y. Documenting Copies D:54
Z. Understanding the Language: A Glossary D:56
AA. Identifying Further Sources of Archival Training and Guidance D:62
BB. Readings: A Bibliography D:63
CC. List of Figures D:71

Page

E. ARCHEOLOGY
A. Archeology Classification....E:1
B. Archeology Object Names....E:4
C. Cataloging Archeology....E:5
D. Within Site Provenience Abbreviations....E:6
E. Archeology Object Name List....E:8

F. ETHNOLOGY
A. Ethnology Classification....F:1
B. Ethnology Object Names....F:5
C. Cataloging Ethnology....F:6
D. Cultural Area and Cultural Group Classification....F:6

G. HISTORY
A. History Classification....G:1
B. History Object Names....G:2
C. Cataloging History....G:6
D. Revised Nomenclature Hierarchical Classification....G:6
E. Supplementary History Object Term List....G:8

H. NATURAL HISTORY (To be revised and reissued in 2001.)

I. LOT CATALOGING
A. General Rules for Lot Cataloging....I:1
B. Discipline-specific Rules for Lot Cataloging Cultural Resources Collections....I:2
C. Discipline-specific Rules for Lot Cataloging Natural History Collections....I:4
D. List of Figures....I:8

J. MARKING
A. Marking Guidelines....J:1
B. Applying and Removing Numbers....J:3
C. Marking Human Remains....J:5
D. Marking Paper Items....J:6
E. Plastics, Vinyl, and Rubber....J:7
F. Marking Textiles....J:8
G. Large and Small Objects and Unstable Surfaces....J:10
H. Leather and Baskets....J:11
I. Numbering Component Parts, Pairs, and Sets....J:12
J. Number Location for Specific Types of Objects....J:12
K. Natural History Specimens....J:15

K. PHOTOGRAPHY
A. Museum Record Photography....K:1
B. Equipment....K:2
C. Procedures....K:5
D. Processing the Film....K:13
E. Documentation and Storage....K:14
F. List of Figures....K:16

L. BIBLIOGRAPHY
Archeology....L:1
Ethnology....L:8
History....L:10
Catalogs and General Reference....L:45
Museum References....L:46
Appraisals....L:46

Page

M. MEMORIAL ITEMS (2017)
A. Overview of Memorial Items M:1
B. Management of Memorial Items…. M:2
C. Use of Memorial Items M:4

N. REPRODUCTIONS, PERIOD PIECES, LIVING HISTORY ITEMS, EXHIBIT PROPS, AND OUTDOOR EXHIBITS (2018)
N.1. Overview N:1
N.2. Reproductions N:2
N.3. Period Pieces N:3
N.4. Accessioning and Cataloging Reproductions and Period Pieces N:4
N.5. Living History Items N:8
N.6. Exhibit Props N:9
N.7. Outdoor Exhibits N:10
Decision Checklist N:11

O. APPRAISALS (2020)
O.1. Overview O:1
O.2. Monetary Value O:2
O.3. Informal Appraisals O:4
O.4. Professional Appraisals O:5
O.5. Appraisers O:7
O.6. Re-Appraising Objects O:10
O.7. Documenting Appraisal Information O:10
O.8. Appraisals and Tax Deductions O:11
O.9. Bibliography

LIST OF FIGURES

Figure Number	Caption	Page
1.1	NPS Forms in ANCS+	1:12
2.1	Receipt for Property (Form DI-105)	2:52
2.2a-b	Accession Receiving Report (Form 10-95 Rev.)	2:53
2.3	Deed of Gift (Form 10-830 Rev.)	2:55
2.4	Letter of Acknowledgment (Sample)	2:56
2.5	Gift Acknowledgment Certificate	2:57
2.6	Ownership Statement (Sample)	2:58
2.7	Transfer of Copyright Statement (Sample)	2:59
2.8a-b	Exchange Agreement (Sample)	2:60
2.9	Transfer of Property (DI-104)	2:62
2.10	Instructions for Completing and Sending the Incoming Loan Agreement	2:63
2.11a-b	Incoming Loan Agreement (Form 10-98 Rev.)	2:64
2.12	Conditions for Incoming Loans (Form 10-98a Rev.)	2:66
2.13	Flow Chart for Incoming Loans	2:67
2.14	List of Objects (Form 10-417)	2:68
2.15	State Old Loan Law Citations	2:69
2.16	Accession Book (Form 10-256) (Sample)	2:70
2.17	Flow Chart for Accessioning	2:71
2.18	Accession Folder Cover Sheet (Form 10-255)	2:72
2.19	Source of Accession Card (Sample)	2:73
3.1	Museum Catalog Record – CR, Form 10-254 Rev.	3:25
3.2	Museum Catalog Record – NH, Form 10-254B Rev.	3:26
3.3	Catalog Number Logbook Page (Sample)	3:27
3.4	Archeology Catalog Record (Sample)	3:28
3.5	Ethnology Catalog Record (Sample)	3:29
3.6	History Catalog Record (Sample)	3:30
3.7	Archival/Manuscript Catalog Record (Sample)	3:31
3.8	Biology Catalog Record (Sample)	3:32
3.9	Geology Catalog Record (Sample)	3:33
3.10	Paleontology Catalog Record (Sample)	3:34
3.11	Cultural Resources Classification	3:35
3.12	Natural History Classification	3:36
3.13	Receipt for Property, DI-105 (Sample for National Catalog Submission)	3:37
4.1a	Inventory of Museum Property, Random Sample (Form 10-349)	4:51
4.1b	Inventory of Museum Property, Random Sample Continued (Form 10-349A)	4:52
4.1c	Inventory of Museum Property, Random Sample Summary (Form 10-349A)	4:53
4.1d	AIP Summary for Random Sample Inventory [Optional]	4:54
4.2a	Inventory of Museum Property, Controlled Property (Form 10-349)	4:55
4.2b	Inventory of Museum Property, Controlled Property Continued (Form 10-349D)	4:56
4.2c	Inventory of Museum Property, Controlled Property Summary (Form 10-349D)	4:57
4.2d	AIP Summary for Controlled Property [Optional]	4:58
4.3a	Inventory of Museum Property, Accessions (Form 10-349B)	4:59
4.3b	Inventory of Museum Property, Accessions Continued (Form 10-349C)	4:60
4.3c	Inventory of Museum Property, Accessions Summary (Form 10-349C)	4:61
4.3d	AIP Summary for Random Accessions Inventory [Optional]	4:62
4.4	Object Temporary Removal Slip (Form 10-97)	4:63
4.5	Report of Survey (DI-103)	4:64
4.6	Collections Management Report (Form 10-94 Rev.)	4:65
4.7	Written Appraisal Sample	4:66

Figure
Number Caption **Page**

5.1 Flow Chart for Outgoing Loans....5:16
5.2 Instructions for Completing and Sending the Outgoing Loan Agreement....5:17
5.3a-b Outgoing Loan Agreement (Form 10-127 Rev.)....5:18
5.4a-b Conditions for Outgoing Loans (Form 10-127a)....5:20
5.5 List of Objects (Form 10-417) [Optional]....5:22
5.6 Object Condition Report (Form 10-637) [Optional]....5:23
5.7 Outgoing Loan Folder Cover Sheet (Form 10-640) [Optional]....5:24
5.8 Outgoing Loan Extension (Form 10-641) [Optional]....5:25

6.1 Flow Chart for Deaccessioning: Return to Rightful Owner....6:39
6.2 Flow Chart for Deaccessioning: Loss, Theft, Involuntary Destruction, and Voluntary Destruction/Abandonment....6:40
6.3 Flow Chart for Deaccessioning: Outside Scope of Collection Statement Transfer and Exchange....6:41
6.4 Flow Chart for Deaccessioning: Outside Scope of Collection Statement Conveyance (Donation) and Voluntary Destruction/Abandonment....6:42
6.5 Flow Chart for Deaccessioning: Native American Graves Protection and Repatriation Act....6:43
6.6 Deaccession Form (Form 10-643)....6:44
6.7 List of Objects (Form 10-417) [Optional]....6:45
6.8 Deaccession Folder Cover Sheet (Form 10-644) [Optional]....6:46
6.9 Deaccession Book (Form 10-642) [Optional]....6:47
6.10 Transfer of Property (DI-104)....6:48
6.11a-b Exchange Agreement (Sample)....6:49
6.12a-b Repatriation Agreement (Sample)....6:51
6.13 Conveyance Agreement (Form 10-99)....6:53
6.14 Collections Advisory Committee Procedures (Sample)....6:54
6.15 Specialist Review Form (Sample)....6:55

A.1 Museum Properties Act of 1955 as amended November 12, 1996....A:18
A.2 References to Museum Collections Management in IPMR....A:19
A.3 Director's Order #24: NPS Museum Collections Management....A:21

B.1a Recent Cataloging Costs (FY 1997)....B:5
B.1b Recent Cataloging Costs (FY 1998)....B:6
B.1c Recent Cataloging Costs (FY 1999)....B:7

D.1 Sequential Overview of Park Archival Work....D:72
D.2 Documentary Records Types Chart (Cultural Resource Management Guideline Release No. 5)....D:73
D.3a Archival and Manuscript Collections Survey Form (Sample) [Optional]....D:74
D.3b Completed Archival and Manuscript Collections Survey Form (Sample) [Optional]....D.75
D.4 Sample Collection-Level Survey Description....D:76
D.5a Separation Sheet (Form 10-645) [Optional]....D:77
D.5b Completed Separation Sheet (Form 10-645) [Optional]....D:78
D.6a Folder List-Archival and Manuscript Collections (Form 10-96 Rev.) (Sample) [Optional]....D:79
D.6b-c Example of a Completed Folder List....D:80
D.7a-b Sample Folder List Index....D:82
D.8 Sample Container List....D:83
D.9a Museum Catalog Record-Cultural Resources (Form 10-254 Rev.)....D:84
D.9b Completed Museum Catalog Record (Form 10-254 Rev.) for Personal Papers....D:85
D.9c Completed Museum Catalog Record (Form 10-254 Rev.) for Field Records....D:86
D.9d Completed Museum Catalog Record (Form 10-254 Rev.) for Park Project Photograph Collection....D:87

Figure
Number Caption **Page**

D.10 Park Archival Processing Plan Statement (Sample) D:88
D.11 Park Documentation Strategy Statement (Sample) D:88
D.12 Shelf List (Sample) [Optional] D:89
D.13a-b Access Policies and Rules Governing Use (Sample) [Optional] D:90
D.14 Researcher Duplication Form (Sample) [Optional] D:92
D.15 Copyright and Privacy Restrictions (Sample) [Optional] D:93
D.16 Researcher Registration Form (Sample) [Optional] D:94

I.1 Completed Catalog Record – Lot Cataloging (Archeology) I:9
I.2 Completed Catalog Record – Lot Cataloging (Archeology) I:10
I.3 Completed Catalog Record – Lot Cataloging (History) I:11
I.4 Completed Catalog Record – Lot Cataloging (Biology) I:12
I.5 Completed Catalog Record – Lot Cataloging (Geology) I:13

K.1 Kodak Gray Card Instructions K:17
K.2 Placement of Object K:6
K.3 Placement of Identification Information and Metric Scale K:7
K.4 Basic Lighting Setup K:8
K.5 Distance and Angles for Light Placement K:8
K.6 Height of Light K:8
K.7 Angles for Key and Fill Lights K:9
K.8 Relationship of Shadows from Key and Fill Lights K:10
K.9 Composing the Photograph: Distance K:10
K.10 Composing the Photograph: Camera Angle K:10
K.11 Choosing Vertical or Horizontal Format K:11
K.12a Object Photograph Record Sheet K:18
K.12b Object Photograph Record Sheet (Sample) K:19
K.13 Labelling for Photo Enclosures (Sample) K:20

INTRODUCTION

The *Museum Handbook* covers a broad range of topics to guide National Park Service staff in managing museum and archival collections:

- Part I covers planning, preservation, and protection for the disciplines and materials represented in NPS collections, including professional ethics, specialized storage, environment standards, conservation treatments, and emergency preparedness.

- Part II outlines procedures for museum record keeping, including accessioning, cataloging, loans deaccessioning, photography, and reporting annual collection management data.

- Part III provides guidance on access and use for interpretation, education, exhibition, and research. It covers legal issues, publications, two and three-dimensional reproductions, using museum objects in exhibits and furnished historic structures, and providing access for research.

NPS staff responsible for collections should make informed choices based on their own skills and experience, standards and procedures outlined in the *Museum Handbook*, advice provided by specialists, and additional information provided in the references found in the *Museum Handbook*. Staff should, as needed, seek advice or technical information from support offices, the Harpers Ferry Center, and the Museum Management Program, National Center for Cultural Resources.

By following the practices represented in this guidance, trained staff can ensure that the National Park Service collections will be, as mandated by the 1916 NPS Organic Act, preserved and maintained for the use and enjoyment of the present and future generations.

Ann Hitchcock
Chief Curator
Museum Management Program
National Center for Cultural Resources
September 2000

Chapter 1: Documenting Museum Collections

Page

A. Overview 1:1
What will I find in this handbook? 1:1
How is this handbook different from the *ANCS+ User Manual*? 1:1
What is ANCS+? 1:1
Where can I get ANCS+? 1:2
What is the purpose for museum records? 1:2
Who must follow the guidelines in this handbook? 1:2
Am I required to follow this handbook? 1:2
What do I do if I know little about museum management? 1:2
What is in this chapter? 1:2

B. Training 1:3
Where can I get training in museum documentation methods? 1:3
Where can I get training in NPS museum documentation methods? 1:3
What if I can't find a training course? 1:3

C. Work Area 1:3
Do I need a special work area for museum record keeping? 1:3
Are there special requirements for the work area? 1:4
What should I consider when setting up the work area? 1:4

D. Forms, Supplies, and Equipment 1:4
Where do I get NPS museum forms? 1:4
Must I use the forms in ANCS+? 1:5
What forms aren't available in ANCS+? 1:5
What supplies do I need for museum record keeping? 1:5
Where do I get museum record keeping supplies? 1:6
What types of equipment do I need for museum record keeping? 1:7
Where do I get equipment? 1:7

E. Authorities 1:7
Who is responsible for the museum records at a park? 1:7
What are the superintendent's duties as the accountable officer for museum records? 1:7
What forms must the superintendent sign? 1:8
What are the custodial officer's responsibilities for museum records? 1:8
What are the receiving officer's responsibilities for museum records? 1:8

F. Records Protection 1:8
How can I protect my museum records against deterioration and destruction? 1:8
What are the requirements for storing paper museum records? 1:9
What types of storage equipment are available? 1:9
Where can I get storage equipment for my museum records? 1:10
What if I have a very large amount of records? 1:10
What are the requirements for storing media? 1:10
What are the differences between a media safe, a mixed media file, and a media box? 1:10
Are there requirements for the room where I store museum records? 1:11

G. Information Protection 1:11
Can the NPS protect sensitive or confidential information that the park has acquired as part of documentation activities? 1:11
Where can I find more information about protecting sensitive or confidential information? 1:11

H. List of Figures 1:11

CHAPTER 1: DOCUMENTING MUSEUM COLLECTIONS

A. Overview

1. *What will I find in this handbook?*

The *Museum Handbook*, Part II, Museum Records, tells you about the records you need to manage National Park Service (NPS) museum collections. These records are consistent with professional standards. Use the handbook as a reference. Refer to it when you:

- accession material into the museum collection (Chapter 2)
- receive incoming loans (Chapter 2)
- catalog objects (Chapter 3)
- photograph objects (Appendix K)
- mark objects with a catalog number (Appendix J)
- report losses of museum objects (Chapter 4)
- conduct the annual inventory of museum property (Chapter 4)
- complete the annual Collections Management Report (Chapter 4)
- place museum collections on outgoing loan (Chapter 5)
- deaccession museum collections (Chapter 6)

Note: The *Museum Handbook*, Part I: Museum Collections (*MH-I*), tells you how to physically care for your collections. The *Museum Handbook*, Part III: Museum Collections Use (*MH-III*), gives you information on providing access to and using your collection.

2. *How is this handbook different from the ANCS+ User Manual?*

This handbook gives you the guidelines for carrying out NPS museum policies on museum records.

The *ANCS+ User Manual* gives you detailed instructions on how to use the ANCS+ collection management system. ANCS+ allows you to automate the procedures in this handbook.

3. *What is ANCS+?*

ANCS+ is the NPS collections management system that allows you to automate all your museum records. It is a customized, commercial program from Re:discovery Software, Inc. You must use ANCS+ to:

- accession and catalog your collection
- complete the annual inventory and Collections Management Report
- document incoming and outgoing loans and deaccessions

4. *Where can I get ANCS+?*

You must order ANCS+ through the Museum Management Program (MMP), WASO. In 1998 most parks received an appropriated increase of $3,000 to their budgets to purchase and support the program. If you are a new park, you may not have this increase in your budget.

Refer to Appendix H in the *ANCS+ User Manual* for information on ordering the program.

5. *What is the purpose for museum records?*

Museum records allow you to properly care for and access your collection. You need records to prove ownership, describe the material in the collection, document loans, and locate objects. Museum records insure that museum collections are physically and intellectually available for collections management, interpretation, exhibition, and research. They give you accountability for your collection.

6. *Who must follow the guidelines in this handbook?*

The person responsible for the park's museum collection must follow the guidelines and procedures in this handbook. These guidelines and procedures insure that the park's museum records meet NPS standards.

Note: Office of Personnel Management (OPM) Personnel Classification Standards require that a GS-11 (or higher) level curator must oversee each park's museum collection. The regional/support office (SO) curator can provide oversight for parks with small collections. The curator provides professional guidance and oversees all documentation work at the park. Equivalent occupation series positions, such as archivist or museum specialist, may serve in this position. Refer to *MH-I*, Chapter 12: Curatorial Programming, Funding, and Staffing for information on staffing for museum collections.

7. *Am I required to follow this handbook?*

Yes. You must follow this handbook to accession, catalog, loan, inventory, and deaccession museum collections. You must use NPS forms to document these actions.

8. *What do I do if I know little about museum management?*

Start by reading the Basic Requirements page at the beginning of each chapter. These one-page summaries tell you the basics on what you must do.

Read the section in this chapter on how to get training in museum records and ANCS+.

Refer to the appropriate chapter or appendix in this handbook for detailed instructions before beginning to do the work.

Don't be afraid to ask for help. Contact your regional/SO curator or other curators in the area with questions. Make sure your park and region know that you lack experience and are interested in getting training.

9. *What is in this chapter?*

This chapter will help you get started with museum record keeping. It includes sections on:

- museum records training
- preparing a work area
- forms and supplies

- delegation of authority for museum collections
- records protection

B. Training

1. *Where can I get training in museum documentation methods?*

A number of museums, museum organizations, and academic institutions offer excellent short courses in museum record keeping. These courses can give you an understanding of the basic principles of museum records that are common to all museums. However, each museum has its own system for documenting collections. To learn the NPS procedures for museum records, you must take a training class on documenting NPS collections.

2. *Where can I get training in NPS museum documentation methods?*

See the NPS Employee Training and Development Career Planning and Tracking Kit for your essential competencies, which are the skills you need to do your job. Review your KSAs (Knowledge, Skills, and Abilities) under your essential competency "Research and Inventory" and discuss your training needs with your first-line supervisor. Prepare an Individual Development Plan (IDP) that addresses your training needs. You can access the tracking kit at "The Learning Place" web site under the Park Net Home Page at <www.nps.gov/training/npsonly/npsescom.htm>.

Some regions offer specific training courses on documentation and the use of ANCS+. There are also regional training courses on basic curatorial work that include sessions on museum records.

Contact your Regional Employee Development Officer (EDO) or the Training Manager, Cultural Resources Stewardship Career Field, at Stephen T. Mather Training Center, for information on available courses. You may be able to take a course in another region if your region is not offering training.

Note: Refer to Appendix L in this handbook for a bibliography of some of the standard texts on museum records.

3. *What if I can't find a training course?*

One of the best ways to learn about museum records is to get a temporary detail to another park or NPS center. Make sure the park has an active museum program and an experienced curatorial staff. You can gain valuable experience by working with park or center curators who can supervise and review your work. Your regional/SO curator may be able to help you coordinate a detail or locate a cooperating park.

Some regions may send curatorial staff from another park or NPS center to give you hands-on training at your site. Contact your regional/SO curator to find out if someone is available in your region.

C. Work Area

1. *Do I need a special work area for museum record keeping?*

Yes. You need to set up an adequate, secure work area that is separate from the collections storage area. It should contain space for all the museum files, such as the accession file, and your ANCS+ computer. You must keep all museum files in a locked, insulated file cabinet. Refer to Section F in this chapter for information about insulated files.

2. *Are there special requirements for the work area?*

Yes. There are several requirements for the area:

- Post a written warning against smoking, eating, and drinking in the area.
- Don't keep food, live plants, or flowers in the area.
- Keep the area clean and neat with nothing cluttering work surfaces, walkways, and aisles.
- Only issue keys to the area to the employees who have direct responsibility for the collections.
- Keep a current location map of all exhibit and storage areas. Include the letters and numbers of rooms, exhibit cases, and storage equipment, such as cabinets and shelf units.

3. *What should I consider when setting up the work area?*

When setting up the work area, consider the activities you'll be doing there, such as:

- receiving and unpacking objects
- examining objects for accessioning and cataloging
- measuring and weighing objects
- marking catalog numbers on objects
- photography
- entering data into ANCS+ and printing forms

A large padded table, or other flat surface, will be adequate for most objects. You may also need additional tables or shelves to hold items waiting to be accessioned or processed for loan. Organize your equipment, files, and supplies so that you can quickly find the things you frequently use.

Note: You should isolate objects coming into the collection for the first time to make sure they are pest free. Refer to the *MH-I*, Chapter 5, Biological Infestations, for additional information.

D. Forms, Supplies, and Equipment

1. *Where do I get NPS museum forms?*

Official NPS forms begin with "10-". You can print all official NPS museum forms from ANCS+. The program will complete many of the forms for you from data you enter on the screens. It also allows you to print blank forms that you can type or complete by hand. Use archival paper for printing official forms.

Refer to Figure 1.1 for a list of the forms in ANCS+. The list tells you which forms you can complete using ANCS+. The forms that relate to the chapters in this handbook appear at the end of each chapter.

Order accession books, deaccession books, and gift acknowledgement certificates from the Supply and Equipment Program of the Museum Management Program. See the Tools of the Trade catalog.

Note: You can order natural history labels from the Supply and Equipment Program while supplies last. You can also print the labels from ANCS+.

2. *Must I use the forms in ANCS+?*

Yes. You must use the ***official*** NPS museum forms in ANCS+ (forms numbered 10-). Don't modify these forms or create park-specific replacements. These forms meet legal requirements and professional standards. They also provide consistency between sites.

Some forms in ANCS+, such as the Repatriation Agreement, are Word documents that allow you to customize the form. These forms are sample forms for your use.

3. *What forms aren't available in ANCS+?*

ANCS+ doesn't have:

- forms for purchasing museum collections, such as the DI-1 Requisition
- forms for documenting loss of collections, such as the Case Incident Record, Form 10-343, or equivalent, and Report of Survey, Form DI-103
- Scientific Research and Collecting Permit

4. *What supplies do I need for museum record keeping?*

The supplies you need include:

- archival paper (for printing forms)
- pigma pen
- crochet hook
- tweezers (stamp handling variety)
- measuring rule (metric and SAE)
- cloth and metal tape measures (metric and SAE)
- white cotton gloves
- magnifying glass or linen tester
- caliper
- magnet (for testing metal objects)
- metric conversion table

Supplies for marking catalog numbers on objects include:

- technical pen (Rapidograph®) or crowquill pen
- clear lacquer (acrylic resin/acetone)
- white lacquer (acrylic resin/acetone with titanium dioxide white pigment)
- permanent black ink (Higgins®, Black Magic®, or Pelikan 17 Black)
- #2H, HB or softer pencil
- artist brushes (small tip)
- textile marking tape
- sewing needles and thread

Refer to Appendix J in this handbook for information on marking objects.

Supplies for record photography include:

- photo identification stands
- magnetic letters and numbers
- metric scale
- roll labels
- magnetic tape

Refer to Appendix K in this handbook for information on photographing objects.

5. *Where do I get museum record keeping supplies?*

Refer to the NPS *Tools of the Trade* catalog:

- Section II, Record Keeping Supplies, for additional information on supplies
- Section I, Introduction, for information on ordering supplies
- Section IX, Equipment and Supply Sources, for supply sources

The MMP publishes this catalog and updates it periodically. You can get some supplies free through the MMP's Supply and Equipment Program.

Depending on your collection, you may need additional supplies, such as weight scales and color charts. Contact other curators, conservators, and your regional/SO curator for other supply sources.

6. *What types of equipment do I need for museum record keeping?*

You must have:

- a computer capable of running ANCS+
- a printer for printing ANCS+ forms
- the ANCS+ software program
- insulated file cabinet(s) and media safe

If you photograph your collections, you will need a 35mm camera, a tripod, and lights. Many parks also use digital cameras to produce digital images for ANCS+.

7. *Where do I get equipment?*

The park pays for equipment. In FY 1998 parks received a recurring $3,000 increase in base funding for the purchase and support of ANCS+. Your park receives this money every year for catalog-related costs. Use these funds to purchase your annual support and updates to ANCS+. If there is money left over, you may use it to fund cataloging or to purchase cataloging equipment, such as computers, printers, and digital cameras.

Refer to Appendix H, Support, in the *ANCS+ User Manual* for information on purchasing support. Refer to Appendix A, System Requirements, in the *ANCS+ User Manual* for information on the hardware you'll need for ANCS+.

Refer to the *Tools of the Trade* and Section F in this chapter for information on insulated file cabinets.

E. Authorities

1. *Who is responsible for the museum records at a park?*

NPS museum property is accountable property. The accountable officer for museum property is the superintendent or center manager. He or she has the overall responsibility for museum collections and museum records.

The custodial officer is directly accountable and responsible for the physical care and documentation of the museum collection. The custodial officer is the person in charge of the museum collection. At most parks this is the curator or collections manager.

The receiving officer is responsible for documenting the receipt of museum collections. The receiving officer can be one of the museum staff or a staff member from another division in the park.

Refer to the *Personal Property Management Handbook No. 44* for information on property officers.

2. *What are the superintendent's duties as the accountable officer for museum records?*

The superintendent has the authority to approve or disapprove all accessions, loans, and deaccessions.

The superintendent must sign all legal documents that transfer ownership (title) or custody of museum property.

The superintendent is also responsible for verifying and signing the annual inventory of museum property and the annual collections management report. Refer to Chapter 4 in this handbook for information about these reports.

The superintendent appoints, in writing, the custodial officer and the receiving officer for the museum collection.

3. *What forms must the superintendent sign?*

The superintendent must sign the following accession, loan, and deaccession forms. Refer to the chapters in parentheses for information about these forms.

- Deed of Gift, Form 10-830 (Chapter 2)
- Transfer of Property, Form DI-104 (Chapters 2 and 6)
- Exchange Agreement (Chapters 2 and 6)
- Incoming Loan Agreement, Form 10-98 (Chapter 2)
- Outgoing Loan Agreement, Form 10-127 (Chapter 5)
- Outgoing Loan Extension, Form 10-641 (Chapter 5)
- Deaccession Form, Form 10-643 (Chapter 6)
- Conveyance Agreement, Form 10-99 (Chapter 6)
- Repatriation Agreement (Chapter 6)

4. *What are the custodial officer's responsibilities for museum records?*

The custodial officer is in charge of museum records. The custodial officer recommends accessions, loans, and deaccessions to the superintendent and is responsible for justifying and documenting these transactions. He or she is responsible for accessioning and cataloging the collection, conducting the annual museum property inventory, and completing the collections management report. The custodial officer often supervises other staff who are doing the work.

5. *What are the receiving officer's responsibilities for museum records?*

The receiving officer signs the Accession Receiving Report, Form 10-95, the Receipt for Property, DI-105, and any other receipts for museum property. The custodial officer can't serve as the receiving officer.

F. Records Protection

1. *How can I protect my museum records against deterioration and destruction?*

Many of the common threats to museum collections are also threats to your museum records. It's important to take preventive actions against these threats because museum records are a valuable part of your collection.

Threat	Preventive Action
Human error	Training in proper techniques; checking work for accuracy
Fire	Insulated file; media file; good fire

	prevention standards, fire detection devices, and suppression systems; Structural Fire Plan that includes the special needs of museum records
Theft	Locked file; secure storage with adequate key control and access; frequent inspection
Mildew/mold	Environmental monitoring; dehumidification if relative humidity exceeds 60%
Pests	Museum housekeeping program; frequent inspection; active Integrated Pest Management program; fumigation as necessary
Paper deterioration	Acid-free paper for museum forms
Water damage	Keep records away from pipes, basement, or flood plain
Disaster (earthquake, tornado, hurricane)	Emergency Operation Plan that includes the special needs of museum records; duplicate accession book and catalog records kept off-site
Electronic media deterioration	Backup copies (one copy off site); proper storage; media migration strategy

2. *What are the requirements for storing paper museum records?*

To protect museum records from fire and unauthorized use, store them in a locking, insulated file, safe, or vault. The interior of the container or vault must maintain a temperature of less than 350° F during a one-hour exposure to exterior temperatures of at least 1700° F.

3. *What types of storage equipment are available?*

Most parks use two, four, or five-drawer insulated (fire resistive) filing cabinets with combination or key locks. These are convenient to use and fairly inexpensive to purchase. The Underwriters Laboratories (UL) rating is "Insulated Filing Device, Class 350-1 Hour" (Formerly "UL Class D").

Cabinets in spaces above the grade level of the building must be able to survive a drop through the floor during a fire. The UL rating is "Insulated Record Containers, Class 350-1 Hour" (Formerly "UL Class C").

Impact resistant Class 350-2 hour and Class 350-4 hour filing cabinets are also available. Consider using one of these in buildings that are likely to burn long enough or hot enough to warrant the extra protection.

You can use one-door and two-door insulated safes to protect records that don't fit in a filing cabinet. The UL rating is "Fire-Resistive Safe, Class 350-4, 2, or 1-Hour".

See *Tools of the Trade* and National Fire Protection Association (NFPA) 232, *Standard for the Protection of Records,* for information on records storage equipment.

4. *Where can I get storage equipment for my museum records?*

Section VI of the *Tools of the Trade* has information on fire-resistive filing cabinets and media safes. Sections IX and X have information on sources and current equipment contracts. The park pays for storage equipment. You can get money for museum records storage equipment through the Museum Collections Preservation and Protection Program (MCPP).

Your regional/SO curator or MMP staff can give you information on storage equipment for museum records.

5. *What if I have a very large amount of records?*

For very large amounts of records, you may find it more cost-effective to use ordinary steel filing cabinets in a records vault. The vault construction must meet the requirements of the NFPA. See NFPA 232, *Standard for the Protection of Records,* for information on the construction of vaults. See NFPA 232AM, *Manual for the Protection of Archives and Records Centers*, for information on protecting large collections of paper records.

Vaults require doors with a UL rating, "Fire-Resistive Vault Door, Class 350-6, 4, or 2-Hour". This type of door may have a combination lock or key lock. If less protection is acceptable, you can use a door with a UL rating, "Fire-Insulated File Room Doors, Class 350-1 Hour".

6. *What are the requirements for storing media?*

Computer media are plastic-based and will degrade:

- at temperatures above 180°F
- when exposed to the high humidity (usually 100%) present during a fire in an ordinary fire-resistive filing cabinet or safe

Don't store media in the fire-resistive filing cabinet or safe that you use for your paper records.

Store computer media (floppy disks, CDs, zip disks, tapes) in a container that will maintain an interior temperature of not more than 125° F during a one hour exposure to an exterior temperature of 1700°F. The container can be a media safe or a mixed media file. Media boxes are acceptable if you store them in an appropriately rated insulated records file.

7. *What are the differences between a media safe, a mixed media file, and a media box?*

Media safes or files are designed to protect computer media. The UL rating is "Fire-Resistive Safe, Class 125-4, 3, 2, or 1 Hour".

A mixed-media container is a fire-resistive filing cabinet or safe for paper records that has a media container. The container may be removable. It gives additional insulation against heat and protection against high humidity. The UL rating for the media container is "Class 125-4, 3, 2, or 1 Hour" when it is inside the cabinet. Outside the cabinet, the media container may have no rating or a rating of only one-half hour.

A media box is a small, portable container, usually with a lock. You can use media boxes to hold a small amount of media at your desk during the work day. Most media boxes have only a 150°F one-half hour rating. Don't use a media box to protect your data unless you keep it inside a fire-resistive filing cabinet.

8. *Are there requirements for the room where I store museum records?*

Yes. You want the room where you store your museum records to be as fire-resistive and secure as possible.

- Don't store flammable materials in the room.
- Lock the room against unauthorized access.
- Install fire detection and suppression systems.
- Install intrusion detection systems.

Consult with the park safety officer and law enforcement specialist, a local fire marshall, or another qualified expert. They can help you assess the room and make recommendations to improve it.

Refer to *MH-I*, Chapter 9: Security and Fire Protection and Appendix G: Museum Collections Protection for additional information.

G. Information Protection

1. *Can the NPS protect sensitive or confidential information that the park has acquired as part of documentation activities?*

No. The NPS may acquire sensitive or confidential information during record keeping and documentation activities. In certain circumstances, the Freedom of Information Act (FOIA) may require that the NPS release such information. You must inform parties that request confidentiality of information that the NPS:

- won't voluntarily share this information, *but*
- can't guarantee confidentiality

2. *Where can I find more information about protecting sensitive or confidential information?*

Refer to the NPS *Management Policies*, Chapter 5, Cultural Resource Management. For information on the Freedom of Information Act, refer to *MH-III*, Chapter 2: Legal Issues.

H. List of Figures

Figure 1.1 NPS Forms in ANCS+

NPS Forms in ANCS+

Refer to Chapter 5 in the *ANCS+ User Manual* for information on how to complete the forms. You can complete the following forms using ANCS+ or Word.

Accession Forms
Accession Receiving Report, Form 10-95 Rev.
Deed of Gift, Form 10-830 Rev.
Accession Folder Cover Sheet, Form 10-255 Rev. – Word document
Source of Accession Card

Catalog-Related Forms
Museum Catalog Record-CR, Form 10-254 Rev.
Museum Catalog Record-NH, Form 10-254B Rev.
Receipt for Property, DI-105
List of Objects, Form 10-417
Object Condition Report, Form 10-637
Inventory of Museum Property, Form 10-349
Collections Management Report, Form 10-94 Rev.
Object Temporary Removal Slip, Form 10-97

Natural History Labels
Vertebrate Wet Specimen Label, Form 10-500
Vertebrate Specimen Label, Form 10-501
Skull Vial or Box Label, Form 10-502
Invertebrate Specimen Label, Form 10-503
Geology Collection, Form 10-504
Paleontology Label, Form 10-505
Wet Plant Specimen Label, Form 10-506
Invertebrate Label, Form 10-507
Egg Box Label, Form 10-508
Insect Label, Form 10-509
Annotation Label, Form 10-510
Mineral Collection, Form 10-511
Herbarium Collection, Form 10-512

Loan Forms
Incoming Loan Agreement, Form 10-98 Rev.
Outgoing Loan Agreement, Form 10-127 Rev.
Outgoing Loan Folder Cover Sheet, Form 10-640 Rev.
Outgoing Loan Extension, Form 10-641

Deaccession Forms
Deaccession Form, Form 10-643 Rev.
Deaccession Folder Cover Sheet, Form 10-644 Rev. – Word document
Transfer of Property, DI-104
Conveyance Agreement, Form 10-99
Exchange Agreement – Word document
Repatriation Agreement – Word document
Specialist Review Form

Archives Forms
Archives and Manuscript Collections Separation Sheet, Form 10-645 – Word document
Folder List, Form 10-96 Rev. – Word document

Figure 1.1. NPS Forms in ANCS+

Chapter 2: Accessioning

Page

A. Overview 2:1
What is accessioning? 2:1
Who must follow this chapter? 2:1

B. General Information on Accessions 2:1
What is an accession? 2:1
What are accession records? 2:1
When do I accession objects? 2:2
How soon must I catalog objects after accessioning them? 2:2
What are the types of NPS accessions? 2:2
What is a transfer of ownership document? 2:2
Where do I get the forms for accessioning? 2:3
Who reviews and makes recommendations about potential accessions? 2:3
Who signs the transfer of ownership document? 2:3
Must I accession objects left at the park for identification or consideration as a possible acquisition? 2:3
What if previous accessions lack the documentation outlined in this chapter? 2:3
Can an object have more than one accession number? 2:4

C. Acquisition Policies 2:4
What is the best accession policy? 2:4
Must all accessions fit within the SOCS? 2:4
Why is it important to make sure that accessions fit within the SOCS? 2:4
May a park acquire collections if it doesn't have the facilities or staff to manage them? 2:4
May I accession collections if I intend to deaccession them? 2:4
Should I encourage the park to acquire collections? 2:4
Do I accession reproductions? 2:5

D. Special Considerations for Accessions 2:5
What do I need to know about illicit trade? 2:5
Are there special acquisition considerations for archival and manuscript collections? 2:6
Are there special procedures for acquiring archival and manuscript collections? 2:6
Are there special considerations for acquiring firearms? 2:6
Are there special considerations for acquiring NAGPRA material? 2:6
Are there special requirements for acquiring threatened and endangered species? 2:6
Are there health and safety considerations when acquiring collections? 2:7

E. Acquiring Copyrights 2:7
What are copyrights? 2:7
Why is it important to consider copyrights when acquiring museum collections? 2:7
What types of material have copyrights? 2:7
How do I determine who owns the copyrights? 2:7
How does the owner transfer the copyrights? 2:7
What if the owner doesn’t want to transfer the copyrights? 2:8
What if the owner is willing to transfer some, but not all, of the copyrights? 2:8
What are some questions to ask when acquiring museum collections that have copyrights? 2:8

F. Gifts 2:8
What is a gift? 2:8
Who has the authority to accept gifts? 2:9
How do I document a gift? 2:9
How do I acknowledge a gift? 2:9
Does the NPS prohibit donations from certain sources? 2:9

When should I refuse a gift? 2:9
Can a park refuse a bequest? 2:10
Are there special considerations for bequests? 2:10
Can a park solicit donations? 2:10
Can a park receive a donation for a fractional interest in an object? 2:10

G. Gift Considerations 2:10
Does a gift automatically include copyrights? 2:10
Can a donor place restrictions on a gift? 2:11
Can I accession gifts into the collection to use in a deaccession? 2:11
Are donations tax deductible? 2:11
Can NPS staff appraise donations? 2:11
Are there special considerations for gifts of archival and manuscript collections? 2:12
What if I don't have a deed of gift on file for previous accessions? 2:12
May a park receive a donation of NAGPRA material? 2:12
What other types of documentation should I get for a gift? 2:12
Can I restrict access to donor information? 2:12

H. Purchases 2:13
What is a purchase? 2:13
Who has the authority to purchase museum objects? 2:13
How do I document a purchase? 2:13
Can a park use appropriated funds to purchase museum collections? 2:13
Can a park accept donations of cash to use for purchasing museum collections? 2:13
Can a park solicit donations of money to purchase museum collections? 2:14
Can a park conduct a fundraising campaign for money to purchase museum collections? 2:14
Can a park establish endowments to provide a permanent source of money to purchase museum collections? 2:14
How do I acknowledge a donation of money to use for purchasing museum collections? 2:14

I. Purchase Considerations 2:14
Do I need an ownership statement from the vendor? 2:14
What information should an ownership statement contain? 2:14
Does a purchase automatically include copyrights? 2:15
May I purchase firearms for the museum collection? 2:15
May I purchase NAGPRA material? 2:15
How do I record purchases that Harpers Ferry Center makes for exhibit or furnishings projects? 2:15
How do I record purchases by the park's cooperating association for the park's museum collection? 2:16
What is a purchase contract? 2:16
What do I need to include in a purchase contract? 2:16
Are there special considerations for purchasing archival and manuscript collections? 2:16
Should I get an appraisal for objects that the park wants to purchase? 2:16
What other types of documentation should I get for a purchase? 2:17

J. Exchanges 2:17
What is an exchange? 2:17
Who has the authority to make exchanges? 2:17
How do I document an exchange? 2:17
Does the NPS prohibit exchanges with certain sources? 2:18
Does the NPS have an order of preference for sources of exchanges? 2:18

K. Exchange Considerations 2:18
Must exchanges be of equal value? 2:18
Must the objects in an exchange be appraised? 2:18
Where can I find information about appraisals for exchanges? 2:19
Can I exchange natural history specimens? 2:19

Does an exchange automatically include copyrights? 2:19
Can I acquire NAGPRA material through an exchange? 2:19
Are there special considerations for acquiring archival and manuscript collections through an exchange? 2:20
May I accession objects expressly to use them in an exchange? 2:20
Who pays the transportation costs for an exchange? 2:20
What other types of documentation should I get for an exchange? 2:20

L. Transfers 2:20
What is a transfer? 2:20
Who has the authority to accept transfers? 2:20
How do I document a transfer? 2:20
Do I need an ownership statement for a transfer? 2:20

M. Transfer Considerations 2:21
Does a transfer automatically include copyrights? 2:21
How can I find out if other parks or agencies have material for transfer? 2:21
What if I don't have a transfer form on file for previous accessions? 2:21
May I receive a transfer of NAGPRA material? 2:21
Are there special considerations for acquiring archival and manuscript collections through a transfer? 2:21
Who pays transportation costs for a transfer? 2:22
What other types of documentation should I get for a transfer? 2:22

N. Field Collections 2:22
What is a field collection? 2:22
How do I document a field collection? 2:22
What if I receive collections from a field collection over a period of time in more than one batch? 2:23
Can I accession field collections that are not at the park? 2:23
What are field records? 2:23
Do I accession the field records when I accession a field collection? 2:24
Do field records automatically include copyright? 2:24
Are there restrictions on field records? 2:24
What if a field collection involves NAGPRA material? 2:25

O. Other Field Collections 2:25
What is an unauthorized field collection? 2:25
How do I document an unauthorized field collection? 2:25
Do I accession objects that were manufactured in the park as a field collection? 2:26
Do I accession objects without accession documentation as a field collection? 2:26
How can I make sure the documentation for an accession is really missing? 2:26
How do I accession objects that don't have documentation? 2:27
Does the park own the copyrights on materials found in the collection? 2:27

P. Incoming Loans 2:27
What is an incoming loan? 2:27
Why does the NPS accession incoming loans? 2:27
For what purposes may I borrow museum objects? 2:28
Must the objects I borrow fit within the park's SOCS? 2:28
How do I document a loan? 2:28
For how long may I borrow museum objects? 2:28
Must I catalog incoming loans? 2:28
Who makes the loan? 2:28

Q. Incoming Loan Considerations 2:28
May I make third-party loans? 2:28
Are there special procedures for loans between parks? 2:29

Are there special procedures for loans between parks and NPS centers? 2:29
Must I inventory incoming loans? 2:29
Are incoming loans subject to NPS collections management policies? 2:29

Where do I get the forms for incoming loans? 2:29
Does an incoming loan include copyrights? 2:30

R. Processing and Documenting Incoming Loans 2:30
Loan Identification and Review 2:30
Loan Requests 2:30
Insurance 2:30
Shipping 2:30
Loan Agreement 2:31
Attachments to the Loan Agreement 2:31
Signing the Loan Agreement 2:32
Filing the Loan 2:32
Receiving the Objects 2:32

S. Tracking Incoming Loans 2:33
ANCS+ Loans In Associated Module 2:33
Monitoring and Recall 2:33
Loan Extensions 2:34
Loan Termination 2:34
Documenting a Loan Return 2:34

T. Old Loans 2:35
What is an old loan? 2:35
Why is it important to resolve old loans? 2:35
How do I go about resolving an old loan? 2:35
How should I contact the lender? 2:36
What should I do to locate a missing lender? 2:36
What if I'm unable to locate the lender or legal owner? 2:37
What if someone other than the lender claims to own the property? 2:37
What if more than one person claims to be the owner of the property? 2:37
Does the park own the copyrights on materials in unclaimed loans? 2:37
What do I do if the loan remains unclaimed? 2:38
May I deaccession objects from unclaimed loans? 2:38
What do I do if the owner comes forward after I accession the unclaimed loan as a gift? 2:38

U. Accession Book 2:38
What is the accession book? 2:38
May a park have more than one accession book? 2:38
Should I store the accession book in a special place? 2:38
Should I make a copy of the accession book? 2:39
How do I make an entry in the accession book? 2:39
How do I make corrections to the accession book? 2:41
What if I find that an object is in the wrong accession? 2:41
How do I correct an entire accession book page? 2:42
What if I need to recopy the entire accession book? 2:42
What if I need to rebind the accession book? 2:43
Should I replace or deacidify my accession book if it is acidic? 2:43

V. Documenting Accessions 2:43
Receipt of Objects 2:43
Accession Receiving Report 2:44
Recording Condition 2:45
List of Objects 2:45

ANCS+ Accession Records 2:45
Accession Book 2:46
Tagging and Storing Objects 2:46
Accession Folder 2:46
Required Documents in the Accession Folder 2:47
Other Documents in the Accession Folder 2:48
Outgoing Loan and Deaccession Documents in the Accession Folder 2:49
Accession File 2:49
Source of Accession 2:49
Changing Accession Type 2:50

W. List of Figures 2:51

BASIC REQUIREMENTS FOR NPS ACCESSIONS

Accession all objects, specimens, and archival and manuscript collections that are part of the park's museum collection. Accession museum collections when you receive them.

Only accession museum collections that fit within the park's Scope of Collection Statement and that the park can manage according to NPS policies and standards.

An accession can be from only one source. Accession museum collections as one of the following types of transactions: gift, purchase, exchange, transfer, field collection, or incoming loan. Read the appropriate sections of this chapter for the type of accession you are documenting. There are special documentation requirements that you should be aware of for each accession type.

There must be a transfer of ownership document for a gift, purchase, exchange, or transfer.

- gift – Deed of Gift (Form 10-830 Rev.)
- purchase – an appropriate purchase document, such as a DI-1 or Procurement Request and invoice
- exchange – exchange agreement
- transfer – Transfer of Property (DI-104)

Field collections, such as archeological and natural history collections, are collected on park property. Field collections don't require a transfer of ownership document. Use the Accession Receiving Report (Form 10-95 Rev.) to document field collections.

Incoming loans require an Incoming Loan Agreement (Form 10-98 Rev.) to document transfer of custody.

The superintendent must approve all accessions and sign all transfer of ownership documents and incoming loan agreements.

Assign an accession number to all accessions. The NPS accession number consists of the park acronym, a dash, and a number. Tag the objects in the accession with the accession number and store them in an accession storage area until you can catalog them.

Isolate infested or unsafe collections immediately to avoid contaminating other material. Stabilize these collections after consulting with a conservator.

Enter all accessions into ANCS+. Print the accession forms from ANCS+.

Complete an Accession Receiving Report (Form 10-95 Rev.) that lists the objects in the accession for all accessions. Record the condition of the objects.

Enter all accessions into the Accession Book (Form 10-256).

Set up an accession folder for each accession. Store all documents for the accession in the folder.

Store all accession folders and the accession book in an insulated, locked file. Control access to this file.

CHAPTER 2: ACCESSIONING

A. Overview

1. *What is accessioning?*

Accessioning is the process of officially accepting items into National Park Service (NPS) museum collections. Accessioning establishes legal custody and ownership and provides information on how the NPS acquired the items. This chapter discusses the various ways to acquire collections and explains the basic procedures for documenting accessions.

2. *Who must follow this chapter?*

The staff person responsible for the museum collection must follow this chapter to accession museum objects and archival collections. You must accession all items that are part of the park's permanent museum collection and all incoming loans.

See Section A.6 of Chapter 1 in this handbook for information on staffing requirements for museum collections.

The NPS treats incoming loans as accessions. This chapter includes procedures on incoming loans. An incoming loan establishes custody but not ownership.

B. General Information on Accessions

1. *What is an accession?*

An accession is the acquisition of a single item or a group of items:

- from one source
- under one type of transaction (for example, gift)
- on one date

For example, an individual may sell a rifle to the park, and at the same time donate twenty Civil War documents. You would record this as two accession transactions: a purchase and a gift. If the same individual donates additional material one month later, this would be a third transaction. An accession can have one object or thousands of objects.

2. *What are accession records?*

Accession records document the legal transaction that establishes ownership (title) and custody of museum objects. Accession records also document general information about the accession. They consist of the accession book, the accession file, and the Automated National Catalog System (ANCS+) accession database. The accession file contains all pertinent documentation about the accession. It's important to keep records of all the steps you take in the acquisition process.

The accession book and accession file are permanent park records that must remain at the park. Restrict access to these records to the extent permitted by law.

Note: Catalog records provide detailed information about the items in an accession. All museum items must have both an accession number and a catalog number. Refer to Chapter 3 in this handbook for information on cataloging.

3. *When do I accession objects?*

You must accession objects upon receipt. Accessioning is the first step in documenting museum collections. No park should have an accessions backlog.

Note: In 1984, the Director issued a call to accession all museum collections. The call also included an instruction to keep up-to-date accession records for all future accessions.

4. *How soon must I catalog objects after accessioning them?*

Catalog accessions as soon as possible. Accessioned but uncataloged objects are a backlog of work that needs immediate attention. This material isn't a useful part of the collection until you catalog it. Uncataloged material is also more vulnerable to theft, since it lacks identifying numbers and descriptive catalog record data.

5. *What are the types of NPS accessions?*

There are six types of NPS accessions:

- gift
- purchase
- exchange
- transfer
- field collection
- incoming loan

Gifts, purchases, exchanges, and transfers are permanent and involve a transfer of ownership (title). Field collections document the collection of objects that are already park property. Incoming loans are temporary accessions involving a transfer of custody, not ownership.

Refer to Sections F-Q for specific information on the types of accession transactions.

Note: If you're not sure which accession type to use, consult your regional/support office (SO) curator or other curators with similar transactions. Once you make a determination, justify the decision in the accession file.

6. *What is a transfer of ownership document?*

Each accession must have a document transferring ownership (title) or custody. The type of document depends upon the type of accession transaction. For example, you must use a deed of gift to document accessions that the park receives as gifts. The document provides the basis for the park's claim to legal title and custody.

Refer to Sections F-Q for specific information on the types of accession transactions.

7. *Where do I get the forms for accessioning?*

Use ANCS+ to print blank or completed accession forms. Use acid-free paper to print the forms.

Acid-free paper is available from the Supply and Equipment Program of the Museum Management Program (MMP), National Center for Cultural Resources.

8. *Who reviews and makes recommendations about potential accessions?*

The curator and curatorial staff review all potential accessions and make recommendations to the superintendent. You should consult subject-matter specialists as needed.

The superintendent may choose to set up a collections advisory committee to review and make recommendations about potential accessions. A collections advisory committee is recommended, but not required, for accessions. The curator should be a member of the committee. Other members should represent relevant disciplines, depending on the type of material to review.

Note: The park must use a collections advisory committee for some types of deaccessions. The superintendent may want to use the same committee for accessions. Refer to Section C.4 of Chapter 6 in this handbook for information about the collections advisory committee.

9. *Who signs the transfer of ownership document?*

The superintendent and the authorized source of accession (such as the owner or institutional official) must sign the transfer of ownership document.

10. *Must I accession objects left at the park for identification or consideration as a possible acquisition?*

No. If the objects are there for less than 30 days, you don't have to accession them. However, you should discourage people from leaving objects at the park, especially if you can't provide a prompt response. For periods of less than 30 days, you may use a Receipt for Property, DI-105 (Figure 2.1). Note on the receipt the date that the owner must retrieve the property. Include the owner's name, address, and phone number on the receipt. File and track the receipt by the date of return.

You must accession material that is left at the park for more than 30 days as an incoming loan.

Note: Frequently taxonomists need to borrow specimens from other repositories to identify species. You can issue a receipt for property in these instances if the park doesn't keep the specimens for over 30 days.

11. *What if previous accessions lack the documentation outlined in this chapter?*

You must make a good faith effort to get the documentation. For example, the accession may lack a transfer of ownership document. If the other party to the transaction is still available, draft the required document and get it signed and dated. Attach a note that the document confirms a transaction made on an earlier date.

In the absence of any legal documentation, record all actions taken to trace the accession. At a minimum, complete the Accession Receiving Report, Form 10-95 Rev. (Figure 2.2). Refer to Section N of this chapter for additional information on recording undocumented accessions.

12. *Can an object have more than one accession number?*

No. An object can have only one accession number, which represents one accession transaction.

> ***Archival collections can have more than one accession number. Refer to Appendix D: Museum Archives and Manuscript Collections, in this handbook.***

C. Acquisition Policies

1. *What is the best accession policy?*

The best accession policy is a good Scope of Collection Statement (SOCS). All parks must have an approved SOCS that provides the basis for reviewing potential acquisitions. This document outlines the type of collections that:

- are essential to fulfilling the park's mission
- will enhance interpretation and research at the site
- legislation requires the park to preserve and maintain

Refer to the *Museum Handbook*, Part I *(MH-I),* Chapter 2: Scope of Museum Collections, for guidance on writing a SOCS. This chapter also has a section on acquisition criteria.

2. *Must all accessions fit within the SOCS?*

Yes. However, a museum collection may have objects from previous accessions that don't fit within the SOCS. The park's SOCS may also change over the years. In both these cases, you may deaccession objects that no longer fit within your SOCS. Refer to Chapter 6: Deaccessioning, in this handbook.

Note: Accessions that involve special short-term loans for exhibit don't have to fit within the SOCS.

3. *Why is it important to make sure that accessions fit within the SOCS?*

When you accession an object, it becomes subject to NPS regulations for museum property. Museum collections require money, staff time, and specialized supplies and equipment for proper maintenance, preservation, and use. For these reasons, you should carefully review acquisitions to make sure that they fit within the SOCS.

4. *May a park acquire collections if it doesn't have the facilities or staff to manage them?*

No. A park should only acquire museum collections that it can manage according to NPS policies and standards.

5. *May I accession collections if I intend to deaccession them?*

No. You may not accession objects outside the park's SOCS with the intent of deaccessioning them. Accessions are permanent additions to the museum collection that must fit within the park's SOCS. You may not acquire a collection with the intention of deaccessioning part of it.

6. *Should I encourage the park to acquire collections?*

Yes. You should make every reasonable effort to acquire museum collections that:

- become available and fit within the park's SOCS

- you can manage and make accessible according to NPS standards

For guidance and justification on acquisitions, refer to:

- the park's SOCS
- historic furnishings reports
- archival assessments
- exhibit plans
- natural resources inventory and monitoring guidelines
- subject-matter specialists

7. *Do I accession reproductions?*

Yes. You accession and catalog reproductions. You don't accession living history items (unless they are left on exhibit when not in use) or exhibition aids. Refer to Section IV in Chapter 4 of this handbook for additional information. There are special marking guidelines that help differentiate reproductions from originals.

D. Special Considerations for Accessions

1. *What do I need to know about illicit trade?*

Illicit trade involves illegal trafficking in museum items. You need to be aware of the manner in which the current and previous owner(s) obtained the material you plan to accession.

The owner(s) must have collected the material in an ethical manner compatible with professional disciplines and museum standards.

The owner(s) must have collected, exported, imported, transported, or otherwise obtained and possessed the material in full compliance with the laws and regulations of the:

- country of origin
- the United States federal government (including NAGPRA)
- individual states within the U.S.

You must make a reasonable effort to make sure that the owner(s) acquired the objects legally. The amount of effort depends on the type and value of the material. For example, get a complete provenience history from the owner. If you have any doubts about the material, check with organizations or offices that list missing or stolen objects. Refer to Section III in Chapter 4 of this handbook for a list of organizations.

Report suspect materials to the superintendent and the regional/SO curator. If you unknowingly accession objects in violation of this policy, you must make every possible effort to return the objects to the rightful owner.

2. *Are there special acquisition considerations for archival and manuscript collections?*

Yes. It is especially important to get the copyrights for archival or manuscript collections.

If possible, get signed release forms from individuals who appear in oral history or videotapes, photos, digital files, and motion pictures. Without a release form, you must get permission to use these materials in publications or exhibits or provide them to researchers. Refer to the *Museum Handbook*, Part III (*MH-III),* Chapter 3: Publications, for a sample release form.

3. *Are there special procedures for acquiring archival and manuscript collections?*

Yes. Archivists use the process of appraisal and evaluation to determine if a collection has value for a park. Refer to Sections A and G in Appendix D of this handbook for information on the categories of archival value and the appraisal process.

4. *Are there special considerations for acquiring firearms?*

Yes. The acquisition of firearms must be in compliance with all state and local law enforcement regulations. Consult the law enforcement personnel at your park for information on state and local regulations.

5. *Are there special considerations for acquiring NAGPRA material?*

Yes. NAGPRA refers to the Native American Graves Protection and Repatriation Act [P.L. 101-601; 25 USC 3001-3013; 104 Stat. 3048-3058]. The law requires you to consult with affected Native American groups if a proposed accession involves Native American:

- human remains
- associated and unassociated funerary objects
- sacred objects
- objects of cultural patrimony

Refer to the *Cultural Resource Management Guideline,* Appendix R: NAGPRA, for further information on NAGPRA compliance.

6. *Are there special requirements for acquiring threatened and endangered species?*

Yes. You can only acquire threatened and endangered species if the collector:

- has a valid permit from the United States Fish and Wildlife Service or the National Marine Fisheries Service to collect a threatened or endangered species, *and*
- has met all applicable requirements from the state, local government, tribal government, or foreign country to collect a threatened or endangered species

You may receive a gift of endangered or threatened species if the donor:

- has proof of pre-Act ownership, *and*
- the specimens haven't been offered for sale since the date of the Endangered Species Act.

The park must have a permit to purchase threatened and endangered species and objects that contain their parts.

7. *Are there health and safety considerations when acquiring collections?*

Yes. You need to get any treatment history for objects. This is especially important for organic objects that may have been treated with pesticides such as arsenic. If there is no written record, then interview the source.

Refer to the *MH-I,* Chapter 11: Health and Safety, for information on hazardous materials that have been used on objects. Section 2 in the *Conserve O Gram (COG)* series has information on arsenic, dichlorvos (vapona) and other hazardous materials.

E. Acquiring Copyrights

1. *What are copyrights?*

Copyrights are special property rights that legally grant creators, such as artists and authors, exclusive rights to their work. The copyrights to a work consist of a group of rights that a creator can transfer separately from the actual work. Copyrights include the right to reproduce a work, to publicly display it, and to distribute copies by sale.

2. *Why is it important to consider copyrights when acquiring museum collections?*

Acquiring an object without acquiring the copyrights can severely limit the park's use of the object. NPS acquisition policy requires parks to:

- determine who owns the copyrights
- if possible, have the owner transfer the copyrights to the NPS

3. *What types of material have copyrights?*

Copyrights cover original material in fixed form, such as paintings, photographs, sound recordings, and archival materials. Refer to the *MH-III,* Chapter 2: Legal Issues, for additional information on the types of material covered by copyrights.

Note: Government-produced documents and materials are in the public domain and don't have copyrights.

4. *How do I determine who owns the copyrights?*

The creator usually owns the copyrights to his/her work. If you are acquiring the work from someone other than the creator, ask for supporting documentation of copyright ownership.

Frequently, the owner may not know who has the copyrights. You'll then have to research the copyright status of the work. Refer to the *MH-III*, Chapter 2: Legal Issues, for information on the length of copyright protection. This chapter also includes steps you can take to research copyright.

The U.S. Copyright Office, Library of Congress, publishes several circulars on copyright, including Circular 22: *How to Investigate the Copyright Status of a Work*. Call 202-707-9100, or access their publications on-line at <http://www.loc.gov/copyright/circs/>.

5. *How does the owner transfer the copyrights?*

The NPS Deed of Gift, Form 10-830 (Figure 2.3) and sample exchange agreement (Figure 2.8) include copyright ownership and transfer statements. You can use a transfer of copyright statement (Figure 2.7) with purchases and transfers.

You must have a written transfer of copyright interests.

Note: Materials in an archival collection may contain copyrightable works, such as letters and photographs, from other people. The owner of the collection can't transfer the copyrights to these works. You must negotiate with the original creator to get the copyrights to these works.

6. *What if the owner doesn't want to transfer the copyrights?*

You must seriously consider whether to accept an object/archival collection that doesn't include a transfer of copyrights. If you don't own the copyrights, you have a restriction on the material.

Negotiate with the copyright owner to get as many copyrights as possible. At the very least, get written permission to use the materials for special purposes, such as park publications and exhibitions.

7. *What if the owner is willing to transfer some, but not all, of the copyrights?*

In some cases, the copyright owner may be willing to transfer some, but not all, of the copyrights. Clearly document which copyrights the park is receiving on the deed of gift, exchange agreement, or copyright statement. Also place a prominent note in the accession file to document which copyrights the park doesn't own.

8. *What are some questions to ask when acquiring museum collections that have copyrights?*

When you're acquiring and accessioning objects/archival collections that have associated copyrights, ask yourself the following questions:

- How long are the copyrights in effect?
- Who owns the copyrights? Has anyone researched the copyright status and ownership?
- Has the owner transferred all copyrights in writing? Where is the documentation for the transfer?
- If the owner hasn't transferred all copyrights, which ones does the park own? Which copyrights does the owner keep?
- If the owner won't transfer the copyrights, has there been a review and justification for acquiring the material without copyrights?

Be sure to document the answers to these questions. Store this information in the accession folder.

F. Gifts

1. *What is a gift?*

Gifts are outright donations from individuals or institutions, as well as bequests (posthumous gifts made in a will). The donor owns the property and transfers ownership to the NPS. The donor must warrant that he/she has full legal title to the object(s) and has full power and authority to donate the object(s) to the NPS. There can be no liens or other encumbrances of any kind against the gift or title to it.

2. *Who has the authority to accept gifts?*

The park superintendent has the delegated authority, through the Museum Properties Act of 1955, to accept donations. The superintendent cannot redelegate this authority. Single donations valued at $1 million or more require the Director's approval.

The NPS reserves the right to decline any gift.

3. *How do I document a gift?*

You must use the Deed of Gift, Form 10-830 Rev. (Figure 2.3) to document gifts to the NPS. As part of the accessioning process, complete a deed of gift that lists the objects in the gift. The deed of gift is a formal, legal agreement that transfers ownership and legal rights.

You can print a blank or completed deed of gift from ANCS+. Be sure to print this form on acid-free paper.

Make two copies of the deed of gift. The donor or authorized agent and the superintendent sign both copies of the form. The park keeps one copy in the accession folder, and the donor keeps the other copy.

4. *How do I acknowledge a gift?*

The superintendent should write a letter acknowledging receipt of the gift and thanking the donor for his or her support. If you send the letter with the deed of gift, you can include instructions for the donor to sign and return one copy of the deed of gift to the park. Refer to Figure 2.4 for a sample acknowledgement letter.

The letter is an official and personal expression of appreciation. It makes reference to the objects in the donation, and explains the importance of the donation to the museum. It might also mention that the gift is tax deductible to the extent permitted by law.

For some gifts, you may want to use a gift acknowledgement certificate (Figure 2.5). You can get gift certificates from the Supply and Equipment Program of the Museum Management Program, National Center for Cultural Resources.

You can also credit the donor through press releases, public events, and unobtrusive credit lines. The accession information should include the preferred credit line, if appropriate, such as "A gift from the J.H. Smith Family." Refer to Director's Order #21 for guidelines on donor recognition.

Note: You might want to publicize significant accessions to increase public awareness of the museum collection.

5. *Does the NPS prohibit donations from certain sources?*

Yes. Refer to Director's Order #21: Donations and Fundraising, for a list of prohibited sources of donation. For example, a park can't accept donations from persons or entities when acceptance would create a conflict of interest or the appearance of a conflict of interest for the NPS or the Department of the Interior.

6. *When should I refuse a gift?*

The superintendent should decline to accept a gift if:

- the material doesn't fit within the park's SOCS
- the park doesn't have the facilities or staff to manage the material according to NPS standards

- the object is not in good condition

Note: When declining a gift, thank the potential donor for his/her interest in the museum, and explain why the park can't accept the material. If possible, note other parks or museums that may have an interest in the material. The American Association of Museums (AAM) *The Official Museum Directory* is a good source for non-NPS museums.

7. *Can a park refuse a bequest?*

Yes. A park can refuse a bequest or only accept part of the material in the bequest. Consult the regional/SO curator before refusing a bequest. Other parks may be in need of the material.

8. *Are there special considerations for bequests?*

Yes. The lawyers for the estate may use a deed of gift or gift of personalty to document the gift. With the approval of the estate lawyers, you may use the NPS deed of gift form as the title transfer document.

In addition, document the bequest with:

- a copy of the provision of the will that concerns the bequest
- a final receipt accepting the objects in the bequest

Note: A bequest is not final until a court approves the administration of the estate.

9. *Can a park solicit donations?*

No. You may not ask for a donation of museum objects. Refer to Director's Order #21 for prohibitions against soliciting.

You may:

- describe the needs of the museum if a potential donor expresses interest
- respond to questions on how to make a donation
- get your friends group to approach a potential donor for you
- describe the needs of the museum to the general public

10. *Can a park receive a donation for a fractional interest in an object?*

Yes. This is a rare transaction, but a park can acquire an object as a partial gift and a partial purchase. The park pays a portion of the value of the object, and the seller donates a portion of the value. Record the transaction as a purchase, but document the partial donation with a deed of gift. Document the entire transaction on the accession receiving report.

G. Gift Considerations

1. *Does a gift automatically include copyrights?*

No. The Deed of Gift, Form 10-830 Rev. (Figure 2.3) allows the donor to transfer all copyrights. If the donor won't, or can't, transfer all copyrights, delete the copyright phrase from the deed of gift by drawing a line through it. Have both parties initial the change.

You should make every effort to get all copyrights when receiving gifts. Be aware that past gifts may not include copyrights.

Refer to Section E in this chapter for additional information on acquisitions and copyrights.

2. *Can a donor place restrictions on a gift?*

In accordance with NPS policy and general museum practice, you should only accept unrestricted gifts. Only the regional director can allow an exception to this rule. Gifts or bequests must be free of restrictions as to their use and future disposition. However, museum collections are subject to legal restrictions, such as privacy laws and classified data. Refer to the *MH-III*, Chapter 2: Legal Issues, for information on use and access restrictions.

You must carefully evaluate any restrictions on a proposed gift. Consult the regional/SO curator or solicitor or the DOI solicitor. Consider the park's need for the material, its intended use, and the impact of the restrictions on future collections management. Discuss potential gift restrictions, and negotiate with the owner for a more acceptable agreement.

Although counter to NPS policy, your collection may contain past acquisitions with donor restrictions. You must honor these restrictions to the extent allowed by law. Refer to the *MH-III*, Chapter 2: Legal Issues, for information on donor restrictions and the Freedom of Information Act (FOIA).

3. *Can I accession gifts into the collection to use in a deaccession?*

No. Gifts are permanent additions to the museum collection. You can't accession a gift with the intent to later deaccession the objects. Refer to Chapter 6: Deaccessioning, of this handbook for information on potential tax liabilities and the deaccession of gifts.

4. *Are donations tax deductible?*

Yes. Donations to the NPS are tax deductible to the extent permitted by law. The donor is responsible for:

- establishing the value of a gift for tax deduction purposes
- meeting Internal Revenue Service reporting requirements
- completing a Noncash Charitable Contributions form (IRS Form 8283)
- getting a professional (non-NPS) appraisal for items that total over $5,000

The NPS must acknowledge a donation that totals over $5,000 in one year by completing the donee acknowledgment portion of Form 8283. The donor will give you the form. Contact the regional/SO curator and regional solicitor if you have questions about noncash charitable contributions.

5. *Can NPS staff appraise donations?*

No. NPS staff may place values on objects for internal documentation and insurance purposes only.

NPS staff can't give donors monetary appraisals for donations.

Refer to Section IX in Chapter 4 of this handbook for information on appraisals.

6. *Are there special considerations for gifts of archival and manuscript collections?*

Yes. Getting all copyrights is especially important for archival and manuscript collections. See Section E in this chapter for information on copyrights. Be aware that archival collections may contain sensitive or legally-restricted material.

You also need to be aware of the need to get model and interview release forms as needed for the material in the collection. See Section D.2 in this chapter for information on release forms.

7. *What if I don't have a deed of gift on file for previous accessions?*

All gifts should have a signed, original deed of gift form on file. Gifts that the park received before 1985 might not have a deed of gift on file. Previous accessions may be documented by a donor letter signed by both parties or a last will and testament. Some early accessions may not have documentation of any kind.

Make every effort to get a signed deed of gift form if the donor, or donor's agent is still available. Note the earlier date of donation on the form. Document all your efforts to get a deed of gift. Keep this documentation in the accession file.

8. *May a park receive a donation of NAGPRA material?*

Yes. Consult with the affiliated Native American group when considering the acquisition. You must inform the donor that the park may repatriate the gift in response to a request from an affiliated group. You must add the material to the park's NAGPRA inventory or summary and continue to consult with the affiliated group(s). Follow the guidelines in the *Cultural Resource Management Guideline,* Appendix R: NAGPRA Compliance.

9. *What other types of documentation should I get for a gift?*

Get as much information as you can from the donor. You may not be able to get this information later, and it is of primary importance for documenting the object. Don't be afraid to ask questions. You may receive valuable information. Your interest may lead to additional donations that relate to the object. Donors may even spread the word of your interest, which may result in donations from others.

Make a paper copy of the donor information, and store it in the accession folder. You may also have donor information on media, such as tape or videotape. Place a reference in the accession file that includes the type of media and its location. If possible, create a written transcript of the media.

Note: Inform donors that the information they provide will become part of the public record and cannot be guaranteed absolute confidentiality. See Section G of Chapter 1 in this handbook for information on protecting sensitive or confidential information.

10. *Can I restrict access to donor information?*

Yes. Restrict access to donor names and addresses to the fullest extent of the law. You may have to release this information if you receive a Freedom of Information Act (FOIA) request. Refer to the *MH-III,* Chapter 2: Legal Issues, for information on FOIA requests.

H. Purchases

1. *What is a purchase?*

When you buy museum objects with park funds, you accession the objects as a purchase. The seller owns the property and transfers ownership to the NPS. The seller must warrant that he/she has full legal title to the object(s) and has full power and authority to sell the object(s) to the NPS. There can be no liens or other encumbrances of any kind against the object(s).

Note: Your park association or friends group may purchase museum collections for the park and then donate them to the park. These acquisitions are gifts, not purchases, since park funds were not used.

2. *Who has the authority to purchase museum objects?*

The park superintendent has the delegated authority to purchase museum collections at prices he or she considers reasonable. For major purchases, the superintendent should consult with an optional collections advisory committee or the regional/SO curator.

3. *How do I document a purchase?*

Documentation for purchases varies depending upon how you made the purchase and the purchasing authority for the park. Consult with your procurement staff for the appropriate way to make a purchase. Documentation includes:

- receiving report copy of the Order for Supplies or Services, Form 10-3470(2-97) or OF-347
- governmentwide purchase card (credit card) receipt
- DI-1 Requisition or Procurement Request and invoice or sales slip or vendor's receipt
- copy of the purchase contract

Note: If you don't have an original document, make an archival copy to include in the accession folder.

4. *Can a park use appropriated funds to purchase museum collections?*

Yes. A park can use appropriated funds in its budget for the purchase of museum collections. The curator or staff member responsible for the collection, can include the purchase of collections in budget requests.

5. *Can a park accept donations of cash to use for purchasing museum collections?*

Yes. The Museum Act of 1955 (16 U.S.C. 18f) authorizes the NPS to accept donations and bequests of money to purchase museum collections. Refer to Director's Order #21: Donations and Fundraising for a list of prohibited sources of donation. For example, a park can't accept donations from persons or entities when acceptance would create a conflict of interest or the appearance of a conflict of interest for the NPS or the Department of the Interior.

Single donations of $1 million or more require the Director's approval.

6. *Can a park solicit donations of money to purchase museum collections?*

No. You may not ask for donations of money to purchase museum objects. Refer to Director's Order #21 for prohibitions against soliciting.

You may:

- describe the needs of the museum if someone expresses an interest in donating money for purchasing museum collections
- respond to questions on how to donate money for purchasing museum collections
- get your friends group to approach a potential donor for you
- describe the needs of the museum to the general public
- have a catalog of needs with cost estimates

7. *Can a park conduct a fundraising campaign for money to purchase museum collections?*

No. However, a NPS partner, such as a friends group, may conduct fundraising campaigns for purchasing museum collections. The NPS partner must have a written agreement with the park. Refer to Director's Order #21 for guidelines on fundraising campaigns.

8. *Can a park establish endowments to provide a permanent source of money to purchase museum collections?*

No. However, a NPS partner, such as a friends group, can establish and manage an endowment for the park. The NPS partner must have a written agreement with the park. Refer to Director's Order #21 for guidelines on endowments.

9. *How do I acknowledge a donation of money to use for purchasing museum collections?*

The superintendent should write a letter acknowledging receipt of the cash donation and thanking the donor for his or her support. You can credit the donor through press releases, public events, and unobtrusive credit lines. The accession information should include the preferred credit line, if appropriate, such as "Purchased through a gift from the J.H. Smith Family." Refer to Director's Order #21 for guidelines on donor recognition.

I. Purchase Considerations

1. *Do I need an ownership statement from the vendor?*

Yes. Get an ownership statement when you purchase museum collections. An ownership statement protects the park from purchasing stolen property or property acquired through illicit trade. It also gives a history of ownership for the objects.

Note: The need for an ownership statement is dependent on the type of sale and the value of the objects. It is especially important to get an ownership statement from private individuals.

2. *What information should an ownership statement contain?*

An ownership statement should guarantee that the:

- seller is the owner or authorized agent for the owner of the property
- seller owns clear and free title to the objects without liens or other encumbrances
- objects are authentic and of the time period on the bill of sale

- seller has broken no customs, tax, records law, patrimony or other import and export laws or regulations

The seller should also note where he/she acquired the objects. A sample ownership statement appears in Figure 2.6.

3. *Does a purchase automatically include copyrights?*

No. You must have the seller sign a transfer of copyright statement to get the copyrights. A sample copyright statement appears in Figure 2.7.

You should make every effort to get all copyrights when purchasing museum collections. Be aware that past purchases may not include copyrights.

Refer to Section E in this chapter for additional information on acquisitions and copyrights.

4. *May I purchase firearms for the museum collection?*

Yes. However, you must be in compliance with all state and local law enforcement regulations.

You can't use the governmentwide purchase card to purchase firearms for the museum collection.

5. *May I purchase NAGPRA material?*

It depends on the material. You may not purchase human remains (either those subject to NAGPRA or those not subject to NAGPRA). In certain situations you may purchase funerary objects, sacred objects, or objects of cultural patrimony, if:

- the seller can verify that the original owner acquired the material legally
- the park acquires the material in compliance with NAGPRA, including consultation with the affiliated Native American group(s)

You must add the material to the park's NAGPRA inventory or summary. Follow the guidelines in the *Cultural Resource Management Guideline,* Appendix R: NAGPRA Compliance.

Note: You must be very cautious when purchasing NAGPRA material. It involves careful research and consultation to make sure that you don't acquire material in violation of the law. The park may have to pay for the services of a specialist to do the research.

6. *How do I record purchases that Harpers Ferry Center makes for exhibit or furnishings projects?*

Record objects that Harpers Ferry Center (HFC) purchases for exhibits and furnishings projects as purchases. HFC staff are acting as authorized agents for the park in making purchases with park or center money. HFC provides the park with purchase documentation that includes copies of sales receipts and information about the sale. The park signs a receipt for property when the objects arrive at the park.

7. *How do I record purchases by the park's cooperating association for the park's museum collection?*

When the park's cooperating association purchases museum collections for the park, record the transaction as a gift.

8. *What is a purchase contract?*

You may want to use a purchase contract for large or complex purchases, such as the purchase of an entire collection. A purchase contract spells out the conditions of the purchase.

9. *What do I need to include in a purchase contract?*

There is no standard purchase contract. The content of the contract depends on the purchase. Confer with the procurement staff at the park. The regional/SO curator can assist you with writing a purchase contract. Some things to address in a contract include:

- proof of ownership
- history of ownership (pedigree/provenance)
- transfer of all rights, title, and interests
- transfer of all copyrights
- NAGPRA issues, if relevant
- firearms restrictions, if relevant
- warranty that the collection is free of pesticides and hazards or that they are identified
- shipping and packing information
- insurance information
- date of purchase and possession
- release forms for archives

10. *Are there special considerations for purchasing archival and manuscript collections?*

Yes. Getting all copyrights is especially important for archival and manuscript collections. See Section E in this chapter for information on copyrights.

Be aware that archival collections may contain sensitive or legally-restricted material. You also need to be aware of the need to get model and interview release forms as needed for the material in the collection. See Section D.2 in this chapter for information on release forms.

11. *Should I get an appraisal for objects that the park wants to purchase?*

Yes. Get an appraisal for objects of high value in order to determine a fair purchase price. The seller may have an appraisal for the objects; however, the park may choose to get an independent appraisal.

12. *What other types of documentation should I get for a purchase?*

Get as much information as you can from the vendor. You may not be able to get this information later, and it is of primary importance for documenting the object. Don't be afraid to ask questions. If you don't get a response, document the fact that you asked. File the documentation in the accession folder.

J. Exchanges

1. *What is an exhchange?*

You can acquire objects for the museum collection through an exchange. You exchange objects that are outside the park's SOCS for objects that fit the park's SOCS. An exchange involves both a deaccession and an accession. The owner of the property you acquire transfers ownership to the NPS. The owner must warrant that he/she has full legal title to the objects and has full power and authority to use the objects in an exchange. There can be no liens or other encumbrances of any kind against the objects you acquire or the title to those objects.

You must be able to justify that the objects you acquire:

- fit the park's SOCS
- fill a need at the park
- will receive adequate care
- are of museum quality, or fit archival appraisal criteria

Exchanges require the deaccession of museum collections. Refer to Chapter 6: Deaccessioning, in this handbook, for guidelines on deaccessioning.

2. *Who has the authority to make exchanges?*

The park superintendent has the delegated authority to make exchanges that are fair, justified, and in the public interest. For major exchanges, the superintendent should consult with an optional collections advisory committee or the regional/SO curator.

The superintendent must consult with a collections advisory committee for exchanges outside DOI (excluding the exchange of natural history specimens). See Chapter 6: Deaccessioning, in this handbook.

3. *How do I document an exchange?*

You must use an exchange agreement to document an exchange. The exchange agreement is a formal, legal agreement that transfers ownership and legal rights. A sample exchange agreement appears in Figure 2.8. You may create your own exchange agreement, but it must include the introduction and sections 1-9 of the sample exchange agreement.

You can print a blank or completed exchange agreement from ANCS+. Print the agreement on acid-free paper.

Make two copies of the exchange agreement. The superintendent and the

legal owner, or his/her authorized representative, sign both copies of the agreement. The park keeps one copy in the accession folder, and the other party keeps the other copy. If you use the optional deaccession folder, make a copy of the signed agreement for this folder.

The exchange agreement includes the following attachments:

- a list of the objects that the park is acquiring
- a list of the objects that the park is deaccessioning
- appraisals of the objects (this is only required for exchanges outside the federal government)
- an ownership statement (see Figure 2.6 for a sample statement)

Note: For exchanges within the federal government, write, "Not Applicable" in Section 4 of the exchange agreement.

4. *Does the NPS prohibit exchanges with certain sources?*

Yes. You must clearly justify and document all exchanges so that they can withstand any public or professional scrutiny. You cannot exchange with sources if there is a real or apparent conflict of interest. For example, NPS employees and their relatives cannot appear to benefit in any way from an exchange.

5. *Does the NPS have an order of preference for sources of exchanges?*

Yes. Follow the order of preference in Section K.2 of Chapter 6 in this handbook. You should try to keep museum objects in the public trust whenever possible. According to NPS procedures and generally accepted museum practice, exchanges with private individuals and non-educational or non-cultural institutions are not recommended. Only exchange with private individuals and entities if the exchange is well justified, and you can't acquire the objects by other means.

K. Exchange Considerations

1. *Must exchanges be of equal value?*

Objects in an exchange should be approximately equal in monetary value. However, it is sometimes appropriate to exchange NPS objects for objects of lesser value. This situation might occur when the park has a great need for the objects and has been unable to get them elsewhere. You must fully describe such circumstances in the justification for the exchange. Explain why the exchange is in the best interest of the NPS and the general public.

2. *Must the objects in an exchange be appraised?*

Yes, unless the exchange is within the federal government. The NPS requires formal appraisals for exchanges outside the federal government. Formal appraisals are standard museum practice for determining monetary value. You need appraisals to show that the objects in the exchange are approximately equal in value. Get a minimum of one formal, written appraisal (sometimes referred to as "an arms-length appraisal") for objects below $20,000 in value. Get two appraisals for objects over $20,000 in value. You must have appraisals for the objects you deaccession and the objects you acquire.

Note: You don't need to do appraisals for most exchanges of natural history specimens. See question 4 below.

3. *Where can I find information about appraisals for exchanges?*

Refer to Section E of Chapter 6, in this handbook, for information on the appraisals you will need for an exchange. Refer to Section IX of Chapter 4, in this handbook, for information on appraisers and determining the value of objects.

4. *Can I exchange natural history specimens?*

Yes. The exchange of specimens is a common practice among scientists. The exchange of specimens doesn't require review by the collections advisory committee or a formal appraisal. However, for certain specimens, such as paleontology specimens, an appraisal may be appropriate. Consult the regional/SO curator before exchanging natural history specimens.

You may not exchange type or voucher specimens.

5. *Does an exchange automatically include copyrights?*

No. Section 5 of the sample exchange agreement allows the owner to transfer all copyright interests. You must include this section in any exchange agreement you create. If the owner won't, or can't, transfer all copyrights, delete the copyright section from the exchange agreement by drawing a line through it. Have both parties initial the change.

You should make every effort to get all copyrights when receiving museum collections. Be aware that past exchanges may not include copyrights.

Refer to Section E in this chapter for additional information on acquisitions and copyrights.

6. *Can I acquire NAGPRA material through an exchange?*

It depends on the material. You may not acquire human remains (either those subject to NAGPRA or those not subject to NAGPRA) through an exchange. In certain situations you may acquire funerary objects, sacred objects, or objects of cultural patrimony, if:

- the other party can verify that the original owner acquired the material legally
- the other party, if a museum, is in compliance with the NAGPRA statute
- the park acquires the material in compliance with NAGPRA, including consultation with the affiliated Native American group(s)

You must add the material to the park's NAGPRA inventory or summary. Follow the guidelines in the *Cultural Resource Management Guideline,* Appendix R: NAGPRA Compliance.

Note: You must be very cautious when acquiring NAGPRA material in an exchange. It involves careful research and consultation to make sure that you don't acquire material in violation of the law. The park may have to pay for the services of a specialist to do the research.

7. *Are there special considerations for acquiring archival and manuscript collections through an exchange?*

Yes. Getting all copyrights is especially important for archival and manuscript collections. See Section E in this chapter for information on copyrights.

Be aware that archival collections may contain sensitive or legally-restricted material. Be aware that you must get model and interview release forms, as needed, for the material in the collection. See Section D.2 in this chapter for information on release forms.

8. *May I accession objects expressly to use them in an exchange?*

No. The park items you use in an exchange must be outside the SOCS. A park may not acquire objects outside the SOCS. In addition, acquiring objects to use in an exchange gives the impression that the park is dealing in collections. There would also be potential tax liabilities if the park acquired an object for the purpose of using it in an exchange. Refer to Section C.7 of Chapter 6, in this handbook, for information on tax liabilities.

9. *Who pays the transportation costs for an exchange?*

Transportation costs are negotiable in an exchange. Usually the park pays transportation costs for the objects it is deaccessioning. You can modify Section 10 of the sample exchange agreement as needed for each exchange.

10. *What other types of documentation should I get for an exchange?*

Get as much information as you can from the other party in the exchange. You may not be able to get this information later, and it is of primary importance for documenting the object. Don't be afraid to ask questions. If you don't get a response, document the fact that you asked.

Note: Keep the original accession documents for the material you deaccession. Provide the other party with copies of documentation needed to manage the objects.

L. Transfers

1. *What is a transfer?*

When other parks or federal agencies transfer museum objects to your park, you accession the objects as a transfer. The other park or agency transfers title and control of the property to your park. Your park must agree to the transfer. Most transfers occur between parks.

2. *Who has the authority to accept transfers?*

The park superintendent has the delegated authority to accept transfers from any federal agency.

3. *How do I document a transfer?*

Document a transfer with a Transfer of Property, DI-104 (Figure 2.9). The park or agency that is transferring the objects completes the transfer form and makes two copies. The accountable officer for the other park or agency and the superintendent at your park sign both copies of the transfer. Keep one copy in the accession folder and return the other copy.

4. *Do I need an ownership statement for a transfer?*

Yes. You don't necessarily need a signed statement as in Figure 2.6, but you do need copies of the accession or ownership documents. Ownership documents include such items as donor letters, previous transfers of property, and sales receipts. These documents provide a history of ownership for the objects you will accession. File this information in the accession folder.

If you receive a transfer from another park, there should also be a title verification statement on the transfer. Refer to Section L.2 in Chapter 6, in this handbook.

M. Transfer Considerations

1. *Does a transfer automatically include copyrights?*

No. You must have the other park or agency sign a transfer of copyright statement to get the copyrights.

A sample copyright statement appears in Figure 2.7.

You should make every effort to get all copyrights when receiving transfers of museum collections. Be aware that past transfers may not include copyrights.

Refer to Section E in this chapter for additional information on acquisitions and copyrights.

2. *How can I find out if other parks or agencies have material for transfer?*

Parks may advertise the need for objects:

- on the curatorial bulletin board
- on the Museum Management Program's web site
- in the Clearinghouse Classifieds newsletter

Other federal agencies have newsletters, electronic bulletin boards, or web sites that may include lists of objects available for transfer. You may also advertise objects available for transfer using any of these options.

3. *What if I don't have a transfer form on file for previous accessions?*

All transfers should have a signed, original transfer of property form. Transfers that the park received before 1985 might not have a transfer form on file. Some early accessions may have very little documentation of any kind.

If you can determine that a previous accession was a transfer, try to get a signed transfer form from the other park or agency. Note the earlier date of transfer on the form. Document all your efforts to get a transfer form. Keep this documentation in the accession file.

4. *May I receive a transfer of NAGPRA material?*

Yes. However, you must have the consent of all affiliated Native American groups.

You must add the NAGPRA material that you acquire to the park's NAGPRA inventory or summary. Follow the guidelines in the *Cultural Resource Management Guideline,* Appendix R: NAGPRA Compliance.

5. *Are there special considerations for acquiring archival and manuscript collections through a transfer?*

Yes. Getting all copyrights is especially important for archival and manuscript collections. See Section E in this chapter for information on copyrights.

Be aware that archival collections may contain sensitive or legally-restricted material. You also need to be aware of the need to get model and interview release forms as needed for the material in the collection. See Section D.2 in this chapter for information on release forms.

6. *Who pays transportation costs for a transfer?*

Usually the receiving park pays the transportation costs for a transfer.

7. *What other types of*

Request copies of all the documentation for the objects you're receiving.

documentation should I get for a transfer?

This includes accession records, catalog records, research notes, catalog folder contents, conservation records, and any other information available. The park or agency that is transferring the objects keeps the original documents.

N. Field Collections

1. *What is a field collection?*

Field collections are accessions of museum objects/specimens and field records that are park property. Most field collections are archeology or natural history collections. The authority for collecting objects or specimens is usually a permit or contract.

Accession resource management records as a field collection.

A park produces resource management records in the process of preserving its cultural and natural resources. These records document research, preservation, and restoration work and provide "baseline data" for ongoing management of resources. They include records and files that document resource management projects such as:

- ruins maintenance
- natural science inventories
- historical architecture research and maintenance
- cultural landscape research and maintenance

2. *How do I document a field collection?*

There is no transfer of ownership document for field collections, since the park has title to these collections. Use a Receipt for Property, Form DI-105 (Figure 2.1) to document receipt of material from authorized collectors. Print the name of the field collector and the project name on the receipt for property.

Don't issue a receipt for property if the collector doesn't bring the material to the museum. Some collections go directly from the field to a repository for analysis and storage. You'll need to accession the collection and place it on outgoing loan. Note on the Accession Receiving Report, Form 10-95 Rev. (Figure 2.2) that the park didn't receive the collection. Refer to Chapter 5, in this handbook, for information on outgoing loans.

Use the Accession Receiving Report, Form 10-95 Rev. (Figure 2.2) to document information about a field collection. It's important to get information from the collector to complete the report.

3. *What if I receive collections from a field collection over a period of time in more than one batch?*

You may receive more than one delivery of materials (objects/specimens, field records) from a single project. Issue a receipt for property for each delivery. You may assign a single accession number to the material if the project has the same:

- funding source
- project name
- geographic location

You must complete a receipt for property and update the accession receiving report and inventory for each delivery. Add the dates of additional deliveries and other pertinent information about each delivery in the Other Comments field in the ANCS+ accession record. This information will print in the Remarks section of the accession receiving report. Print a copy of the updated Accession Receiving Report, Form 10-95 Rev. (Figure 2.2) for each delivery. Store all copies of the accession receiving reports in the accession folder.

Note: For multi-year accessions, remember to make adjustments to your annual Collections Management Report (CMR). Adjust the number of items in the accession after the first year. Note that the adjustment is due to a multi-year accession.

4. *Can I accession field collections that are not at the park?*

Ideally, you should accession a field collection before it leaves the park. However, at times field collections are removed from a park before being accessioned. You must accession these collections as soon as possible. Contact the repository or collector for the information you will need to complete the accession records. Then give the repository or collector the accession information for the collection. It's not a good practice to assign accession numbers in advance.

Make sure you complete ANCS+ accession records for field collections that are not at the park. Provide accession information to the repository or collector who is cataloging the collection.

5. *What are field records?*

The term "field records" is sometimes used to describe the associated records that accompany the objects and specimens from an authorized collecting project, such as an archeological investigation. These associated records are a subset of resource management records. Field records include:

- field notes, journals, and diaries
- maps, graphs, and charts
- reports
- databases
- geographic information system records
- photographs, slides, and other documentary images of collecting localities, such as large scale aerial photographs

- correspondence
- audiotapes and videotapes

6. *Do I accession the field records when I accession a field collection?*

Yes. You must accession the field records along with the objects/specimens from a field collection. The permit or contract that authorizes the collection should state that all associated records are the property of the park.

The collector must provide a key to any abbreviations or codes.

Note: Collectors frequently keep their original field notes and give copies to the park. This is acceptable. For preservation purposes, it's a good idea to copy all paper field records onto archival paper.

7. *Do field records automatically include copyrights?*

The ownership of the copyrights depends on who created the records:

- When NPS or other federal staff produce field records while functioning in their official capacity as a government employee, the field records are in the public domain.
- Those who produce field records under contract own the copyrights to the records unless the contract states otherwise. The contract should state that:
  - the work (including field records) is a federal work-for-hire, meaning that the contractors have produced the records as part of their responsibilities, and therefore the records are in the public domain, *or*
  - the contractor transfers all intellectual property rights, including all copyrights and release forms, to the park
- Non-federal entities who produce field records under collecting permits own the copyrights to the field records they produce. Parks should try to get the copyrights whenever possible. A good way to do this is to state as a condition of the permit that field records (or copies) and the copyrights become park property.

Refer to the *MH-III*, Chapter 2: Legal Issues, for additional information about copyrights and federal contractors.

8. *Are there restrictions on field records?*

Yes. It is important to note restrictions at the time of accession. By law, you must place restrictions on the location data for:

- archeological excavations, including shipwrecks -- Archaeological Resources Protection Act (ARPA) of 1979 (16 USC 470)
- caves and cave resources – Federal Cave Resources Protection Act of 1988 (16 USC 4301-4309)
- historic resources at risk of harm, theft, or destruction – National Historic Preservation Act of 1966, as amended (16 USC 470-470t, 110)
- information concerning the nature and specific location of mineral or paleontological specimens or objects of cultural patrimony within units

of the NPS or resources that are endangered, threatened, rare, or commercially valuable – National Parks Omnibus Management Act of 1998 (16 USC 5937)

You should also place restrictions on the following location data; however, these data may be subject to Freedom of Information Act (FOIA) requests.

- Indian sacred sites – Executive Order 13007—Indian Sacred Sites (May 24, 1996)
- nesting sites or specific habitat on threatened and endangered species – Endangered Species Act of 1973, as amended (16 USC 1531-1543)
- paleontological sites

Refer to the *MH-III,* Chapter 2: Legal Issues, for additional information about restrictions and FOIA requests.

9. *What if a field collection involves NAGPRA material?*

Authorized collectors must notify and consult with affected Native American groups about NAGPRA material before it is collected. When accessioning NAGPRA items, get as much information as possible from the collector. This is the most readily available evidence for determining cultural affiliation. Recording this information at the time of accession can make NAGPRA compliance much easier.

You must add the NAGPRA material that you acquire to the park's NAGPRA inventory or summary. Follow the guidelines in the *Cultural Resource Management Guideline,* Appendix R: NAGPRA Compliance.

O. Other Field Collections

1. *What is an unauthorized field collection?*

An unauthorized field collection may occur if an individual collects objects/specimens in the park without a permit or contract. For example, visitors may occasionally turn in objects that they have found in the park.

> ***NPS policies prohibit unauthorized collecting. Strongly discourage this type of accession. Consider returning the objects to their original location, if possible.***

Parks may want to establish a Standard Operating Procedure (SOP) for how to handle unauthorized collecting.

2. *How do I document an unauthorized field collection?*

If you have to accession an unauthorized field collection, record it as a field collection. Use the Accession Receiving Report, Form 10-95 Rev. (Figure 2.2) to record the:

- details of the collection location
- finder's name and address
- name of the staff member who received the material
- any other details that relate to the material or its collection

List the park as the source of accession on the report. Don't issue a receipt for property for an unauthorized field collection.

3. *Do I accession objects that were manufactured in the park as a field collection?*

Yes. Park staff, contractors, or cultural demonstrators may make objects in the park that become part of the museum collection. Accession these objects as a field collection. Have the maker sign a statement that he or she produced the objects while working for the park. Get as much information as possible from the maker about the object. File this information in the accession folder.

4. *Do I accession objects without accession documentation as a field collection?*

Yes. If you are unable to find any documentation to tell how the park acquired the objects, accession the objects as a field collection. Many parks have material from unknown sources in the park museum collection. You may find undocumented material in the collection or in other storage areas of the park.

It may not always be easy to determine whether objects that you find without accession documentation are museum material. The objects should fit within the park's SOCS, or relate in some way to other material in the collection. When in doubt, consult other park staff or your regional/SO curator.

Note: If you find out the source of the material at a later date, change the accession information. See Section V.14 for information about changing accession type.

5. *How can I make sure the documentation for an accession is really missing?*

Do a thorough and organized search for the missing documentation. Record everything that you know about the objects and the source of that information. You may want to create a checklist to record the steps you take and the information you find. Some questions to ask include:

- Does the location in which you found the material supply information?
- Can other staff give you information?
- Can you locate former staff and interview them?
- Has someone labeled the material incorrectly?
- Is the material actually part of another accession?

If there is evidence of a source of accession, try to locate the other party to get a transfer of ownership document. Refer to Section B.11 of this chapter.

Be sure to document the sources you contact and the information you find, even if it's negative or inconclusive. Distinguish facts from theories or assumptions. Thorough records can prevent later duplications of effort and add to the interpretive value and history of the collection.

Note: Searching for missing accession documentation can be time-consuming and complex. You often don't get any clear-cut answers or solutions. You may want to consult with your regional/SO curator before conducting a search.

6. *How do I accession objects that don't have documentation?*

Enter only the known facts about the accession in the accession book. Use the date of entry in the accession book as the acquisition date. This is the date that the park acknowledged custody of the objects. The source of

accession for collections without documentation is the National Park Service or "Unknown."

Complete an Accession Receiving Report, Form 10-95 Rev. (Figure 2.2) for the accession. In the Remarks field, describe how and where the material was found and who found it. If you've done research on the accession, include a working hypothesis on the source of the material. List the sources you used, including the names and addresses of people you interviewed.

Include your research notes and documentation in the accession folder. Make sure that the accession folder contains all the information that you know about the objects.

7. *Does the park own the copyrights on materials found in the collection?*

The park can't assume that it owns the copyrights on materials that are found in the collection without accession documentation. Refer to the *MH-III*, Chapter 2: Legal Issues, for information on what types of materials are protected by copyright.

P. Incoming Loans

1. *What is an incoming loan?*

Museum collections for which you have temporary custody are incoming loans. There is no transfer of ownership with an incoming loan. The lender is the owner of the property. The park or NPS center is the custodian of the property for a specific period of time. Parks receive incoming loans from other parks, institutions, or individuals. NPS centers receive incoming loans from parks. The NPS treats incoming loans as accessions.

Note: Museum collections that are at a park for less than 30 days are not incoming loans. Issue a Receipt for Property, DI-105 (Figure 2.1) when you receive objects for less than 30 days. Note on the receipt the date that the owner must get the property. Include the owner's name, address, and phone number on the receipt. File and track the receipt by the date of return. If you decide to keep the objects for more than 30 days, you must complete an Incoming Loan Agreement, Form 10-98 Rev. (Figure 2.11).

2. *Why does the NPS accession incoming loans?*

The NPS uses the accession number as the incoming loan number to avoid an additional numbering system. Accessioning incoming loans also provides these objects with the same accountability system that you use for the collections that the park owns.

You must accession all incoming loans. Follow the procedures in Sections U and V of this chapter.

3. *For what purposes may I borrow museum objects?*

Parks usually borrow museum objects for exhibition or research. You may borrow museum objects for any reason consistent with the purposes of the park.

Note: In general, it doesn't benefit the park to have objects in your collection that you don't own. Limit incoming loans to objects you need for very specific purposes, such as a temporary exhibit.

4. *Must the objects I borrow fit within the park's SOCS?*

No. Objects that you borrow for short-term exhibits and research don't need to fit within the park's SOCS. Objects that you borrow for periods of over a year should fit within the SOCS.

5. *How do I document a loan?*

You must use the Incoming Loan Agreement, Form 10-98 Rev. (Figure 2.11) to document loans to the NPS. As part of the accessioning process complete an incoming loan agreement that lists the objects in the loan. The incoming loan agreement is a formal, legal agreement that transfers custody for a specific period of time.

Refer to Section R of this chapter for additional information on the incoming loan agreement.

6. *For how long may I borrow museum objects?*

Limit the length of incoming loans to three years. You can extend the loan after three years if needed. NPS centers should review and extend incoming loans from parks every ten years.

7. *Must I catalog incoming loans?*

Yes, if you keep them for over a year. You don't have to catalog incoming loans that you keep for less than one year. Cataloging is usually part of the purpose for incoming loans to NPS centers.

Note: Don't mark the objects with a catalog number. Tag incoming loans with the catalog number.

8. *Who makes the loan?*

As the staff person responsible for the museum collection, you must review all potential loans and make recommendations to the superintendent.

The superintendent approves or disapproves all incoming loans.

Once the superintendent approves the loan, you're responsible for processing, documenting, and tracking the loan.

Q. Incoming Loan Considerations

1. *May I make third-party loans?*

No. The NPS doesn't permit third-party loans. You may not loan out material that you acquired as an incoming loan.

Note: Parks may grant NPS centers blanket approval to make third-party loans for routine conservation, exhibit, or analysis.

2. *Are there special procedures for loans between parks?*

Yes. The incoming loan agreement is optional if you receive a loan from another park. The lending park must follow the procedures in Chapter 5: Outgoing Loans, of this handbook.

If your park is the borrower:

- treat the loan as an incoming loan
- use the lending park's outgoing loan agreement in place of an incoming loan agreement
- follow all other incoming documentation procedures as outlined in this chapter
- place the accession number you assign to the incoming loan on the lender's outgoing loan form

Note: For CMR and tracking purposes, you must enter the incoming loan into the Loans In associated module of ANCS+. If you want to have an incoming loan agreement, you can print one from this module.

3. *Are there special procedures for loans between parks and NPS centers?*

Yes. The lending park must follow the procedures in Chapter 5: Outgoing Loans, in this handbook. Refer to Section F of Chapter 5 for special procedures for lending objects to centers.

The NPS center may:

- use the lending park's outgoing loan agreement in place of an incoming loan agreement, *or*
- complete an incoming loan agreement for the park

4. *Must I inventory incoming loans?*

Yes. Incoming loans are controlled property that you must include in the annual inventory. When you catalog incoming loans, enter a "Y" in the Controlled Property field. You must inventory all controlled property annually. Refer to Section I of Chapter 4 in this handbook for instructions on completing a controlled property inventory.

NPS centers don't treat incoming loans from parks as controlled property. Centers inventory individual objects within the loan that meet controlled property criteria.

Note: You must make incoming loans available for the lender to inventory, as needed. The lender may ask you to verify in writing or by phone the presence and condition of objects.

5. *Are incoming loans subject to NPS collections management policies?*

Yes. Objects on incoming loan are subject to NPS museum management policies. Incoming loans appear on the annual Collections Management Report (CMR). Refer to Section VIII of Chapter 4 in this handbook for information on the CMR.

6. *Where do I get the forms for incoming loans?*

Use ANCS+ to print blank or completed incoming loan forms. Use acid-free paper to print the forms.

Acid-free paper is available from the Supply and Equipment Program of the

Museum Management Program, National Center for Cultural Resources.

7. *Does an incoming loan include copyrights?*

No. Incoming loans don't include copyrights. Copyrights for material on loan stay with the owner of the material. As a condition of the loan, you may negotiate permission to use the materials for special purposes, such as park publications and exhibitions.

R. Processing and Documenting Incoming Loans

You are responsible for processing and documenting the loan transaction. For an overall view of the loan process, refer to Flow Chart Figure 2.14.

1. *Loan Identification and Review*

You or other park staff, such as exhibit specialists or interpreters, may identify objects you want to acquire on loan. If your park has a collections advisory committee, have them review the potential loan. You may also want to consult with the regional/SO curator before negotiating the loan.

Refer to Section B.8 of this chapter for information on the collections advisory committee.

2. *Loan Requests*

Request and arrange loans in advance. You should send a formal letter of request from the superintendent. You and the lender must agree to the terms of the loan. The lender may send you a sample loan agreement and conditions. You may want to send the lender a copy of the Incoming Loan Agreement, Form 10-98 Rev. (Figure 2.11) and Conditions for Incoming Loans, Form 10-98a Rev. (Figure 2.12) for review.

Before approving the loan, the lender may request that you complete a facility report. A facility report provides the lender with written evidence that the park can adequately care for the loan. You can get a facility report from the American Association of Museums or the NPS Museum Management Program.

3. *Insurance*

Non-federal museums, private owners, and state or local agencies may require insurance coverage as a condition for a loan. As the borrower, you're responsible for paying for the insurance. You don't need insurance for loans from other parks or from most other federal agencies. The agency will tell you if you need to purchase insurance.

Refer to Section VII of Chapter 4 in this handbook for information on purchasing insurance.

4. *Shipping*

As the borrower, you are responsible for arranging the shipping with the lender's approval. You pay all the shipping costs. You may negotiate to have the lender arrange for shipping and charge the shipping costs to you.

Unless otherwise agreed to in writing, parks are responsible for shipping arrangements and costs for incoming loans to NPS centers.

Refer to *MH-I,* Chapter 6: Handling, Packing and Shipping Museum Objects.

5. *Loan Agreement*

The lender should send you two copies of the lending institution's loan agreement that contains the conditions of the loan. Have your superintendent sign both copies of the agreement, and return one copy to the lender. You must also complete an Incoming Loan Agreement, Form 10-

98 Rev. (Figure 2.11) for all incoming loans. You cannot substitute a non-NPS form for Form 10-98. The loan agreement includes:

- the purpose for the loan
- starting and ending dates
- address and contact names for both parties
- the objects in the loan
- a credit line
- shipping and packing information
- insurance coverage information
- specific conditions concerning the loan

You can print a completed incoming loan agreement by using the Loans In associated module in ANCS+. Refer to the ANCS+ User Manual for instructions. Print the form on acid-free paper.

Note: See Figure 2.10 for instructions on completing and sending the incoming loan agreement.

6. *Attachments to the Loan Agreement*

Attach a list of objects and the conditions for the loan to the loan agreement.

List of Objects

For large loans, attach a list of objects to the loan agreement. You may attach:

- a copy of the lender's list of objects with the lender's catalog numbers, if appropriate
- a copy of the ANCS+ accession receiving report continuation sheet that includes a list of objects in the accession
- an inventory list or computerized list that you create

Note: After you catalog the objects in the loan, you can complete the List of Objects, Form 10-417 (Figure 2.14) using ANCS+. Attach this form to the incoming loan agreement.

The list of objects in the loan should include:

- object name
- brief description
- item count or quantity
- condition
- value (if appropriate)

- space for comment

Conditions
Attach the Conditions for Incoming Loans, Form 10-98a Rev. (Figure 2.12) to the incoming loan agreement. If additional conditions are necessary, note them in the additional loan condition section of the incoming loan agreement.

7. *Signing the Loan Agreement*

Your superintendent and the lending official are responsible for meeting the terms of the loan agreement.

Your superintendent signs two copies of the incoming loan agreement and sends them to the lender. The lender signs both copies, returns one copy to the park, and keeps the other copy.

For incoming loans to NPS centers, the center manager must sign the loan agreement.

8. *Filing the Loan*

Store all the documents for the loan in the accession folder. Refer to Section V of this chapter for information on the accession folder.

9. *Receiving the Objects*

When you receive an incoming loan:

- Give the objects time to acclimatize before unpacking.
- Unpack and inspect the objects.
  - photograph packing techniques for awkward or fragile objects to help you when repacking
  - photograph poor packing to document to the lender that the park is not responsible for shipping damage
  - save and reuse the packing materials (if professionally or well-packed) for return of the loan.
- Document the condition of the objects. Photograph any objects that were damaged in shipment. Notify the owner and insurance company immediately, if necessary.

If the lender…	*Then…*
has completed an object condition report,	note any changes or "no change," date, and sign the report.
hasn't completed an object condition report,	you may want to complete one to protect the park from possible disputes over object condition.

- Record the loan in the accession book (refer to Section U of this chapter for information on the accession book).
- Complete an Accession Receiving Report, Form 10-95 Rev. (Figure 2.2), and create an accession folder. Refer to Section V of this chapter for information on documenting accessions.
- Tag the objects with NPS accession numbers.
- Send a memo or e-mail message to the lender to acknowledge receipt of the objects. Keep a copy in the accession folder.

Note: ANCS+ will print an Object Condition Report, Form 10-637 from the condition information you enter on the catalog record.

S. Tracking Incoming Loans

You are responsible for tracking all incoming loans. Keep up-to-date loan agreements for all incoming loans.

1. *ANCS+ Loans In Associated Module*

Use ANCS+ to track incoming loans by return date. By entering your incoming loans into ANCS+, you can print all the loan forms and sort and track your loans by return date. ANCS+ contains all the required fields for loan data.

Refer to Section V of Chapter 4 in the *ANCS+ User Manual* for information on using the Loans In associated module.

Note: NPS centers may use a customized version of the ANCS+ Loans In associated module to track incoming loans.

2. *Monitoring and Recall*

All incoming loans, with the exception of incoming loans to NPS centers, should include a regular monitoring schedule. Conducting an annual inventory of controlled property is sufficient monitoring for most loans. You may need to monitor certain objects, such as those on exhibit, more frequently.

You should give at least 30 days written notice to cancel a loan before the termination date. Most lenders reserve the right to end a loan within 30 days written notice.

3. *Loan Extensions*

The lender will usually tell you when a loan is coming due. If you don't

hear from the lender, it is your responsibility to contact the lender.

You may request a loan extension. Give an extension a specific ending date, not to exceed three years. NPS centers can extend incoming loans for up to ten years.

The lender may ask you to update a facility report when negotiating a loan extension. You will also have to extend insurance coverage, if applicable. Provide the lender with a copy of the certificate of insurance for the extension period.

The lender may extend the loan with a loan extension form, letter, or new loan agreement. Review the extension document and have the superintendent sign and return it to the lender. Keep a copy with the original loan agreement. If the lender extends the loan by letter, have the superintendent send a written acknowledgment of the extension. Include the new ending date for the loan in the acknowledgment.

Update the Incoming Loan Agreement, Form 10-98 Rev. (Figure 2.11) with the new extension date and any new loan conditions. Don't create a new incoming loan agreement. Send a copy of the updated agreement to the lender. File all loan extension documentation in the accession folder.

4. *Loan Termination*

Before the termination date of the incoming loan, make arrangements for shipping and packing the objects. You, as the borrower, are responsible for shipping and packing costs.

Pack objects using the same packing methods as the lender. If the objects were poorly packed, refer to *MH-I,* Chapter 6, Handling, Packing, and Shipping Museum Objects. Consult with the lender if you change the packing.

Make sure the lender receives the objects. Contact the lender to verify receipt.

Send a letter requesting the lender to sign the original incoming loan agreement and return it to the park. Keep the signed, terminated loan agreement and all other documentation on the loan in the accession file.

5. *Documenting a Loan Return*

To document the return of an incoming loan:

- Note the return of the loan in the accession book in the Remarks column.
- Note the return of the loan on all other accession documents, including the accession receiving report.
- Enter "Returned" in the Status field in the ANCS+ Loans In associated module.
- Enter "Deaccessioned" in the Catalog Status field on the ANCS+ accession record.
- Enter "Deaccessioned-Loan Returned" in the Object Status field on the catalog records for the objects in the loan.

- Change the Location field on the catalog records for the objects in the loan. Note that the loan was returned.

- Change the Controlled Property field to "N" on the catalog records for the objects in the loan.

Don't use the ANCS+ Deaccessions associated module for the return of incoming loans. Use this module only when the park owns an item and is giving up ownership. The NPS uses the term "deaccessioned" for the return of incoming loans because the loan has been accessioned. The return of a loan is a type of deaccession, but it involves a change of custody, not ownership.

Note: The return of incoming loans appears in the deaccession section of the Collections Management Report (CMR).

T. Old Loans

1. *What is an old loan?*

The curatorial staff at many parks face the problem of old loans. Old loans may be:

- loans that have expired, and you cannot locate the owner

- long-term loans without a termination date that the lender hasn't claimed

- partially or undocumented loans

Note: There is generally some form of documentation, such as a letter, that lets you know that you're dealing with a loan. Refer to Section N of this chapter for information on accessioning objects that you find in the collection without any documentation.

To avoid the problem of unclaimed loans in the future, attach the Conditions for Incoming Loans, Form 10-98a Rev. (Figure 2.12) to the loan agreement. The conditions include procedures the NPS will follow for unclaimed loans.

2. *Why is it important to resolve old loans?*

The resolution of old loans should be a high priority. Without legal title, you have limited use of these collections, but you must pay the costs of storing and caring for them. The longer you wait, the harder it may be to find the legal owner.

3. *How do I go about resolving an old loan?*

First you must know the location and condition of the object and what the park wants to do with it.

Many states have enacted old loan laws. Refer to Figure 2.15 for a listing of state laws. If your park is in one of these states, follow the procedures for your state.

If your state hasn't enacted old loan legislation, follow the procedures in Sections T.4-T.8 below. Consult your regional/SO curator and regional solicitor.

4. *How should I contact the*

Send a notice of termination in a certified letter, return receipt requested, to

lender?

the last known address of the lender. The letter should include the following information:

- the date of notice
- the name of the lender
- a description or list of the object(s) in the loan
- the dates of the original loan
- your name, address, and telephone number for contacting you at the park
- a statement that the museum wants to terminate the loan and return the objects
- a request for the lender to contact you within 45 days
- a statement that the park will take title to the objects within one year of the date of the notice if the lender doesn't contact the park

If…	***Then…***
you hear from the lender,	terminate the loan or have it converted to a permanent accession, such as a gift.
you don't hear from the lender,	conduct a reasonable search for the owner, heirs, or designees.

5. *What should I do to locate a missing lender?*

You must make a reasonable effort to locate the lender. Be sure to document the steps you take. Your efforts may become evidence if the owner or heirs resurface at a later date and demand the return of the property. Some sources to search include:

- telephone directories
- relatives
- real estate records
- probate records
- vital (death) records
- Web-based national phone directories

During your search for the lender, you may discover that he/she has died. You must then conduct a reasonable search for the lender's heirs. Contact the heirs with a certified letter.

If you are able to locate the lender, heirs, or designees follow the procedures in Section T.4 above.

Note: Searching for missing lenders takes time and effort. You must determine what is a reasonable search given the particular circumstances of each loan.

6. *What if I'm unable to locate the lender or legal owner?*

If you can't locate the owner of the objects, you must publish a notice of intent to terminate the loan. Publish the notice in a newspaper of general circulation in the local area of the:

- last known address of the lender, *and*
- park (if different from the lender's address)

Publish the notice twice, 60 or more days apart. The one-year waiting period begins with the second publication.

Address the notice to anyone claiming ownership or other legal interest in the property. The notice should include the same information as the certified letter to the lender. Refer to Section T.4 above. For example:

> Second notice to Mr. Jackson B. Smith last of 346 Persimmon Lane, Lancaster, PA. On 8/19/1985 you loaned a miniature painting in a wooden and brass frame to Park National Park. This loan expired 8/19/1988. The park wants to terminate the loan and return the object. Please contact Tom Brown at [park address and telephone number] within 45 days of this notice. The park will take title to the objects within one year of this notice (4/5/2001) if you do not contact the park and make arrangements to terminate the loan. (4/5/2000)

7. *What if someone other than the lender claims to own the property?*

Don't give the property to anyone without proof of ownership. Get enough documentation to prove that the person or institution is the legal owner or authorized representative of the owner.

In the case of an heir or heirs, request a copy of the lender's will. If no will exists, contact a solicitor.

8. *What if more than one person claims to be the owner of the property?*

Don't release the property if there are competing claims of ownership. Wait to release the property until the parties reach an agreement or a court action resolves the dispute.

9. *Does the park own the copyright on materials in unclaimed loans?*

No. The park doesn't own the copyrights on materials in an unclaimed loan. Refer to *MH-III*, Chapter 2: Legal Issues, for information on what types of materials are protected by copyright.

10. *What do I do if the loan remains unclaimed?*

If you follow the notification procedures in this section and the loan remains unclaimed, accession the object as a gift. Note the circumstances of the unclaimed loan on the Accession Receiving Report, Form 10-95 Rev. (Figure 2.2) File all the documentation on your search for the lender in the accession file. Don't use a deed of gift form.

See Section V.14 for procedures for changing accession type.

11. *May I deaccession objects from unclaimed loans?*

Yes. If you follow the notification procedures in this section, you may deaccession the objects from unclaimed loans. Be sure to maintain all documentation on your search for the lender. Refer to Chapter 6 in this handbook for deaccessioning procedures.

12. *What do I do if the owner comes forward after I accession the unclaimed loan as a gift?*

If you follow the notification procedures in this section, and the loan remains unclaimed, it becomes abandoned property to the United States. You don't have to return the material at this point. However, with a solicitor's written opinion, the park may choose to deaccession the material to the original owner. Use the deaccession type "Return to Rightful Owner." Refer to Chapter 6 in this handbook for information on deaccessioning.

U. Accession Book

1. *What is the accession book?*

The Accession Book, Form 10-256 (Figure 2.16) documents the source for **every** object in the park's museum collection. It contains the sequential log of transactions that prove NPS ownership of museum collections and temporary custody for incoming loans. All material in the park's museum collection must be part of an accession in the accession book. You haven't officially accessioned the material until you enter the accession in the accession book.

Treat your accession book as a legal document. It may be used in a court of law, if necessary. The value of the book as a legal document lies in the uninterrupted sequence of entries, without missing pages or erasures.

The accession book is one of your most important museum record-keeping documents. It is designed for permanence. The pages are made of high-quality rag paper. Each page is string-bound into a hard cover. New accession books are available from the Supply and Equipment Program of the Museum Management Program, National Center for Cultural Resources.

2. *May a park have more than one accession book?*

No. You may have only one accession book, or set of books, with one series of accession numbers.

Note: If the park contains different management units in different geographical locations, you may need an accession book for each unit. Consult your regional or support curator. You must submit a written request to keep an accession book at each geographical unit. Submit the request to the Chief Curator, Museum Management Program, National Center for Cultural Resources.

3. *Should I store the accession book in a special place?*

Yes. You must store your accession book in a secure room in an insulated file cabinet with a lock. Monitor and control access to the accession book.

4. *Should I make a copy of the accession book?*

Yes. Make an archival photocopy or microform copy of the original accession book. Store the copy in a different location from the original.

Making a copy of your accession book helps to safeguard against loss and potential fraud or abuse.

5. *How do I make an entry in the accession book?*

Be extremely careful when making entries in the accession book. Making a draft entry on plain paper may help you avoid errors. When you make entries:

- Print neatly.
- Use high quality permanent black carbon (India) ink with fountain, quill, or rapidograph pen, or a fine felt-tip permanent ink pen (pigma ink pen).
- Check to make sure the entry is accurate.

Note: Pens and ink are available from the *Tools of the Trade* catalog.

Entries in the accession book should be chronological. Make entries upon receipt of the objects.

Complete the columns in the accession book as follows:

Accession Number

Record the number for the accession. The accession number is a unique number that allows you to connect the objects in an accession to the documentation. Use one number for each accession transaction. Some accessions may contain one object; others may contain thousands of objects.

Don't repeat or reuse accession numbers.

Don't use decimals in the accession number. The NPS accession number is in a three-part format:

- The first part is the four-letter park acronym, in the form of "AAAA."
- The second part is a hyphen, which distinguishes the accession number from the catalog number.

  A few parks will use a collection designation letter, such as A, B, C, in place of the hyphen. Use a collection designation letter only if your park has approved separate accession and catalog systems under one acronym.

  The Chief Curator must approve the designation. Review requests to use a designation with your regional/SO curator. Submit a written request to the Chief Curator, Museum Management Program, National Center for Cultural Resources.

- The third part is the sequential, identification number that you assign to an accession.

Example: DETO-678

Date Received

Record the date that you acquired the material for the museum collection. For gifts, exchanges, transfers, and incoming loans, both the owner and the superintendent must sign the transfer of ownership document or incoming loan agreement. The acquisition date is the later date of these two signatures. This is the date that you completed the transaction and the material became part of the museum collection.

Note: It's important to get a signed transfer of ownership (deed of gift, exchange agreement, transfer of property) or incoming loan agreement before, or at the time, you receive the objects. The park doesn't legally own the objects until both the superintendent and the other party have signed a transfer of ownership document.

For purchases, enter the date of the sale. For field collections, enter the date you received the objects. For field collections that won't remain at the park, enter the date you completed the Accession Receiving Report, Form 10-95 Rev. (Figure 2.2). If you receive field collections from the same project on different dates, use the first date of receipt as the acquisition date.

The date you enter in the accession book will become the date of accession.

Enter the date in standard format using the full year. You can abbreviate the month.

Example: Nov 3, 1997

Dates before 1985 may have been entered without a day and month, such as pre1957, or in other formats. Don't reformat earlier dates. If you now know the correct date, add it as a correction to the date field. Don't remove the previous date.

Use the date of entry in the accession book as the acquisition date for old accessions that haven't been entered into the accession book. In the Remarks column, note the earlier date when the objects were received at the park, if known.

Description

Briefly describe and quantify the material in the accession. Use general terms. The accession book has limited space. You won't be able to list all the objects in a large accession. Include a complete inventory or list of objects with the accession receiving report. If applicable, provide the project name and state site number.

Examples: 7 Civil War uniforms and accoutrements
103 boxes of excavated material from the Hill Site (36CR1947)
Project 116 Prehistoric Occupations and associated field records
125 botanical specimens
one oil painting "Grand Canyon at Dawn" by Thomas Moran

Received From

Record the full name (last name first), address, and telephone number of the source of the accession. The source of accession is the previous owner of the material. If the source of accession is an institution, include the name of the responsible official or contact person. Enter the responsible official's name after the name and address of the institution.

The source of accession for field collections is the National Park Service. Enter the name of the collector as the individual representing the National

Park Service. If the collector is an NPS employee, include his or her title.

How Acquired

Record the type of accession. Use only the following accession types:

- gift
- purchase
- exchange
- transfer
- field collection
- incoming loan

Remarks

Record comments about the accession, as needed. Make sure the documentation in the accession folder supports the remarks. Don't enter transitory notes, such as "Consider for deaccession?"

Example: Returned to lender June 5, 1991.
Loss or theft, March 1991.
Received at park in early 1960s.

Catalog Numbers

For small accessions, record the catalog numbers for the objects in the accession, after you catalog the accession. Including the catalog numbers in the accession book provides a good cross-reference between the accession and catalog records.

For large accessions, leave this column blank. Include the catalog numbers on the list of objects that you attach to the accession receiving report.

6. *How do I make corrections to the accession book?*

If an accession entry contains a mistake, draw a single line through the incorrect information. Enter the correct information above or below or on another line. Initial and date the correction. Clearly enter your signature in the Remarks column.

Never erase or blot out the entries in the accession book. Don't use correction fluid or correction tape.

7. *What if I find that an object is in the wrong accession?*

Record the object in the correct accession, and note the correction as in Section U.6 above. Cross-reference to the incorrect accession.

8. *How do I correct an entire accession book page?*

In extreme cases, you may have to rewrite whole pages of an accession book. Consult your regional/SO curator if you need to do this.

Never remove pages from the accession book.

Draw a single diagonal line from the upper left corner to the lower right corner of the page you want to delete. Write your signature and date on the line. Record the corrected entries on the next page. If you can't use the next page, include a note on the deleted page about the location of the corrected entries.

9. *What if I need to recopy the entire accession book?*

In general, you should never recopy your accession book. Consult your regional/SO curator if you think you need to recopy your entire accession book. A "messy" accession book is not a valid reason for recopying the book. You must receive written permission to recopy the book. Consult your regional or system office curator before sending a request. Send your request to the Chief Curator, Museum Management Program, National Center for Cultural Resources.

File the request and its response with the accession book. If you receive permission to recopy the book, keep the old accession book with the accession files.

You may need to recopy the entire book if:

- pages are ripping and tearing due to brittleness or mishandling
- there is severe ink fading
- pages are severely distorted, cockle, or buckled
- it contains mold
- it is contaminated with chemical, biological residue, radiation, or asbestos that can't be mitigated
- there is insect or vermin residue
    - it is stained from leaks or spills

Consult a conservator about problems like these before requesting to recopy the book. With conservation treatment, you may be able to continue to use the book. Refer to *Conserve O Gram* (*COG*) 1/5, Salvaging Acidic or Damaged Museum Accession Books.

10. *What if I need to rebind the accession book?*

You may need to rebind your accession book if the pages are coming loose or the spine is coming off. Make a complete photocopy before sending it out for rebinding. Number each page on both sides if both sides are used. Take care not to damage the original volume. Refer to *COG* 19/7, Archives: Reference Photocopying, for instructions on making a high quality copy. To locate a reputable binder, contact the regional/SO curator or the conservator for the Museum Management Program.

If the accession book is too fragile for reference use, carefully photocopy it and place the copy in an archival-quality three-hole binder album. Number each page on both sides if both sides have entries. Use the copy for reference. Purchase an archival book box or slipcase to help store the original book. Use the original only to enter new accessions. Make photocopies of the new accessions as needed. If the original book is too fragile for new entries, order a new book.

11. *Should I replace or deacidify my accession book if it is acidic?*

No. Many NPS museum accession books may border on the acidic. However, under cool, dry storage conditions, acidic paper may last a long time. If you store and handle your accession book correctly, it will last many more decades.

Consult a conservator if you are concerned about the acidity of your accession book. Deacidification isn't the answer to all acidic paper concerns. For example, it doesn't make paper less brittle. Some chemicals used in deacidification may change the appearance of inks, eventually causing fading and information loss. Deacidification also needs to be an ongoing series of treatments. The calcium carbonate buffering that the process uses depletes over time.

V. Documenting Accessions

You are responsible for documenting the accession transaction and maintaining all the original documentation. Accession records should be as accurate and complete as possible. For an overall view of the accessioning process, refer to Flow Chart Figure 2.17.

Before documenting an acquisition, you must have a transfer of ownership document or an incoming loan agreement. Refer to the appropriate section of this chapter for the document to use with each accession type. Section F for gifts, Section H for purchases, Section J for exchanges, Section L for transfers, Sections N and O for field collections, and Section P for incoming loans.

1. *Receipt of Objects*

When you receive an accession:

- Give the objects time to acclimate before unpacking.
- Unpack and inspect the material as soon as possible. Do this outside the museum storage area.
- Inspect objects for potential insect infestation, mold, vermin, asbestos,

nitrate and other health and safety hazards. Isolate infested or unsafe materials immediately to avoid contaminating other material. Stabilize the collections after consulting with a conservator. Refer to the *MH-I,* Chapter 5, Biological Infestations, and the *COG* series for information on collection hazards.

- Check that the material corresponds to written descriptions on the transfer of ownership document. Refer to Section R of this chapter for information on receiving incoming loans.

2. *Accession Receiving Report*

You must complete an Accession Receiving Report, Form 10-95Rev. (Figure 2.2) for all accessions. The report documents the receipt of the material and information from the source of accession.

Note: You must have an accession receiving report on file for all accessions dating from 1985. Completing an accession receiving report for accessions prior to 1985 is optional.

To complete the accession receiving report, you must first enter the accession into ANCS+. Refer to Chapter 4 of the *ANCS+ User Manual* for instructions on entering accessions into ANCS+. Section V.5 of this chapter contains a list of the fields in the ANCS+ Accession Records associated module.

Complete the accession receiving report with information from the source of the accession. Get as much information as you can. You may not be able to get this information later. It is of primary importance for documenting the material in the accession and can greatly assist you in cataloging the objects.

Don't be afraid to ask questions. Find out how the owner acquired the objects. Ask the owner questions about the use, manufacture, and significance of the objects. Document your findings.

For field collections, note whether the field records are included, or not included, in the accession. Record:

- permit number
- project title and dates
- principal investigator (name and address)
- state site number for archeological collections (you may have to add later when assigned)
- precise locations of the collecting activity, including geographic coordinates (site name or descriptive title for a survey that includes many sites)
- site and field numbers (see above for surveys)
- information about releases
- restrictions or sensitivities

- information on informed consent

File the accession receiving report in the accession folder. Refer to Section V.8 of this chapter for information on the accession folder.

The designated receiving officer signs the accession receiving report.

3. *Recording Condition*

It's important to record the condition of the material upon arrival. Record the overall condition of the accession on the accession receiving report. Record specific object condition on the list of objects that accompanies the accession receiving report. Photographing objects is a good way to record physical condition.

Note: ANCS+ will print an Object Condition Report, Form 10-637 from the condition information you enter on the catalog record.

4. *List of Objects*

You must attach a list of objects to the accession receiving report. You can:

- enter the list in ANCS+ and print it on the Accession Receiving Report (Continued), Form 10-95 Rev.
- use a copy of the itemized list that was attached to the transfer of ownership document
- attach a field level inventory, field specimen, or provenience log for field collections
- attach a list that already exists in another format

Note: After you catalog the objects in the accession, include the catalog numbers on the list of objects.

For small accessions of one to six objects (not more than six lines), the list of objects will print on the accession receiving report.

5. *ANCS+ Accession Records*

You must enter all accessions into the ANCS+ Accession Records associated module. Refer to Section I of Chapter 4 in the *ANCS+ User Manual* for instructions on using the module. You may enter data directly into the program or use the accession worksheet that came with the manual.

Using ANCS+, you can complete and print the:

- Accession Receiving Report, Form 10-95 Rev. (Figure 2.2)
- Deed of Gift, Form 10-830 Rev. (Figure 2.3)
- source of accession card
- Accession Folder Cover Sheet, Form 10-255 Rev. (Figure 2.18)

Make sure that the entries in the ANCS+ accession record match the entries in the accession book.

The ANCS+ accession record includes all the fields you will need to track the accession. The fields include:

Accession Number
Acquisition Type
Acquisition Date
Catalog Status
Region
Cultural Resources Totals (by discipline)
Natural History Totals (by discipline)
Item Total
Source Individual
Source Institution
Source Official
Description
Related Accessions
Condition
Other Comments
Custody Document
Publication
Permit Number
State Site Number
Phase Type
Project Date
Project Title
Project Director

You must submit electronic copies of accession records along with your annual catalog record submission to the National Catalog.

6. *Accession Book*

Make an entry in the accession book. Refer to Section U of this chapter for information about the accession book.

7. *Tagging and Storing Objects*

Tag objects with the accession number. Use acid-free tags without metal rims. Don't use adhesive or pressure sensitive tapes or apply labels directly to objects. Refer to the *Tools of the Trade* catalog for ordering acid-free tags.

Store the tagged objects in an accession storage area until you can catalog them.

Note: If objects are too small to tag individually, tag or label the containers.

8. *Accession Folder*

Create an accession folder to store all the paperwork for the accession. Using ANCS+, print an Accession Folder Cover Sheet, Form 10-255 Rev. (Figure 2.18). The sheet contains a checklist that shows you the documents in the folder. Place the cover sheet inside the front cover of the folder.

Note: You can complete the cover sheet manually or on the computer.

You must have an accession folder for every accession.

Each accession folder contains the originals or archival copies of the documentation that supports the accession. The documentation must correspond with the accession book entry.

For example, if…	***Then…***
The entry in the accession book is for a transfer,	the accession folder should contain a transfer of property form.

The accession folder is an archival file folder. Write the accession number on the folder tab using permanent black carbon ink. Use a fountain, quill or rapidograph pen, or a fine felt-tip permanent ink pen (pigma ink pen). Don't use pressure-sensitive tapes that can fall off in time.

Folders, ink, and pens are available through the *Tools of the Trade* catalog.

Mark the accession number in permanent ink in the upper right corner of all the accession documents in the folder.

Note: You may need to do preservation photocopying for documents in old accession folders. Accession documents may include Thermofax™ and other fading records, brittle or torn documents, or documents on highly acidic paper. Refer to *COG* 19/4, Archives: Preservation Through Photocopying. Mark the copies as copies, and include the date and reason for copying. Don't discard the originals. Encapsulate originals if necessary to protect the document(s) and the other contents of the folder.

9. *Required documents in the Accession Folder*

You must keep the following documents in the accession folder.

- Accession Receiving Report, Form 10-95 Rev. (Figure 2.2)
- transfer of ownership or custody document appropriate to the accession type

Gift: Deed of Gift, Form 10-830 Rev. (Figure 2.3)
Last Will and Testament

Purchase: Receiving Report Copy of the Order for Supplies or Services
Form 10-3470 (2-97) or OF-347
Governmentwide Purchase Card (Credit Card) Receipt
DI-1 Requisition or Procurement Request and Invoice or Sales Slip
Copy of the Purchase Contract

Exchange: Exchange Agreement (Figure 2.8)

Transfer: Transfer of Property, Form DI-104 (Figure 2.9)

Field Collection: Receipt for Property, Form DI-105 (Figure 2.1)

Incoming Loan: Incoming Loan Agreement, Form 10-98 Rev. (Figure 2.11)

- legal documents (as applicable)

  - ownership statement
  - copyright statement
  - release forms
  - Noncash Charitable Contributions Form (IRS Form 8283)
  - permits (archival copies of scientific research and collecting permits or Archeological Resources Protection Act permits)
  - insurance documents for incoming loans

10. *Other Documents in the Accession Folder*

Other types of documentation to store in the accession folder include:

- correspondence

  Include telephone notes, memoranda, copies of e-mail correspondence, and any other records of communication about the accession.

- miscellaneous documentation

  - letter of acknowledgement
  - Gift Acknowledgement Certificate (Figure 2.5)
  - restrictions and sensitivities
  - research notes
  - evidence of historical authenticity, such as documents that authenticate age, identity, or historical association*
  - notes and correspondence on specimen taxonomy, identification, and geological provenience*
  - shipping documents
  - appraisals and evaluations
  - Object Condition Reports, Form 10-637
  - object treatment requests and conservation treatment reports*

  * In some instances, you may want to store this information in a catalog folder.

    Include the name and address of the source and the date you receive the information. Include the name and title of the park staff who recorded the information. Refer to Chapter 3: Cataloging, in this handbook for information on catalog folders.

- photographs

  Keep photographs that document an object's acquisition or condition in the accession folder. Store photos in archival sleeves with a cross-reference to the negatives, which you store separately. Provide a cross-reference to images that are too large to fit in the accession folder, such as aerial photographs.

11. *Outgoing Loan and Deaccession Documents in the Accession Folder*

You may store outgoing loan documentation in the accession folder or in an outgoing loan folder.

Refer to Section C of Chapter 5: Outgoing Loans, in this handbook for information on filing paperwork for loans that involve multiple accessions.

You may store deaccession documentation in the accession folder or in a deaccession folder.

Refer to Section D of Chapter 6: Deaccessioning, in this handbook for information on filing paperwork for deaccessions that involve multiple accessions.

12. *Accession File*

The accession file is a series of accession folders that you file numerically with the accession book in an insulated, locked file.

> ***The accession file is a permanent file that never leaves the park. You must monitor and control access to this file and the information it contains.***

The documents in the accession file support the government's claim to the title or custody of museum property. The park uses the accession file in the current, ongoing management of park resources. Accession documents are therefore exempt from Federal Records Management retirement procedures.

Refer to Chapter 1: Getting Started, in this handbook for information on insulated files.

13. *Source of Accession*

You have the option of maintaining a manual source of accession file. ANCS+ will print source of accession information that you can file alphabetically in a 5X8" box or file cabinet. The source of accession card contains:

- source of accession name
- source of accession address
- source of accession telephone
- accession numbers
- description of each accession

See Figure 2.19 for a sample source of accession card.

14. *Changing Accession Type*

Occasionally you may have to document changes in accession type. For example, an incoming loan may become a gift or a purchase.

When you are converting all the objects in an accession to another accession type:

- Retain the original accession number.
- Change the accession type in the accession book. Draw a line through the old entry in the How Acquired column. Enter the new accession type in the column. Include the date of the change and your initials.
- Change the accession type for the ANCS+ accession record. Note the change in type in the Other Comments field.
- Print a new Accession Receiving Report, Form 10-95 Rev. (Figure 2.2).
- File the transfer of ownership document, such as a deed of gift in the accession folder.

When you are converting part of the objects in an accession to another accession type:

- Give a new accession number to the objects that are part of the new accession type.
- Follow accession procedures to document the new accession.
- Cross-reference the two accessions in the accession book, ANCS+, and on the accession receiving reports.
- Update the incoming loan form and original accession records to show the removal of the objects.

Note: You will have to adjust your CMR to show the change.

W. List of Figures

+	Figure 2.1	Receipt for Property (Form DI-105)
+*	Figure 2.2a-b	Accession Receiving Report (Form 10-95 Rev.)
+*	Figure 2.3	Deed of Gift (Form 10-830 Rev.)
	Figure 2.4	Letter of Acknowledgment (Sample)
	Figure 2.5	Gift Acknowledgement Certificate
	Figure 2.6	Ownership Statement (Sample)
	Figure 2.7	Transfer of Copyright Statement (Sample)
+	Figure 2.8a-b	Exchange Agreement (Sample)
+*	Figure 2.9	Transfer of Property (Form DI-104)
	Figure 2.10	Instructions for Incoming Loan Agreement
+*	Figure 2.11a-b	Incoming Loan Agreement (10-98 Rev.)
+*	Figure 2.12	Conditions for Incoming Loans (Form 10-98a Rev.)
	Figure 2.13	Flow Chart for Incoming Loans
+	Figure 2.14	List of Objects (Form 10-417)
	Figure 2.15	States with Old Loan Law Citations
*	Figure 2.16	Accession Book (Form 10-256) (Sample)
	Figure 2.17	Flow Chart for Accessioning
+	Figure 2.18	Accession Folder Cover Sheet (Form 10-255 Rev.)
+	Figure 2.19	Source of Accession Card (Sample)

\+ Print these forms from ANCS+.

* You must use the Accession Book (Form 10-256) and the Accession Receiving Report (Form 10-95 Rev.) for all accessions. You must use the Deed of Gift (Form 10-830 Rev.) for all donations. You must use the Transfer of Property (Form DI-104) for all transfers between federal entities. You must use the Incoming Loan Agreement (Form 10-98 Rev.) and Conditions for Incoming Loans (Form 10-98a Rev.) for all incoming loans.

DI-105
(Revised 5/88)

UNITED STATES
DEPARTMENT OF THE INTERIOR

_____
BUREAU OR OFFICE

RECEIPT FOR PROPERTY

NUMBER		DESCRIPTION (INCLUDE SERIAL NUMBERS, MODEL, ETC)	QUANTITY	UNIT OF ISSUE	COST
ITEM	PROPERTY				
1					
2					
3					
4					
5					
6					
7					
8					
9					
11					
12					
13					
14					
15					
16					
17					
18					
19					
20					

Issued by: (Name and Title)	Date Issued:
It is understood that I am personally responsible for the property listed hereon and that if any of the property is lost, stolen damaged or destroyed through my simple or ordinary neglect or negligence or gross negligence I can be held financially liable as determined by a Board of Survey.	
Received By: (Name and Title)	Signature and Date:

RETURN ORIGINAL TO EMPLOYEE UPON TURN-IN OF PROPERTY

Figure 2.1. Receipt for Property (Form DI-105)

US Department of the Interior
National Park Service

Accession Number

Accession Receiving Report

Park Name

Use this record to document the receipt of objects and collect pertinent information on an accession from the Source of Accession (donor, vendor, field collector, lender, etc). If additional space is needed, attach a separate sheet. Blank copies of this form should be kept on hand by all employees who are likely to receive museum objects on behalf of the National Park Service.

The following information pertains to objects listed on the attached form:

Nature of accession:

Name and address of Source of Accession:

Daytime Telephone Number:

Give a brief description, identification and history of the collection. Note locality collected or purchased, give site names and numbers if appropriate. This information is provided by the source of accession only.

Project name (if applicable):

Give overall condition on arrival. Specific object condition must be noted on attached form.

Remarks:

Objects/Specimens Received by: _____ Date: _____
Signature of Employee, Title

at: _____
(Park location)

I certify that the objects described above and on the attached document have been received and inspected.

_____ Date: _____
(Signature of Designated Receiving Officer)

NPS Form 10-95 Rev.
June 1997

Figure 2.2a. Accession Receiving Report (Form 10-95 Rev.)

US Department of the Interior

Page 2 of 2

National Park Service

Accession Number

Accession Receiving Report (Continued)

Park Name

Give a brief description, identification and history of the collection. Note locality collected or purchased, give site numbers if appropriate. This information is provided by the Source of Accession only. Include (or attach) a list of objects in the accession, noting specific object condition.

NPS Form 10-95 Rev.
June 1984

Figure 2.2b. Accession Receiving Report (Continued) (Form 10-95 Rev.)

UNITED STATES DEPARTMENT OF THE INTERIOR
NATIONAL PARK SERVICE

FOR NPS USE ONLY
ACCESSION NUMBER

DEED OF GIFT

NAME OF DONOR(S)	TELEPHONE NUMBER (Give Area Code)
ADDRESS (Number, Street, City, State and Zip)	

Whereas the National Park Service is dedicated to the preservation and protection of objects significant to the interpretation of the National Parks throughout the United States,

I/We do hereby unconditionally donate to the National Park Service, for its unrestricted use, the items(s) listed below.

I/We also acknowledge actual delivery of the item(s) listed below to the National Park Service.

I/We certify that I/we hold free and clear title to the subject property and that I/we may dispose of it in any manner that I/we may determine.

I/We certify that I/we hold free and clear title to the copyright for the subject property and that I/we may dispose of it in any manner that I/we may determine.

DONOR(S) SIGNATURE (Please use ball point pen)

SIGNATURE	DATE
SIGNATURE	DATE

DESCRIPTION OF OBJECTS	CONDITION

The National Park Service hereby gratefully acknowledges the receipt of the item(s) listed above.

SIGNATURE TITLE	DATE
PARK ADDRESS	

GIFTS TO THE NATIONAL PARK SERVICE ARE TAX DEDUCTIBLE AS CHARITABLE CONTRIBUTIONS, HOWEVER IT IS THE DONOR'S RESPONSIBILITY TO SECURE APPRAISALS TO SUPPORT DEDUCTIONS. (See IRS Pamplet 561)

FORM 10-830 Rev.
January 1998

Figure 2.3. Deed of Gift (Form 10-830 Rev.)

National Park Service
Letterhead

File Code
Accession Number

June 10, 1999

Mr. George A. Monroe
912 West Main Street
Kingston, Missouri 63555

Dear Mr. Monroe:

The National Park Service is pleased to accept your very generous donation of your great grandfather's uniform and diary from the Battle of Smith's Creek. The uniform and diary arrived safely at the park on June 1, 1999. As you know from our discussions, these items will be a significant addition to (the park's) museum collection and to the work of preserving and interpreting the park's unique and rich history. The detailed information you provided about these items will be included in the park's museum records.

To complete the transfer of ownership, please sign and date both copies of the enclosed Deed of Gift form. Retain one copy for your records, and return one copy to us. A stamped, pre-addressed envelope for returning the signed gift form is enclosed for your convenience.

Gifts to the National Park Service are tax deductible as charitable contributions, to the extent permitted by law.

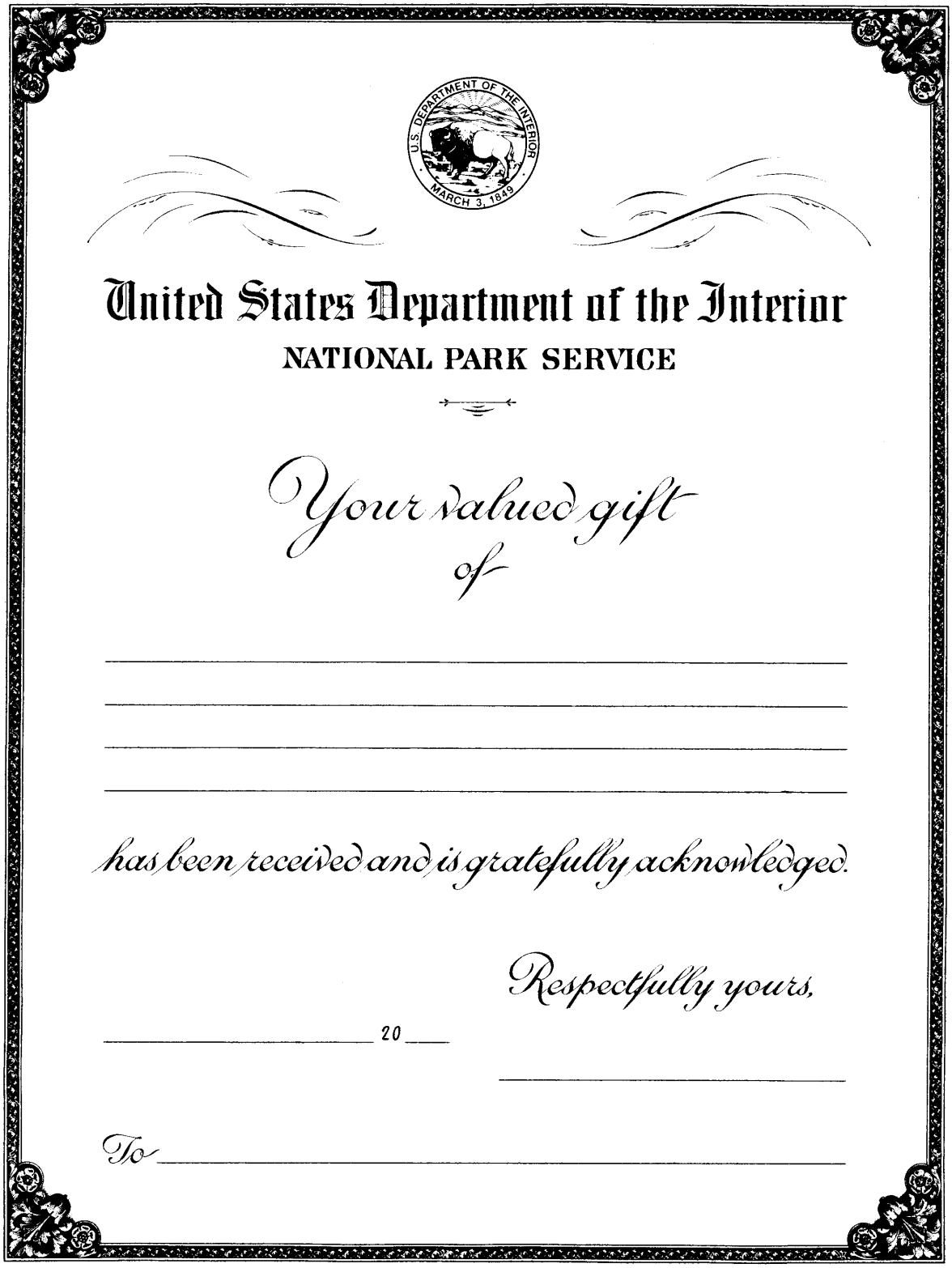
We are most grateful for your gift and your interest in the National Park Service.

Sincerely,

Superintendent

Enclosures

Figure 2.4. Letter of Acknowledgment (Sample)



United States Department of the Interior

NATIONAL PARK SERVICE

Your valued gift

of

_____

_____

_____

_____

has been received and is gratefully acknowledged.

Respectfully yours,

_____ 20____

_____

To _____

Figure 2.5. Gift Acknowledgment Certificate

U.S. Department of the Interior
NATIONAL PARK SERVICE

Ownership Statement

I/we, _____ (print name), do hereby represent, warrant, certify, and guarantee the following information to be true and correct:

1. I/we am the (*check one)*

   ____ owner

   ____ authorized agent for the owner

   of the object described in the _____ (purchase document) dated _____.

2. [*For authorized agents only*] I am fully authorized by the owner of the object to enter into this transaction and to execute the warranties and representations herein.

3. The object is authentic and of the period indicated on the _____ (purchase document).

4. I acquired the object from _____

   _____

5. If origin is not USA, the object was legally exported from its country of origin. The object has been legally exported from and imported into all countries through which it has passed.

6. No customs, tax, patrimony or other laws or regulations applicable to the object, its sale, export, or import have been broken.

7. There are no liens or other encumbrances of any kind whatsoever against the object or title to them.

8. I/we certify that I/we hold free and clear title to the object and I/we may dispose of it in any manner that I/we may determine.

Signature: _____ Date: _____

Signature: _____ Date: _____

Address: _____

_____

_____

Figure 2.6. Ownership Statement (Sample)

U.S. Department of the Interior
NATIONAL PARK SERVICE

Transfer of Copyright Statement

I/we, _____ (print name), do hereby represent, warrant, certify, and guarantee the following information to be true and correct.

I/we certify that I/we hold free and clear right, title, and interest in the copyright in the material described in the _____ (name of document) dated _____ and that I/we may dispose of it in any manner that I/we may determine.

I/we transfer the copyright for the material to the National Park Service.

Signature: _____ Date: _____

Signature: _____ Date: _____

Address: _____

_____

_____

Figure 2.7. Transfer of Copyright Statement (Sample)

US Department of the Interior
National Park Service

_____
Deaccession Number

Exchange Agreement

In accordance with the authority granted to the Secretary of the Interior by the Museum Act of 1955 (16 USC, Sect. 18 [f]), and in consideration of the mutual promises set forth in this Agreement, the National Park Service and _____ (other party) enter into this agreement for the exchange of museum objects.

1. _____ (NPS Unit) hereby becomes the owner of the objects listed on the first attached inventory (Attachment 1 of this Agreement). _____ (other party) hereby becomes the owner of the objects listed on the second attached inventory (Attachment 2 of this Agreement).

2. _____ (other party) represents and warrants that he/she/they will possess clear title, free of all liens, claims, and encumbrances of any kind, to the objects listed in Attachment 1 at the time the exchange takes place. If at the time the exchange is to occur _____ (other party) is unable to present the objects listed on Attachment 1 and proof of ownership for the said objects he/she/they is/are exchanging, the National Park Service is under no obligation to complete the exchange.

3. _____ (other party) represents and warrants that the objects listed on Attachment 1 were secured in compliance with all applicable International, Federal and State laws. Documentation evidencing the source of acquisition of the objects listed on Attachment 1 will be attached to this Agreement at the time the exchange takes place (Attachment 3).

4. _____ (other party) represents and warrants that the objects listed in Attachment 1 have been authenticated and appraised in writing, at market value, by at least one objective appraiser within six months previous to the date of this agreement. Copies of the appraisals for the NPS and non-NPS items are attached to this Agreement (Attachment 4).

5. _____ (other party) represents and warrants that he/she/they is/are the sole owner(s) of all rights in the objects listed on Attachment 1. _____ (other party) hereby assigns in _____ (NPS unit) all of _____ (other party) common law and statutory copyrights to the objects listed in Attachment 1. _____ (other party) agrees to indemnify _____ (NPS unit) against any claims, damages, losses, or expenses of any kind that _____ (NPS unit) may suffer as a result of any infringement or alleged infringement of the copyrights to _____ (NPS unit).

6. Title to the objects exchanged under this agreement shall pass when the objects have been delivered pursuant to the terms of this Agreement and the parties have inspected the objects and found them to be in a satisfactory condition and are as represented in this Agreement. Inspections of the objects shall occur on the date of delivery.

7. As provided by 41 U.S.C. §§ 22, no member of or delegate to Congress, or Resident Commissioner shall be admitted to any share or part of this Agreement or to any benefit that might arise therefrom; but this provision shall not be construed to extend to this Agreement if made with a corporation for its general benefit.

8. No NPS employee or members of a NPS employee's immediate family shall be admitted to any share or part of this Agreement or to any benefits that may arise therefrom.

9. The exchange of all firearms must be in compliance with all state and local law enforcement regulations related to the acquisition of firearms. Upon consummation of this Agreement, the National Park Service shall not be liable for any action related to the use of firearms described within the Agreement.

10. The National Park Service will pay all costs of transporting and insuring the objects listed on Attachment 2 to _____ (address).

Figure 2.8a. Exchange Agreement (Sample)

_____
Deaccession Number

Exchange Agreement (Continued)

11. The parties agree that the physical transfer of all objects covered by this Agreement will occur on or before _____ (date) and that time is of the essence to this Agreement. If _____ (other party) fails to deliver the objects listed on Attachment 1 to the agreed-upon place of delivery by the date given in this paragraph, the National Park Service may, at its option, terminate this Agreement, recover any objects which it may have delivered pursuant to this Agreement and sue for damages for undue delay of the performance of this Agreement or for specific performance of this Agreement. _____ (NPS unit) remedies hereunder are not exclusive and _____ (NPS unit) retains the right to pursue any and all legal remedies available to it for the breach of this Agreement.

12. Catalog information on all NPS objects incorporated under this Agreement is included by reference to the NPS catalog number listed on Attachment 2.

For the NATIONAL PARK SERVICE (Receiving):

Recommended: _____
(Park Curator) (Date)

Approved: _____
(Superintendent) (Date)

For the other PARTY

Name: _____

Approved: _____
(Date)

Approved: _____
(Date)

Address: _____

_____

_____

Telephone: _____ FAX: _____

Figure 2.8b. Exchange Agreement (Continued) (Sample)

DI-104
(Rev. 6/88)

UNITED STATES DEPARTMENT OF THE INTERIOR **TRANSFER OF PROPERTY**	Page _____ of _____ Report No. Date

Transfer From: (Organization and Complete Address)	Transfer To: (Organization and Complete Address)

Appropriation and Accounting Data:

ITEM NO.	QUANTITY OR PROPERTY ID NO.	ITEM DESCRIPTION *(Include model & serial number)*	ORIGINAL ACQUISITION COST (OAC)	CONDITION CODE

SHIPPING AND RECEIVING INFORMATION

Date Shipped:		Date Received:	
Authorized Signature:		Authorized Signature:	
Official Title:		Official Title:	
Adjustment to property records (Property Official Signature):	Date Completed	Financial Official Signature (if Required):	Date Completed

U.S. Government Printing Office 1988 673-017/96039

Figure 2.9. Transfer of Property (DI-104)

INSTRUCTIONS FOR INCOMING LOAN AGREEMENT

Accession Number	Enter the accession number for the loan. Example: PARK-55
Borrower	Enter the name of the park.
Borrower Address	Enter the park's street/box, city, state, zip code, telephone number, and FAX number.
Superintendent	Enter the name of the superintendent or center chief, for authorization and contact purposes.
Borrower Shipping Address	Enter the shipping address of the park, if it is different from the mailing address.
Lender	Enter the name of the lender (for example, University of Arizona). Indicate whether the lender is a NPS unit or non-NPS.
Lender (Department)	Enter the department or division of the lending institution (for example, Department of Anthropology), where applicable.
Lender Address	Enter the street/box, city, state, zip code, country (if outside USA), telephone number and FAX number.
Responsible Official (Lending Institution)	Enter the name and title of the responsible individual (or agent) of the lending institution (for example, G. A. Lindsay, Director), if applicable.
Lender Shipping Address	Enter the shipping address of the lender, if it is different from the mailing address.
Purpose of Loan	Indicate the purpose of the loan (exhibit, study, collections management, storage, or other). If other, explain.
Credit Line	Record the credit line as it is to appear in exhibit graphics, publications, or other media.
Objects in Loan	List the objects in the loan. Include the object name, item count or quantification, description, condition, and insurance value (if appropriate). For loans involving several objects, attach an inventory or a computer-generated list.
Initiation Date	Record the date on which the agreement is to go into effect.
Termination Date	Enter the termination date of the loan. Loans to repositories cannot exceed ten years. All other loans cannot exceed three years.
Insurance	Indicate whether the insurance will be waived or carried by the lender or borrower. Enter the name of the insurance company and the policy number. Refer to Chapter 4 of this handbook for information on insurance.
Packing and Shipping	Indicate who will be responsible for packing the objects. Provide information on the method of shipping for sending and returning the loan. If a shipping company is used, include the name, address, and phone number. Indicate who will be responsible for shipping charges.
Loan Conditions	Indicate whether a facilities report is required. Include any other additional conditions. Attach a copy of the Conditions for Incoming Loans (Form 10-98a Rev.).
Signature and Date Lines	Enter the name of the superintendent and the lender. Both parties must sign and date the agreement. The repository chief or institution director must sign the agreement for repository loans.
Return Status (Partial or Complete)	Indicate whether the entire loan has been returned. If part of the loan has been returned, enter date of return for each object returned.
Extension Information	For extended loans, enter the new termination date.
Return Signature	Enter the name of the lender. The lender must sign and date the agreement when the entire loan is returned.
Sending and Returning the Loan Agreement	The superintendent signs two copies of the loan agreement and sends them to the lender. The lender signs and returns one copy to the park and keeps the other signed copy.
	On return of the entire loan, the lender signs and dates the agreement and sends a copy to the borrower.

Figure 2.10. Instructions for Completing and Sending the Incoming Loan Agreement

US Department of the Interior
National Park Service

Incoming Loan Agreement

Accession No.

NPS Unit (Borrower):
(Street/Box) Telephone:
(City/State/Zip) Fax Number:
Superintendant (please print):
Shipping Address (if different):

LENDER:
(Department)
(Street/Box) Telephone:
(City, State, Zip, Country) Fax Number:
Responsible Official (Lender): Title:
Shipping Address (if different):

NPS Status:

PURPOSE OF LOAN:

Credit Line:

OBJECTS IN LOAN:

INITIATION DATE **TERMINATION DATE:**

INSURANCE AND SHIPPING/PACKING:
Insurance Paid By:
Insurance Company: Policy No.:
Packer:
Shipping Paid By:
Method of Shipping: Outgoing: Return:

Form 10-98 Rev.
February 1998

Figure 2.11a. Incoming Loan Agreement (Form 10-98 Rev.)

US Department of the Interior
National Park Service

Accession No.

Incoming Loan Agreement (Continued)

LOAN CONDITIONS:

Incoming loans are subject to the terms and conditions noted on the attached Conditions for Incoming Loans.

Additional Loan Conditions:

SIGNATURES:

ON INITIATION OF THIS AGREEMENT: The undersigned borrower is an authorized agent of the National Park Service. Signature indicates agreement to terms specified in this loan agreement and attached conditions.

PLEASE SIGN BOTH COPIES AND RETURN THE ORIGINAL TO THE NPS.

Name of Responsible Official (Lender or Authorized Agent), Title (Please print)

Signature Date

Name of Superintendent (Borrowing NPS Unit), (Please print)

Signature Date

RETURN STATUS:

Extension Termination Date:

RETURN OF LOAN:

The undersigned is an authorized agent of the lender. Signature acknowledges receipt of all material in good conditon or in conditon as noted on this agreement or in attached object condition report(s). A signed copy is sent to the borrower to acknowledge the return of the loan.

Name of Lender or Authorized Agent (Please print)

Signature Date

Form 10-98 Rev.
February 1998

Figure 2.11b. Incoming Loan Agreement (Continued) (Form 10-98 Rev.)

US Department of the Interior
National Park Service

Conditions For Incoming Loans

Care and Preservation

1. The NPS will give to objects borrowed the same care as it does comparable property of its own. It is understood by Lender and Borrower that all tangible objects are subject to gradual inherent deterioration for which neither party is responsible.
2. Evidence of damage at the time of receipt or while in NPS custody will be reported as soon as practicable, to the Lender.
3. No alteration, restoration, or repair will be undertaken without the written authorization of the Lender.
4. The Lender certifies that the objects lent are in such condition as to withstand ordinary strains of packing and transportation.

Transportation and Packing

1. Costs of packing and transportation will be borne by the borrowing park unless the loan is at the Lender's request. The method of shipment must be agreed upon by both parties.
2. Customs regulations will be adhered to in international shipments.
3. The Lender will assure that said objects are adequately and securely packed for the type of shipment agreed upon, including any special instructions for unpacking and repacking. Objects will be returned packed in the same or similar manner as received unless authorized by the Lender.

Insurance

1. Unless objects are covered by a specific insurance policy, NPS liability for loss or damages will be subject to recovery under the Federal Tort Claims Act (28 U.S.C. 2671-2630, as amended), if loss or damage occurs while in the custody of the NPS and the loss can be proved to be caused by negligence or wrongful act of the Federal Government.
2. On request of Lender objects will be insured by the NPS under an all risk wall-to-wall museum collections policy subject to the standard exclusions for the duration of the incoming loan agreement. Insurance will be placed in the amount specified by the Lender herein, which must reflect fair market value at the time of the loan. If the Lender fails to indicate an amount, the NPS will set a value for purposes of insurance for the period of the loan.
3. If the Lender elects to maintain his own insurance coverage, the NPS must be supplied with a certificate of insurance naming the NPS and the United States Government as additional insureds or a waiver of subrogation. The NPS shall not be responsible for any error or deficiency in information furnished to the Lender's insurer or for any lapse in coverage.
4. The Lender is responsible for updating insurance valuations.
5. The amount payable by an insurance policy is the sole recovery available to the Lender in event of loss or damage.

Photography

Unless otherwise notified in writing, the objects lent may be photographed by the NPS for record, educational, catalog, and publicity purposes. It is understood that objects on exhibit may be photographed by the general public.

Ownership and Address Change

By signing the Agreement the Lender certifies that he is the legal owner of the described property. It is incumbent upon the Lender to notify the NPS in writing of any change of address. In case of change in legal ownership during the period of the loan, the new owner is required to establish his legal right by proof satisfactory to the NPS.

Return of Loans

The loan agreement may be terminated by either party given reasonable notice in writing. All notices to the Lender in regard to termination of the loan are considered sufficient if sent by registered mail to the Lender at the address given in this record. Unless otherwise notified in writing, the NPS will release the objects only to the Lender. If NPS efforts to contact the Lender, within a reasonable period following the expiration of the loan, are unsuccessful, and no special arrangements have been made for the return of the loan, then the objects will be placed in storage at the Lender's risk and expense. If after 3 years the property is not withdrawn, it may be deemed to become the unrestricted property of the Federal Government for administration by the NPS.

NPS Form 10-98a Rev.
February 1998

Figure 2.12. Conditions for Incoming Loans (Form 10-98a Rev.)

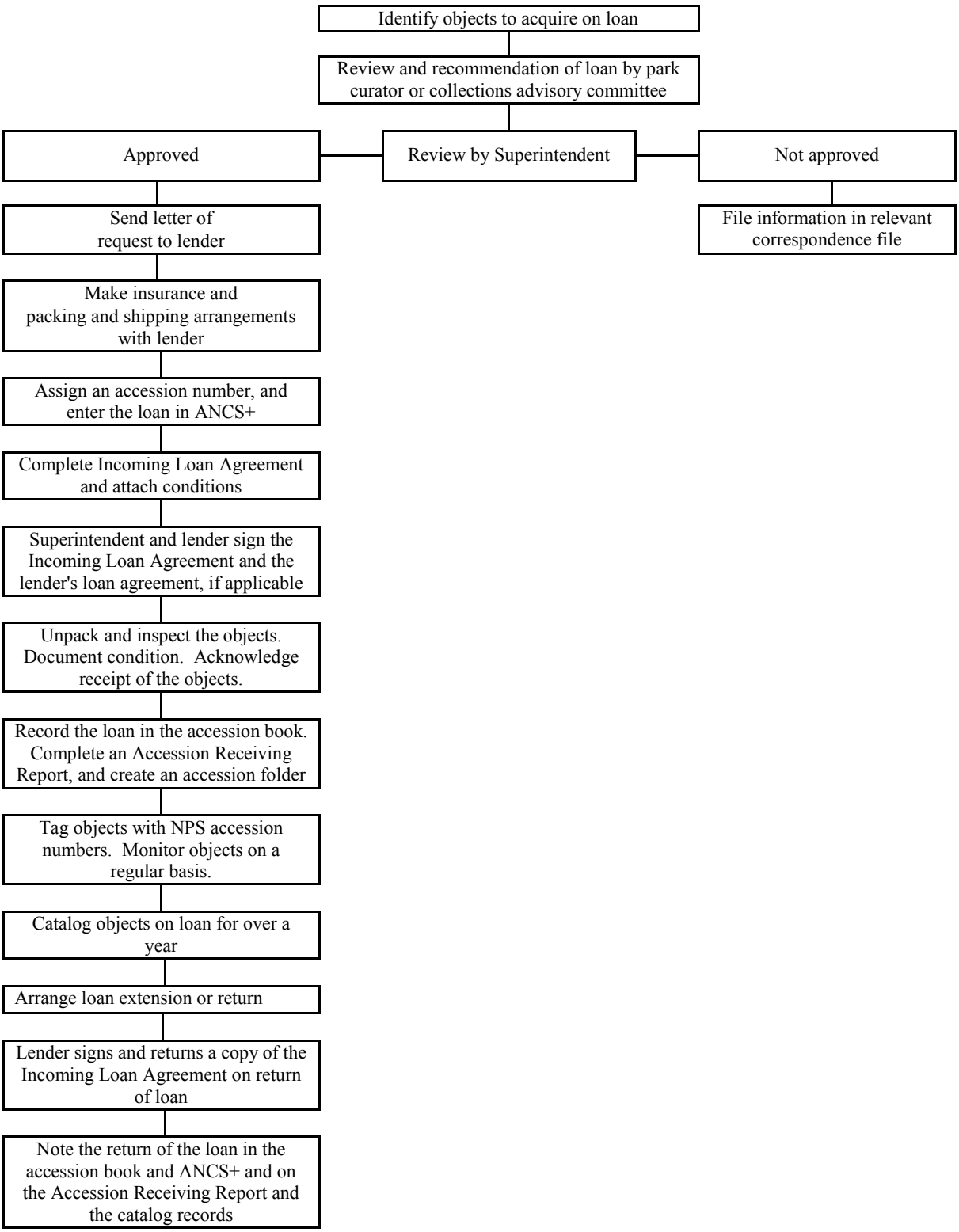


Figure 2.13. Flow Chart for Incoming Loans

US Department of the Interior
National Park Service

Page _____ of _____

LIST OF OBJECTS

_____
Park Acronym

_____
Number

CATALOG NUMBER	ACCESSION NUMBER	ITEM COUNT OR QUANTITY	OBJECT NAME	DESCRIPTION AND CONDITION	VALUE	COMMENT

NPS Form 10-417
July 1995

Figure 2.14. List of Objects (Form 10-417)

State Old Loan Law Citations

Note: This list may be incomplete. Several additional states are considering passing old loan legislation. If this doesn't include your state, consult your state laws for recent legislation on old loans.

Alabama St. § 41-6-72 (applies only to the state Department of Archives and History)

Arizona Rev. Stat. Ann. § 44-351 *et seq.*

California Civ. Code § 1899

Colorado Rev. Stat. § 38-13-101 *et seq.*

Florida Stat. Ann. § 265.565 *et seq.*

Indiana Code Ann. § 32-9-10-1 *et seq.*

Iowa Code Ann. § 305B

Kansas Stat. Ann. § 58-4001 *et seq.*

Kentucky Rev. Stat. Ann. § 171.830 *et seq.*

Louisiana Rev. Stat. Ann. § 25:345 (applies only to state museums)

Maine Rev. Stat. Ann., tit. 27, § 601 *et seq.*

Michigan Comp. Laws Ann. § 399.611 *et seq.*

Mississippi Code Ann. § 39-19-1 *et seq.*

Missouri Stat. Ann. § 184.102 *et seq.*

Montana Code Ann. § 22-3-501 *et seq.*

Nevada Rev. Stat. Ann. § 381.009 (applies to specified museums and historical societies)

New Hampshire Rev. Stat. Ann. § 201:E-1 *et seq.*

New Mexico Stat. Ann. § 18-10-1 *et seq.*

North Carolina Gen. Stat. § 121-7(c)

North Dakota Cent. Code § 47-07-14 (applies only to state museums)

Oregon Rev. Stat. § 358.415 *et seq.*

South Carolina Code Ann. § 27-45-10 *et seq.*

South Dakota Cod. Laws § 43-41C-1 *et seq.*

Tennessee Code Ann. § 66-29-201 et *et seq.*

Texas Property Code Ann. § 80.001 *et seq.*

Washington Rev. Code Ann. § 63.26.010 *et seq.*

Wisconsin Stat. Ann. § 171.30 *et seq.*

Wyoming Stat. § 34.-23-101 *et. seq.*

Figure 2.15. State Old Loan Law Citations

ACCESSION BOOK

Accession Number	Date Received	Description	Received From	How Acquired	Remarks	Catalogue Number
1	Nov 9, 1998	one oil painting "Storm At Sea" by Thomas Moran	Jones, John 704-333-7890 215 Main St. Staunton, VA 28401	Gift		PARK 1
2	April 4, 1999	103 boxes of excavated material + field records from the Hill Site 09BI0012	National Park Service Bell, Martha Principal Investigator	Field Collection	Project 116	
3	May 20, 1999	medical kit and Dr. Thomas Knoll's diary	Weathervane Antiques 46 Hill St. Olney, MD 73421 301-726-4253	Purchase		PARK 403 PARK 404
4	June 1, 1999	125 botanical specimens PARK-1999-008	National Park Service Ortega, Victor Biologist	Field Collection	Collection # 96-34B	
5	June 13, 1999	Confederate enlisted man's greatcoat	Battle Museum, Battle Boulevard Dublin TX 77219 Attn: Amy Rogers 114-543-2345	Loan	Returned Feb 5, 2000	
6	Aug 21, 1999	personal correspondence and photographs of the Burns family	Fish and Wildlife Service Attn: James Weber P.O. Box 3247 Arlington, VA 22203 703-358-1949	Transfer		PARK 673

Figure 2.16. Accession Book (Form 10-256) (Sample)

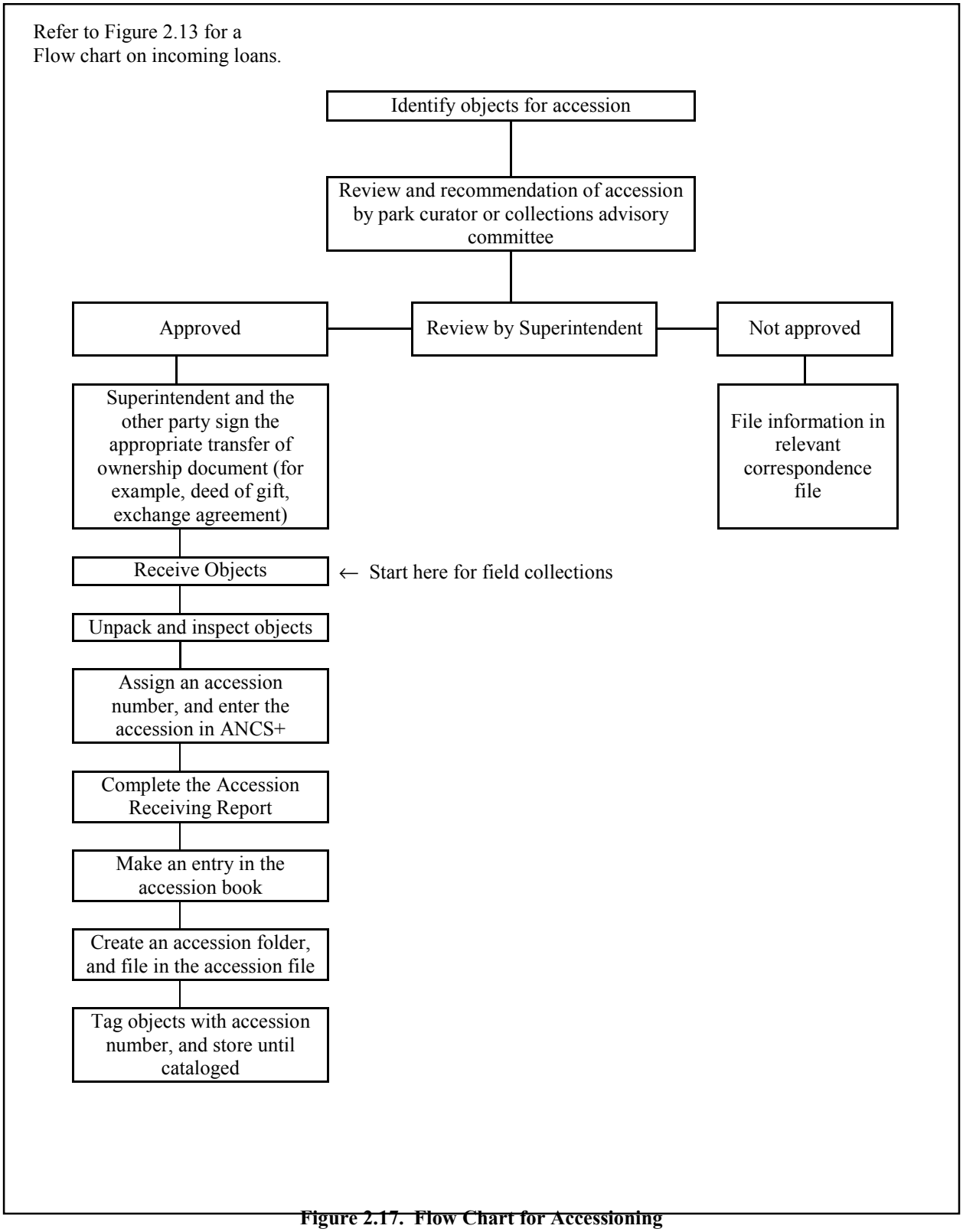


Figure 2.17. Flow Chart for Accessioning

Accession Number _____ Park Name _____

ACCESSION FOLDER COVER SHEET

INSTRUCTIONS: Use this Accession Folder cover sheet when the National Park Service acquires museum collections. Include all documents relating to the accession. Complete box "A" for permanent accessions (gifts, purchases, exchanges, transfers, and field collections). Complete box "B" for temporary accessions (loans). The Accession Receiving Report (Form 10-95) is required for all accessions. Insert this cover sheet in the accession folder.

A. PERMANENT ACCESSIONS

- ☐ Accession Receiving Report (Form 10-95)
  - ☐ Accession Receiving Report: Continuation sheet (Form 10-95c)
- ☐ Gift
  - ☐ Deed of Gift (Form 10-830)
  - ☐ Donor Letter
  - ☐ Last Will and Testament
- ☐ Purchase
  - ☐ Receiving Report Copy of Purchase Order (Form 10-3470 or OF-347)
  - ☐ Requisition (DI-1) and Invoice or Sales Slip
  - ☐ Governmentwide Purchase Card (credit card) Receipt
  - ☐ Purchase Contract
- ☐ Exchange
  - ☐ Exchange Agreement
- ☐ Transfer
  - ☐ Transfer of Property (DI-104)
- ☐ Field Collection
  - ☐ Receipt for Property (DI-105)

B. TEMPORARY ACCESSIONS (LOAN)

- ☐ Accession Receiving Report (Form 10-95)
- ☐ Accession Receiving Report: Continuation Sheet (Form 10-95c)
- ☐ Incoming Loan Agreement (Form 10-98)
- ☐ Receipt for Property (DI-105)
- ☐ Other (Specify) _____

_____

Return Date: _____

INDICATE LOCATION OF THE FOLLOWING:

	Accession Folder	Catalog Folder
1. Correspondence relating to transaction		
2. Insurance documents for loans to NPS		
3. Deaccessioning Information:		
a) Deaccession Form (Form 10-643)		
b) Disposition Document		
c) Other _____		
4. Field Notes		
5. Research Notes		
6. Outgoing Loan Documentation:		
a) Outgoing Loan Agreement (Form 10-127)		
b) Other _____		
7. Shipping documents		
8. Conservation records		
9. Appraisals		
10. Photographs		
11. Other (Specify) _____		

NPS Form 10-255 Rev.
July 1999

Figure 2.18. Accession Folder Cover Sheet (Form 10-255)

Source of Accession Name: SCRIVEN, C.E.
Source of Accession Address:
213 SECOND AVENUE

Telephone:
(717)765-3425

YORK PA 17403-

Accession Numbers	Description
PARK-00067	32 MID-19TH CENTURY BOOKS
PARK-00010	DIARY OF FRANKLIN CARTER
	PHOTOGRAPHS OF THE CARTER FAMILY

Figure 2.19. Source of Accession Card (Sample)

Chapter 3: Cataloging

Page

A. Overview 3:1
What is cataloging? 3:1
What is the purpose for cataloging? 3:1
Who uses catalog data? 3:1
Who must follow this chapter? 3:2

B. General Information on Cataloging 3:2
What are catalog records? 3:2
What is a catalog number? 3:2
When do I catalog objects? 3:3
How do I plan to reduce or eliminate my cataloging backlog? 3:3
How can I prevent a future catalog backlog from occurring? 3:3
Where do I get the information for cataloging? 3:3
How much time should I spend researching information for the catalog record? 3:4
How do I prepare to catalog a collection? 3:4
Should I develop site-specific cataloging guidelines? 3:4
What is the National Catalog of Museum Objects? 3:5
Do I need to restrict access to catalog data? 3:5
How do I provide access to the park's catalog data? 3:6

C. Cataloging Procedures 3:6
Should I use a worksheet when cataloging collections? 3:6
What is a catalog folder? 3:6
How do I complete a catalog record? 3:7
How can I gain preliminary control for new accessions? 3:7
What if I have unverified data? 3:8
What if I need to add or change information on the catalog record? 3:8
Can I catalog objects that are alike on the same catalog record? 3:8
How do I catalog objects with detachable parts? 3:8
Should I photograph objects while I'm cataloging? 3:8
Are there times when I don't need to photograph collections? 3:9
When do I mark an object with a catalog number? 3:9
What do I do with catalog data that I receive from centers, contractors, and other sources outside the park? 3:10
What is the relationship between the NPSpecies database and my catalog records? 3:10

D. Tracking Catalog Numbers 3:10
Can I release catalog numbers in advance? 3:10
When should I release catalog numbers outside the park? 3:10
How should I track the catalog numbers I release? 3:11
How can I find the last catalog number I used? 3:11
May I reuse catalog numbers? 3:11
What if I have missing catalog numbers? 3:12
What if I have duplicate catalog numbers? 3:12
How should I cross-reference catalog numbers with the accession records? 3:12

E. Cultural Resources (CR) Catalog Data Fields 3:12
Where do I find the data fields for CR catalog records? 3:12
What are the data fields for CR catalog records? 3:12
What are the discipline-specific fields for archeology records? 3:14
What are the discipline-specific fields for ethnology records? 3:14
What are the discipline-specific fields for history records? 3:14

What are the discipline-specific fields for archival/manuscript records in the Collections Management Module? 3:15
What is the Archives Module in ANCS+? 3:15
Must I catalog archival/manuscript collections in the ANCS+ Archives Module? 3:15
Where can I find information about the CR discipline classifications? 3:16

F. Natural History (NH) Catalog Data Fields 3:16
Where do I find the data fields for NH catalog records? 3:16
What are the data fields for NH catalog records? 3:16
What are the discipline-specific fields for biology records? 3:17
What are the discipline-specific fields for geology records? 3:17
What are the discipline-specific fields for paleontology records? 3:18
Where can I find information about the NH classifications and cataloging? 3:18

G. Making Changes on the Catalog Record 3:18
How do I make and track changes to a catalog record? 3:18
How do I change manual records that are not in ANCS+? 3:19
What is recataloging? 3:19
Do I submit the records I changed to the National Catalog? 3:20
Does the National Catalog print archival copies of recataloged records? 3:20
Does the National Catalog print archival copies of records with minor modifications? 3:20
Can I make changes to the NPS classification systems? 3:20
Can I make changes to the object name lists? 3:20

H. Submitting Catalog Records to the National Catalog 3:20
Must I submit catalog records to the National Catalog? 3:20
Why must I submit my catalog records to the National Catalog? 3:21
When do I submit my database to the National Catalog? 3:21
What do I submit to the National Catalog? 3:21
How do I prepare the data for submission? 3:22
How do I prepare the receipt for property? 3:22
Where do I send my submission? 3:22
What happens to my records at the National Catalog? 3:23
What should I do with the blue copies of my catalog records? 3:23
Does the National Catalog print white cardstock classification copies of catalog records? 3:23

I. List of Figures 3:24

BASIC REQUIREMENTS FOR NPS CATALOGING

Catalog all objects, specimens, and archival and manuscript collections that are part of the park's museum collection.

Accession objects before you catalog them. Refer to Chapter 2: Accessioning. Catalog museum collections as soon as you are able.

Make sure that contracts and permits that produce museum collections include the requirement to catalog the collections.

Classify museum collections by discipline: archeology, ethnology, history (including archival and manuscript collections), biology, geology, or paleontology. Refer to the appropriate appendix in the handbook for information on each discipline.

Enter all catalog records into ANCS+. Paper catalog records are optional.

To complete a catalog record, follow the:

- guidelines in this chapter and Appendix C of this handbook
- instructions in Chapter 2: Cataloging, in the *ANCS+ User Manual*
- on-line field help in ANCS+
- regional and/or park-specific cataloging guidelines, if applicable

Make sure the catalog record is accurate and understandable to someone looking for information about the object.

Use lot cataloging to catalog like objects in groups, rather than cataloging them individually. Refer to Appendix I in this handbook for guidelines on lot cataloging.

You must catalog all archival and manuscript materials at the collection level. Assign only one catalog number to the entire collection. Don't individually catalog the pieces of the collection. Further describe the collection at the series, file unit, and item level in the Archives Module, if recommended by the archival survey.

Assign a catalog number to each object or group of objects. Mark the catalog number on the object as part of the cataloging process. Refer to Appendix J in this handbook for marking techniques.

Keep track of the catalog numbers you use, including those you release in advance to NPS repositories and contractors.

If possible, photograph objects as part of the cataloging process. Refer to Appendix K in this handbook for basic instructions on record photography.

Make changes to the catalog record as needed to keep the data on the record accurate and current.

Submit a copy of your ANCS+ database to the National Catalog each year. Submit the database even if your park had no cataloging activity during the year. Include any new or recataloged records in a tag file within the database.

CHAPTER 3: CATALOGING

A. Overview

1. *What is cataloging?*

For National Park Service (NPS) museum collections, cataloging is the process of recording detailed information about individual items or groups of related items. Cataloging also includes assigning a unique identifying number to the item or group of items. You must have museum catalog records for all objects, specimens, and archival/manuscript collections in your park's museum collection. The information on the catalog records may be as important as the items themselves.

Note: You can catalog some objects and specimens in lots. Refer to Appendix I: Lot Cataloging, for guidelines on how to determine which items you can lot catalog.

You must catalog all archival and manuscript materials at the collection level. This means that you assign one catalog number to the entire collection. Don't individually catalog the pieces of the collection. You can further describe a collection at the series, file unit, and item level by using the ANCS+ Archives Module. Archivists generally describe very few collections at the item level. See Appendix D in this handbook for additional information about cataloging archives.

2. *What is the purpose for cataloging?*

Catalog records give you access to information about your museum collection for research and interpretation. They are also the primary property accountability records for museum objects. Catalog records tell you what objects you have, their condition, and where they're located. They provide physical and intellectual access to your museum collection.

3. *Who uses catalog data?*

Numerous people and institutions use data from your catalog records, including:

- NPS staff, (curatorial and interpretive staff, cultural and natural resource managers, archeologists, scientists, ethnographers, archivists, and the superintendent)
- exhibit planners
- conservators
- students
- researchers
- general public
- regional and Washington office staff
- educational, cultural, or scientific institutions (such as, museums, historical societies, and universities)

4. *Who must follow this chapter?*

The staff person or persons responsible for the museum collection must follow this chapter to catalog museum collections. You must catalog all objects that are part of the park's museum collection.

Note: You don't have to catalog short-term incoming loans that are at the park for less than a year. You must accession all incoming loans and track them using an incoming loan agreement. Refer to Chapter 2 in this handbook for information on incoming loans. Objects at a park for less than thirty days are in temporary custody and don't require a loan agreement. Refer to Section B.10 in Chapter 2 of this handbook.

See Section A.6 of Chapter 1 in this handbook for information on staffing requirements for museum collections.

B. General Information on Cataloging

1. *What are catalog records?*

Catalog records are both paper and electronic records. The NPS uses Form 10-254 to print catalog records. The form has two formats:

- Museum Catalog Record – CR, Form 10-254 Rev. (Figure 3.1) for cultural resources records for archeology, ethnology, history, and archival/manuscript collections.
- Museum Catalog Record – NH, Form 10-254B Rev. (Figure 3.2) for natural history records for biology, geology, and paleontology.

The electronic catalog record is part of the cultural resources and natural history databases in ANCS+.

Note: The electronic catalog record has more fields than the paper record. The Form 10-254 contains basic catalog data. The electronic catalog record includes separate screens for discipline-specific and park-specific data. You can print all the data in the record using the All Fields report in ANCS+. This report is not the official catalog record.

You must enter all catalog records into ANCS+, the NPS collections management software program. The use of paper records at the park is optional. The National Catalog prints and archives paper copies of all catalog records.

2. *What is a catalog number?*

A catalog number is the unique identification number for a particular item or group of items. You mark the catalog number on the object, and create a catalog record for each number. The number links the object and the documentation. Refer to Section C.11 in this chapter for information on marking the catalog number on the object.

Note: The catalog number identifies the object or group of objects. The accession number identifies the transaction that established NPS ownership of the object or group of objects.

3. *When do I catalog objects?*

If possible, catalog objects when you accession them.

Parks frequently have backlogs of cataloging to complete. Make a plan for reducing or eliminating the backlog, since it's hard to access and account for uncataloged collections. You must report the number of objects that you cataloged and the number of objects in the backlog each year on the Collections Management Report (CMR). Refer to Section VIII in Chapter 4 of this handbook for information on the CMR.

4. *How do I plan to reduce or eliminate my cataloging backlog?*

Planning for cataloging projects is part of the normal planning, programming, and budgeting process for any park. Be sure to include projects for cataloging the museum collection in the park's Resource Management Plan and Project Management Information System (PMIS). You will have to estimate the size and cost of the project and the time it will take to complete. You will also have to justify why the work needs to be done.

Note: Your current Collections Management Report (CMR) will have the number of items, by discipline, in the backlog. You may need to make adjustments to your CMR figures if you find additional items that you need to catalog.

To get an idea of the size of the job, locate all the materials that you need to catalog. Make sure that you have accessioned all items. Remember to include:

- archival collections that may be in offices or storage spaces
- large, mobile items that might be outside, such as farm machinery
- representative pieces of historic building fabric or architectural material

Give an estimate of the number of items in each discipline (such as biology or archives) that you need to catalog. The cost of cataloging varies by discipline.

Refer to Appendix B in this handbook for information on estimating cataloging costs.

5. *How can I prevent a future catalog backlog from occurring?*

It's important to keep your backlog from growing larger in the future. This may not be possible if you receive a large accession of materials. However, you can address the backlog of project-generated collections. Make sure all contract agreements and permits include the requirement to catalog all collections that the project generates.

6. *Where do I get the information for cataloging?*

Cataloging museum objects involves gathering and recording information from:

- physical observation
- accession records
- associated documentation

- research
- subject-matter specialists

Note: Refer to Appendix L: Bibliography, in this handbook for books that may be helpful in cataloging various types of objects and materials.

7. *How much time should I spend researching information for the catalog record?*

The amount of time you spend researching information about an object depends on:

- the importance of the object to your collection
- the availability of information
- your work schedule
- your research skills

Note: You can always add additional information to a catalog record at a later date.

Refer to Appendix B in this handbook for information on the costs of cataloging various types of collections.

8. *How do I prepare to catalog a collection?*

Before beginning to catalog, get a basic understanding of the entire collection and its purpose. Start by surveying the collection, including items on exhibit, on loan, and in storage. Look at the park's enabling legislation and Scope of Collection Statement (SOCS). What are the interpretive themes at the park? What's in the park library?

Become familiar with the park's accession book and records. Look at the cataloging that has been done and any research requests. Identify the material that you still need to catalog.

Knowledge of the collection as a whole allows you to:

- record information that is pertinent to the collection
- efficiently organize the cataloging process by sorting objects by type or material and conducting research on similar objects
- place objects in context within the whole collection
- provide cross-references to related objects

9. *Should I develop site-specific cataloging guidelines?*

Yes. Create written, site-specific cataloging guidelines. These guidelines set up the format for the catalog data at your park. They also help you maintain consistent data. Consistency is especially important if you have numerous catalogers and changes in cataloging staff. The person responsible for the collection should create the guidelines.

Site-specific guidelines might include:

- uniform location descriptions for areas in the park

- lists of eminent figures and organizations that are relevant to the park

- standard descriptions for various types of materials

Some regions provide regional guidelines for cataloging certain types of materials, such as archeology.

Note: Site-specific cataloging guidelines may supplement, but not replace, the NPS cataloging procedures in this handbook and the *ANCS+ User Manual.*

Appendix C in this handbook has information on uniform ways to describe and measure objects.

10. *What is the National Catalog of Museum Objects?*

The National Catalog of Museum Objects is one of the required NPS inventories and databases. It includes all catalog records for cultural objects, archival and manuscript materials, and natural history specimens in NPS museum collections. The National Catalog office is part of the Museum Management Program, National Center for Cultural Resources. The office is in Harpers Ferry, West Virginia. It serves as an off-site repository for your park's paper catalog records and electronic catalog record databases.

The National Catalog helps provide accountability, security, and preservation for electronic and paper catalog records and access to catalog data. The data would otherwise only be located at parks. The National Catalog protects park data during emergencies, disasters, or computer crashes.

Refer to Section H of this chapter for information on submitting catalog records to the National Catalog.

11. *Do I need to restrict access to catalog data?*

You should make most catalog data available to the public. However, you must restrict access to some types of location data. You are required by law to restrict access on the location data for:

- archeological excavations, including shipwrecks – Archaeological Resources Protection Act (ARPA) of 1979 (16 USC 470)

- cave and cave resources – Federal Cave Resources Protection Act of 1988 (16 USC 4301-4309)

- historic resources at risk of harm, theft, or destruction –National Historic Preservation Act of 1966, as amended (16 USC 470-470t, 110)

You should also place restrictions on the following location data. However, these data may be subject to Freedom of Information Act (FOIA) requests.

- Indian sacred sites –Executive Order 13007 – Indian Sacred Sites (May 24, 1996)

- nesting sites or specific habitat on threatened and endangered species – Endangered Species Act of 1973, as amended (16 USC 1531-1543)

You may withhold the following information from a FOIA request unless the Secretary approves release.

- information concerning the nature and specific location of mineral or paleontological specimens or objects of cultural patrimony within units of the NPS or resources that are endangered, threatened, rare, or commercially valuable – National Parks Omnibus Management Act of 1998 (16 USC 5937)

Use common sense when providing catalog data to the public. You should exclude current location and value data from general viewing.

12. *How do I provide access to the park's catalog data?*

ANCS+ has a public search function that allows researchers or non-museum staff to search the park's catalog data. You can choose which data fields on the catalog record are visible. Refer to Appendix C in the *ANCS+ User Manual* for information on using the public search function.

C. Cataloging Procedures

1. *Should I use a worksheet when cataloging collections?*

Use of a worksheet is optional. You can enter catalog data directly into ANCS+. Catalog worksheets for each discipline came with your *ANCS+ User Manual*. Contact the National Catalog office if you need additional copies.

2. *What is a catalog folder?*

A catalog folder is an archival folder that holds information that isn't contained on the catalog record. File the folder in numerical order by catalog number. Mark the catalog number on the folder using permanent ink. You can also write "Catalog Folder" on the tab.

Note: The ANCS+ catalog record includes a Catalog Folder field to tell you if you there is a catalog folder corresponding to the catalog record.

Proof of ownership and accession-related documentation always remain in the accession folder.

Typical contents of a catalog folder may include:

- research notes or reports on a specific object that is not part of a systematic collection

  Note: Catalog the notes and reports from systematic collections as part of the associated records for the project. For example, a large archeological project may have a research report or chemical analysis for thousands of objects. In such cases, catalog the information as archives.

- conservation records, such as an object treatment request, condition report, treatment proposal, and conservation treatment report
- chemical analysis
- appraisals
- exhibition documentation

- publicity or other photographs (see Appendix K: Photography, for filing documentation photos) in protective enclosures
- material samples, such as upholstery, fabric, or paint
- publication citations

If possible, items in the catalog folder should be on acid-free paper. Store catalog folders in a separate drawer in the same, or similar, insulated and fireproof locking file as the accession file.

3. *How do I complete a catalog record?*

Refer to the appropriate section in Chapter 2: Cataloging, in the *ANCS+ User Manual*. The chapter contains a section for each discipline. ANCS+ also contains on-line field help for each field on the catalog record.

To save a record, you must enter data in all the mandatory fields. Refer to Sections E and F of this chapter for a list of the mandatory fields.

You will probably not have enough data on most objects to complete every non-mandatory field on the catalog record. Enter data in the fields for which you have information. The types of data that you record will vary between disciplines. Cite the sources of your data as needed.

Be accurate and thorough. Proof your work. Inaccurate or incomplete cataloging can result in unnecessary confusion in later years. Spelling errors make your work look unprofessional. Remember that other people, such as researchers, internet users, or park staff, may eventually see your work. Make sure the catalog record is clear and understandable to someone looking for information about the object.

Refer to Appendix C: Cataloging Guidelines, in this handbook for information on:

- how to record dimensions and weight in a consistent format
- the types of questions to ask when cataloging an object
- uniform techniques for description
- terms to use when describing condition

4. *How can I gain preliminary control for new accessions?*

You may not have time to do detailed cataloging when you accession an object. However, you can gain basic accountability for the object by completing the mandatory fields on the catalog record. Refer to Sections E and F of this chapter for a list of mandatory fields.

If you have a catalog record in ANCS+, the program will:

- do searches for the data
- get automated data from the record for the Automated Inventory Program (AIP)
- automatically include the data in the CMR

- use the data in reports

Note: You will have to go back to the record to complete the full cataloging at some point. You can't use Backlog Cataloging (BACAT) funds for partially cataloged items.

5. *What if I have unverified data?*

It's important to note when data are unverified. Use a question mark "?" or attributed "(att)" to show data that are probable but not certain.

6. *What if I need to add or change information on the catalog record?*

Cataloging is a continuing process. You may receive additional information about an object, or discover that information on the record is incorrect. You can add, change, or delete information on the catalog record at any time. The Catalog Notes supplemental record in ANCS+ allows you to keep track of changes to the record. Refer to Section II in Chapter 3 of the *ANCS+ User Manual* for information on the Catalog Notes supplemental record. Refer to Section G in this chapter for information on recataloging.

7. *Can I catalog objects that are alike on the same catalog record?*

This depends on the objects. Refer to Appendix I: Lot Cataloging, in this handbook for guidelines on when to lot catalog similar objects. Refer to Appendix C: Recommended Cataloging Guidelines, in this handbook for information on cataloging pairs and sets of objects.

8. *How do I catalog objects with detachable parts?*

Catalog detachable parts as components of the object. Refer to Appendix C: Recommended Cataloging Guidelines, in this handbook for information on cataloging objects with component parts.

9. *Should I photograph objects while I'm cataloging?*

Yes. Photograph most objects as part of the cataloging process. You should have a permanent space in the cataloging area for photographing objects. However, you may have to set up photography sessions as time, staff, and funding permit.

Photographs can aid you in:

- describing an object
- recording condition
- recovering a lost or stolen object
- preserving the object by reducing the need to handle it

A complete record of an object generally requires both a photograph and a catalog record with a cross-reference between the two.

It is highly recommended that you photograph all controlled property:

- ***items with a value over $1,000***
- ***firearms***
- ***type specimens***
- ***incoming loans (with the exception of incoming loans to NPS repositories)***
- ***items especially vulnerable to theft, loss, and damage***

Refer to Appendix K: Photography, in this handbook for information on photographing museum collections.

10. *Are there times when I don't need to photograph collections?*

Yes. You must decide if a photograph is useful. For example, you don't need to photograph most botanical specimens, soil samples, or sherds. Photograph culturally affiliated NAGPRA items in consultation with the affiliated tribe.

You can make a photocopy, rather than a photograph, of some archival materials. Use a photocopy if:

- the item is a line drawing or illustration
- there isn't a lot of shading or nuance in the work
- you don't need to capture extremely fine detail
- the material is already a copy (such as a blueprint drawing of an architectural drawing)
- the material doesn't have high artifactual or evidential value

11. *When do I mark an object with a catalog number?*

Mark the object with a catalog number when you complete the worksheet or catalog record. Placing a catalog number on the object links the object to its documentation. Refer to Appendix J: Marking and Numbering Museum Collections, in this handbook for marking techniques.

Mark objects with the complete catalog number, which includes the park acronym, a space (or collection designator), and a sequential identification number. For example: DETO 3717.

A catalog number never includes a hyphen between the acronym and the number.

Be sure to enter the catalog number on the natural history labels for natural history specimens. You can't mark the number on many natural history specimens, such as insects or soils.

Mark catalog numbers on folder and box labels for archival collections.

Don't place a number on incoming loans. Use an acid-free tag to label incoming loans with a catalog number. NPS centers may mark numbers on park collections that are on loan to the center for curation and storage.

12. *What do I do with catalog data that I receive from centers, contractors, and other sources outside the park?*

The catalog data you receive from centers, contractors, and other outside sources is part of your park's database. You must transfer the data into the park database and submit the complete database to the National Catalog every year. A complete database for your park includes the data for all the objects that the park owns. By law and regulation, the park is responsible for archeological and natural history collections that are collected at the park. The park must maintain catalog data on these collections even if the collections are not located at the park. (Before 1984, parks weren't required to catalog natural history specimens that were collected under permit and stored in other repositories.)

13. *What is the relationship between the NPSpecies database and my catalog records?*

The NPSpecies database of the Inventory and Monitoring (I & M) Program uploads data from your ANCS+ natural history catalog records. You can give your data directly to I & M or have the National Catalog give them your data. The park must give the National Catalog permission to send your data to the I & M Program.

Note: Upload data from ANCS+ to NPSpecies. Don't upload data from NPSpecies to ANCS+.

D. Tracking Catalog Numbers

1. *Can I release catalog numbers in advance?*

Yes. You may need to give or release catalog numbers to other institutions or individuals that are responsible for cataloging NPS collections. These include:

- NPS centers, such as the Midwest Archeological Center (MWAC)
- universities
- non-NPS museums or institutions
- contractors
- collectors (collecting under permit)

You may also release catalog numbers in advance if you have a large cataloging staff. Assigning blocks of numbers to each individual is a good way to track your catalog numbers.

ANCS+ has a pre-allocate records function that assigns catalog numbers to blank records. Refer to Section IV in Chapter 6 of the *ANCS+ User Manual* for information on this function.

2. *When should I release catalog numbers outside the park?*

The repository, contractor, or collector must give you a list or estimate of the items to be cataloged. Don't release catalog numbers until you receive an adequate estimation of the material. Make sure that the person cataloging the material has a copy of:

- the appropriate chapters and appendices in this handbook and the *ANCS+ User Manual*
- a copy of ANCS+

- site-specific cataloging guidelines, if available

Use of the program and guidelines should be part of the contract or permit requirements. Refer to the introduction of the *ANCS+ User Manual* for information on contractors and the use of ANCS+.

If you don't require contractors to use ANCS+, be sure they provide the data for all mandatory fields. The data should be in an export format that you can easily import into ANCS+. See Section VI in Chapter 6 of the *ANCS+ User Manual* for information on importing and exporting data.

3. *How should I track the catalog numbers I release?*

Use a bound catalog number logbook or a computer-generated log to track catalog numbers. See Figure 3.3 for a sample logbook page. Be sure to include an "Issued To" column or field to note who has the number. For large collecting projects that use hundreds of catalog numbers, placing lists of catalog numbers in the accession folder for the project is helpful.

Make sure that all the numbers you release have been used and properly assigned to objects. This may be difficult since you may not know which numbers were used for several years. You will also want to keep track of which numbers were not used. You can then reassign these numbers to other objects.

4. *How can I find the last catalog number I used?*

If you don't keep a catalog number log, you will have to check ANCS+ or your catalog worksheets for the last number.

If…	***Then…***
all your records are in ANCS+,	go to the last record in your database (remember to check both the CR and NH databases) and sort your data by catalog number.
you have catalog worksheets waiting for data entry,	look for the catalog number on the last completed worksheet.

Remember that you may have already released catalog numbers that aren't in the database or on worksheets. Also, catalogers may be using skipped numbers. The catalog number on the last completed worksheet may not be the actual last number. You risk fewer errors by keeping a logbook.

Use the missing numbers report in ANCS+ to find missing numbers in the database.

5. *May I reuse catalog numbers?*

Reusing catalog numbers depends on the circumstances. If an object was cataloged under two different numbers, you can void the later number and reuse it. When you reuse the number, make a cross-reference to its earlier use. For example, you can note, "This catalog number was previously used for chair XXXX 567. The chair had been cataloged twice by mistake."

Never reuse catalog numbers for missing or deaccessioned objects.

6. *What if I have missing catalog numbers?*

If you skip a catalog number by mistake, assign the number to the next available object. You may have to spend some time searching for missing numbers if you have released numbers in advance.

7. *What if I have duplicate catalog numbers?*

If the duplicate catalog numbers are for…	***Then…***
identical records,	delete one of the records.
different objects,	assign a new number to one of the objects with a cross-reference to the old number.

Be sure to check the catalog numbers on the objects as well as the catalog records.

8. *How should I cross-reference catalog numbers with the accession records?*

For small accessions, enter the catalog numbers in the Catalog Number column in the accession book. Leave this column blank for large accessions.

Add the catalog numbers to the list of objects or inventory list that is part of the Accession Receiving Report, Form 10-95. This provides a good cross-reference between your accession and catalog records. Be sure to date the list to make clear that it was completed after the accession receiving report.

You can also generate a list from ANCS+ of all the cataloged items in an accession. Add this list to the accession file in place of a written list.

E. Cultural Resources (CR) Catalog Data Fields

1. *Where do I find the data fields for CR catalog records?*

The data fields for your CR catalog records are in the Collections Management Module of ANCS+. This module has your accession records and your cultural resources and natural history catalog records. It also has associated modules that help you with collections management functions, such as outgoing loans.

2. *What are the data fields for CR catalog records?*

The following list of CR data fields includes the mandatory fields. You can't save a record in ANCS+ until you complete all the mandatory fields. Refer to questions 3-6 of this section for discipline-specific fields. Refer to Chapter 2 in the *ANCS+ User Manual* and the on-line help in ANCS+ for information on how to use and complete the fields.

Sample catalog records for archeology, ethnology, history, and archival/manuscript collections appear in Figures 3.4 – 3.7.

* Mandatory Field

@ ANCS+ enters "Not Provided" if you don't complete this field.

\+ ANCS+ enters "Not Provided" in all these fields if you don't complete at least one of them for archeology records.

* Accession Number

Alternate Name
Artist/Maker
Catalog Date
Catalog Folder
* Catalog Number
* Cataloger
* Classification Lines 1-4
Component Part
* Condition
Condition Description
* Controlled Property
Cultural ID
Culture of Use
@ Description
Eminent Figure
Eminent Organization
+ Field Site Number
Historic/Cultural Period
Identified By
Identified Date
* Item Count (or Quantity)
Key Descriptor
* Location
Maintenance Cycle
Manufacture Date
Material
Measurements
    Dimensions
    Other
    Volume
    Weight
NAGPRA
* Object Name
* Object Status
Other
Other Numbers
Place of Manufacture
    City
    Country
    County
    State
Place of Origin
    City
    Country
    County
    State
* Quantity (or Item Count)
Related Collections
Reproduction
+ Site Name
+ State Site Number
* Status Date
* Storage Unit
Use Date
+ Within Site Provenience

3. *What are the discipline-* The following list of fields appears on the discipline-specific screen in

specific fields for archeology records?

ANCS+. None of these fields are mandatory.

Collector
  Collection Date
  Collector
Color
Decorative Motif
Decorative Technique
Field Specimen Number
Makers Mark
Manufacturing Technique
Object Form
Object Part
Previous Catalog Number
Revised Nomenclature
Temper
Type Name

4. *What are the discipline-specific fields for ethnology records?*

The following list of fields appears on the discipline-specific screen in ANCS+. None of these fields are mandatory.

Aboriginal Name
Additional Area
Additional Group
Manufacturing Technique
Object Use
Possible/Probable Classification

5. *What are the discipline-specific fields for history records?*

The following list of fields appears on the discipline-specific screen in ANCS+. None of these fields are mandatory.

Copyright
Format
Genre
Inscription/Marks
Object Use
Patent Date
Process/Technique of Manufacture
School
Significant Event
Style
Subjects
Term (AAT)
Title

Note: ANCS+ contains the lexicon for the *Art and Architecture Thesaurus (AAT)*. The *AAT* is a standardized vocabulary for fine arts, architecture, decorative art, and material culture of the Western world.

6. *What are the discipline-specific fields for archival/ manuscript records in the Collections Management Module?*

The following list of fields appears on the discipline-specific screen in ANCS+. None of these fields are mandatory.

- Additional Accession Numbers
- Arrangement
- Catalog Level
- Collection Title
- Dates
  - Bulk Dates
  - Inclusive Dates
- Finding Aids
  - Finding Aid
  - Level of Control
- History
- Index Terms
  - Form
  - Function
  - Genre
  - Occupation
- Language
- Local Collection Number
- Organization
- Provenance
- Reference Terms
  - Corporate Name
  - Geographic Name
  - Personal Name
  - Topic

7. *What is the Archives Module in ANCS+?*

The Archives Module is a separate but interfacing element of ANCS+. It allows you to describe archival collections beyond the catalog information in the Collections Management Module. The Archives Module allows you to describe archival collections:

- at multiple levels (collection, series, file unit, and item levels)
- according to archival descriptive standards
- in the Machine Readable Cataloging (MARC) format

Note: Use of the MARC format allows you to upload records into national bibliographic systems.

8. *Must I catalog all archival/manuscript collections in the ANCS+ Archives Module?*

No. The archival survey and processing plan will recommend which collections should be further described in the Archives Module.

You must catalog all archival collections in the Collections Management Module. ANCS+ will copy the information in the Collections Management Module to the Archives Module if you choose to do so.

For some collections, you may decide to use the Archives Module to create a more detailed collection level record. You can then further describe the collection at the series, file unit, and item levels. Refer to Appendix I, Archives Module, in the *ANCS+ User Manual* for information on the data fields in the Archives Module. Refer to Appendix D in this handbook for guidance on archival surveys and processing plans.

9. *Where can I find information about the CR discipline classifications?*

Refer to the appendices in this handbook for information on classifying and naming archeology, ethnology, and history objects and archival/manuscript collections. Figure 3.11 is a flow chart showing CR classifications.

Appendix D: Archival & Manuscript Collections
Appendix E: Archeology
Appendix F: Ethnology
Appendix G: History

F. Natural History (NH) Catalog Data Fields

1. *Where do I find the data fields for NH catalog records?*

The data fields for your NH catalog records are in the Collections Management Module of ANCS+. This module has your accession records and your cultural resources and natural history catalog records. It also has associated modules that help you with collections management functions, such as outgoing loans.

2. *What are the data fields for NH catalog records?*

The following list of NH data fields includes the mandatory fields. You can't save a record in ANCS+ until you complete all the mandatory fields. Refer to questions 3-5 of this section for discipline-specific fields. Refer to Chapter 2 in the *ANCS+ User Manual* and the on-line help in ANCS+ for information on how to use and complete the fields.

Sample catalog records for biology, geology, and paleontology appear in Figures 3.8 – 3.10.

* Mandatory Field

@ ANCS+ enters "Not Provided" if you don't complete this field.

+ You must enter either Latitude and Longitude, Township/Range/Section, or UTM Coordinates.
* Accession Number
Catalog Date
Catalog Folder
* Catalog Number
* Cataloger
* Classification Lines 1-4
* Collection Date
@ Collection Number
@ Collector
Common Name
Component Part
* Condition
Condition Description
* Controlled Property
County

Depositional Environment
Depth
Description
Dimensions/Weight
Elevation
Eminent Figure
Eminent Organization
* Identified By
Identified Date
* Item Count (or Quantity)
+ Latitude and Longitude
Locality
* Location
Maintenance Cycle
* Object Status
Other Numbers
Park
* Quantity (or Item Count)
Reproduction
* Scientific Name
State
* Status Date
* Storage Unit
+ Township/Range/Section
+ UTM Coordinates
Waterbody/Drainage

3. *What are the discipline-specific fields for biology records?*

The following list of fields appears on the discipline-specific screen in ANCS+. None of these fields are mandatory.

Age
Aspect
Associated Species
Exotic/Native
Formation/Period/Substrate
Habitat
Habitat/Community
Lower Taxon
Rare
Sex
Slope
Soil Type
Threatened/Endangered Date
Threatened/Endangered Species
  Synonym
  Synonym Name
  Threatened and Endangered Status
Type Specimen

4. *What are the discipline-specific fields for geology records?*

The following list of fields appears on the discipline-specific screen in ANCS+.

* Mandatory Field

@ ANCS+ enters "Not Provided" if you don't complete this field.

Age/Stage
Datum
Epoch/Series
* Formation
Lithology/Pedotype
Member
@ Period/System
Thin Section
Unit
Vertical Datum

5. *What are the discipline-specific fields for paleontology records?*

The following list of fields appears on the discipline-specific screen in ANCS+.

@ ANCS+ enters "Not Provided" if you don't complete this field.

Age/Stage
Datum
Epoch/Series
Formation
Horizon
In situ/Float
Lithology
Lower Taxon
Member
@ Period/System
Taphonomy
Type Specimen
Unit
Vertical Datum

6. *Where can I find information about the NH classifications and cataloging?*

Refer to Appendix H: Natural History for information on classifying and naming biology, geology, and paleontology specimens. Appendix H is an appendix of this handbook, but it is published in a separate volume. It includes the Hierarchical Classification Outline (HCO) for classifying specimens, a scientific name index, and a common name index.

Figure 3.12 is a flow chart showing NH classifications.

G. Making Changes on the Catalog Record

1. *How do I make and track changes to a catalog record?*

Modify the record in ANCS+. When you save the record, the program will prompt you for the level of changes you have made. Choose between:

- Minor Modification, such as a change in location
- Recataloged, such as a change in object name

The optional Catalog Notes supplemental record allows you to note the changes you made. You can track changes to the catalog record, when they were made, and who made them. Refer to information on saving a catalog record in Chapter 2 of the *ANCS+ User Manual*. Refer to Section II in Chapter 3 of the *ANCS+ User Manual* for information on the Catalog Notes supplemental record.

If you keep paper records at the park, have the National Catalog print the records you have changed. Draw a diagonal line through the old record, and place the new record on top. If you keep catalog folders, you may place the old record in the appropriate catalog folder.

2. *How do I change manual records that are not in ANCS+?*

For minor modifications to records that are not yet in ANCS+, write the correction on the record. Include the name of the person who authorized the change and the date of change.

If you are recataloging (see definition below) a manual record, enter the record into ANCS+.

Note: Entering a manual catalog record into ANCS+ without changes is not considered to be recataloging.

3. *What is recataloging?*

Recataloging is any significant change to the data in the catalog record.

Examples: an appraiser tells you that an object is a reproduction

a specialist changes the scientific name of a botany specimen

you deaccession an object

Changes in location and object status (other than deaccessioning), and correction of spelling errors are not recataloging.

In general, when you make changes to the following fields, you are recataloging:

- Accession Number
- Catalog Number
- Item Count or Quantity
- Object Status (if deaccessioned)
- NAGPRA (CR records)
- Classification
- Object Name or Scientific Name
- Description (if substantial changes for CR records)
- Site of Original Collection/Provenience fields (for archeology)
- Manufacture Date (CR records)
- Eminent Figure Association and Eminent Organization (CR records)
- Artist/Maker (CR records)
- Reproduction (CR records)

- Collector, Collection Number, Collection Date (NH records)
- Collection Site Data (NH records)

4. *Do I submit the records I changed to the National Catalog?*

Yes. Each year you must submit a copy of your entire database to the National Catalog. You must also submit a tag file of the catalog records you completed during the fiscal year. If you recataloged records during the fiscal year, include these records in the tag file. Refer to Section VII of Chapter 7 in the *ANCS+ User Manual* for information on preparing records for your annual submission.

> ***Don't include records with minor modifications, such as location changes, in the tag file with the new and recataloged records.***

5. *Does the National Catalog print archival copies of recataloged records?*

Yes. National Catalog staff will print and store white, archival copies of the recataloged records. You can request that the National Catalog print blue, park copies of recataloged records for the park.

6. *Does the National Catalog print archival copies of records with minor modifications?*

No. The National Catalog doesn't print or store archival copies of records with minor modifications.

The National Catalog will print blue, park copies of records with minor modifications if you:

- make a separate tag file of the records with minor modifications that you want to print, and
- request the blue copies

For example, you might want new blue copies of your catalog records after a mass location change.

7. *Can I make changes to the NPS classification systems?*

No. The classification tables in ANCS+ are locked tables. You may not add to, delete, or modify the NPS classification entries. The Museum Management Program may periodically update these tables in consultation with discipline-specific specialists. Send requests and justifications for changes in classification to the Museum Registrar, National Catalog. Refer to Appendix H: Natural History, in this handbook for information on requesting additions to the Hierarchical Classification Outline (HCO).

8. *Can I make changes to the object name lists?*

Yes. You can make changes to all of the object/scientific name lists in ANCS+ except the history object term list. The Museum Management Program will periodically update the history object term list in consultation with discipline-specific specialists. Refer to Appendix G: History, in this handbook for information on requesting additions to the history object term list.

H. Submitting Catalog Records to the National Catalog

1. *Must I submit catalog records to the National Catalog?*

Yes. Each year you must submit a copy of your ANCS+ database to the National Catalog in Harpers Ferry, West Virginia. You must submit a copy of your database even if your park had no cataloging activity during the

year.

If you…	*Then…*
had cataloging activity during the fiscal year,	your database needs to include tag files that contain the fiscal year's catalog records (new and recataloged records).
don't have any electronic records at the park,	please send a memo stating that you don't have a database to submit.

Don't submit paper records to the National Catalog. The National Catalog staff will print white and, if requested, blue paper copies of your records.

2. *Why must I submit my catalog records to the National Catalog?*

The National Catalog is one of the required NPS inventories and databases. It provides:

- off-site storage for your electronic data
- paper copies of your catalog records that serve as backups to your electronic data
- a centralized source of information about NPS museum catalog data

The NPS doesn't consider an object cataloged until you submit the catalog record to the National Catalog.

Note: You should keep a complete, current backup at the park of all accession and catalog records. Refer to Section VII in Chapter 7 of the *ANCS+ User Manual* for backup instructions.

3. *When do I submit my database to the National Catalog?*

Submit your database in the month for your region's submission:

November: Midwest Region, Southeast Region, Harpers Ferry Center, Washington Office

December: Alaska Region, Intermountain Region, Denver Service Center

January: National Capital Region, Northeast Region, Pacific West Region

4. *What do I submit to the National Catalog?*

You need to submit a:

- copy of your entire database on a zip disk, including both CR, NH, and accession records
- tag files that contain the new and recataloged records that you completed during the previous fiscal year (October 1-September 30)

- Receipt for Property, DI-105 that includes a list of the numbers in the tag file
- cover memo indicating if you want the National Catalog to print and return blue copies of the catalog records.
- self-addressed label for return of the receipt for property

Note: If no cataloging activity took place during the fiscal year, you don't need to make tag files.

5. *How do I prepare the data for submission?*

Refer to the *ANCS+ User Manual* for instructions on how to back up your data and create a tag file for submission. See:

- Section VII of Chapter 7 for instructions on how to back up your database
- Section XI of Chapter 6 for information on tag files

6. *How do I prepare the receipt for property?*

Include the following on the receipt for property:

- park name or acronym
- the number of zip disks that you have enclosed
- the name and title of the person issuing the submission and the date of issue
- the ranges of consecutive catalog numbers in the tag file, such as 590-789, 800-867

Don't include ranges of non-consecutive numbers.

Note: If you have a lot of non-consecutive numbers in your tag file, print a receipt for property from ANCS+. The receipt will list every number in the tag file. Refer to Section II of Chapter 5 in the *ANCS+ User Manual* for information on printing a receipt for property.

Refer to Figure 3.13 for a sample receipt for property.

7. *Where do I send my submission?*

Mail your submission to:

National Park Service
National Catalog
Bombshelter/Fillmore Street
Harpers Ferry, WV 25425

Mail submissions by:

- certified U.S. mail
- United Parcel Service

- Federal Express
- other reputable mail service

Don't send submissions by cc:Mail.

8. *What happens to my records at the National Catalog?*

The National Catalog staff will:

- sign and return your receipt for property
- log in your records and print reports from your database and tag file
- print white, archival copies of your new and recataloged records and store them in the National Catalog vault
- print blue copies of your catalog records at your request
- send you copies of the reports

9. *What should I do with the blue copies of my catalog records?*

Many parks still use paper records along with their ANCS+ database. In the NPS these records are blue to distinguish them from the white archival records at the National Catalog. File these blue records consecutively by catalog number in groups of five hundred, with the highest number on top. Place them in post binders that are available from the Supply and Equipment Program of the Museum Management Program. Most parks keep these records in the curatorial office or collection storage area for quick reference when working with the collection.

10. *Does the National Catalog print white cardstock classification copies of catalog records?*

No. The NPS no longer uses the white cardstock classification copy of the Form 10-254. Some parks with large numbers of manual records may still maintain a classification file for these records. It's a file based on the classification headings and sub-headings for objects in a collection. The use of classification files will become obsolete when all the manual records have been entered into ANCS+. Classification searches will then be done more efficiently by the computer.

I. List of Figures

Figure 3.1	Museum Catalog Record - CR, Form 10-254 Rev.
Figure 3.2	Museum Catalog Record - NH, Form 10-254B Rev.
Figure 3.3	Catalog Number Logbook Page (Sample)
Figure 3.4	Archeology Catalog Record (Sample)
Figure 3.5	Ethnology Catalog Record (Sample)
Figure 3.6	History Catalog Record (Sample)
Figure 3.7	Archival/Manuscript Catalog Record (Sample)
Figure 3.8	Biology Catalog Record (Sample)
Figure 3.9	Geology Catalog Record (Sample)
Figure 3.10	Paleontology Catalog Record (Sample)
Figure 3.11	Cultural Resources Classification
Figure 3.12	Natural History Classification
Figure 3.13	Receipt for Property, DI-105 (Sample)

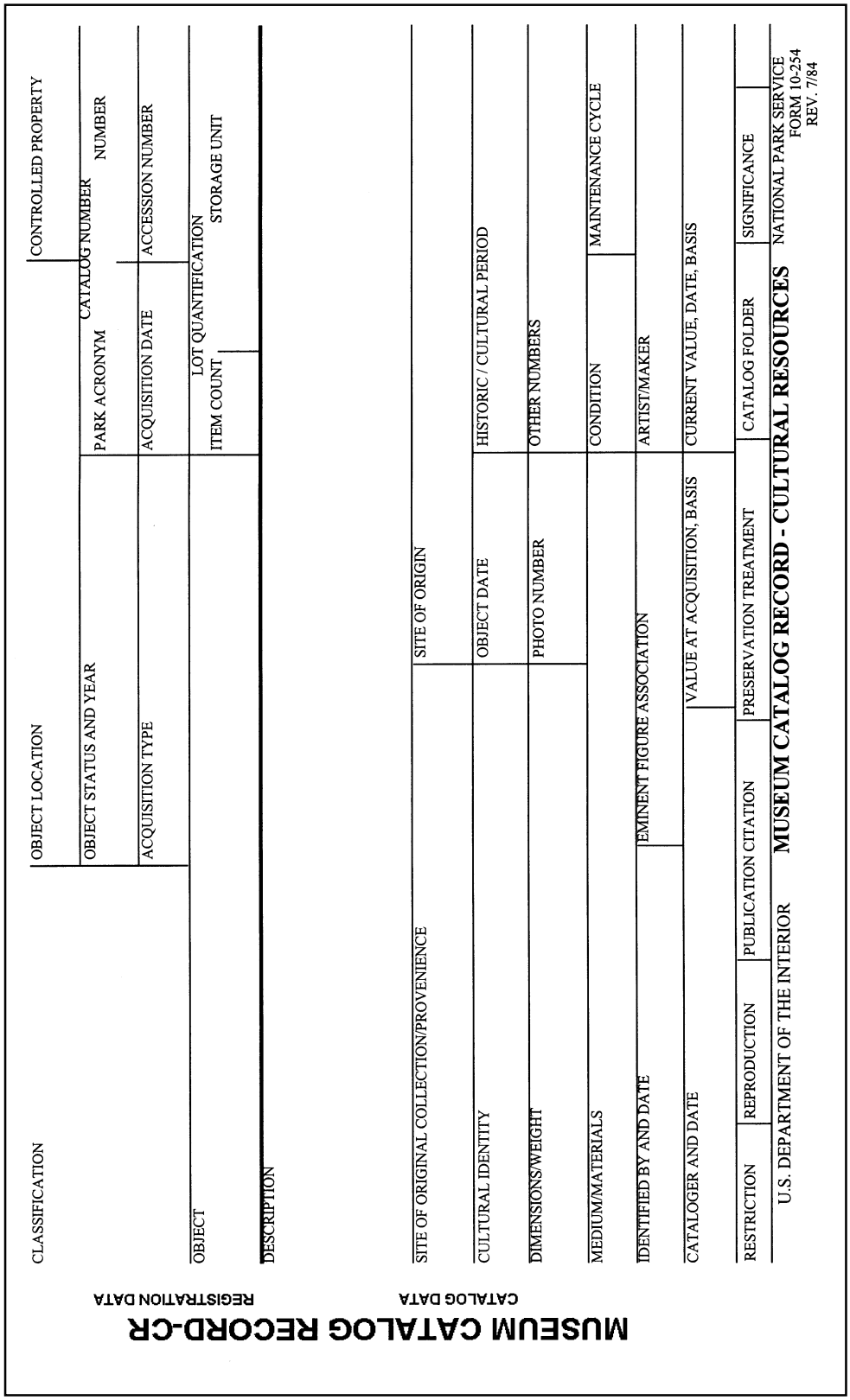


Figure 3.1. Museum Catalog Record-CR, Form 10-254 Rev.

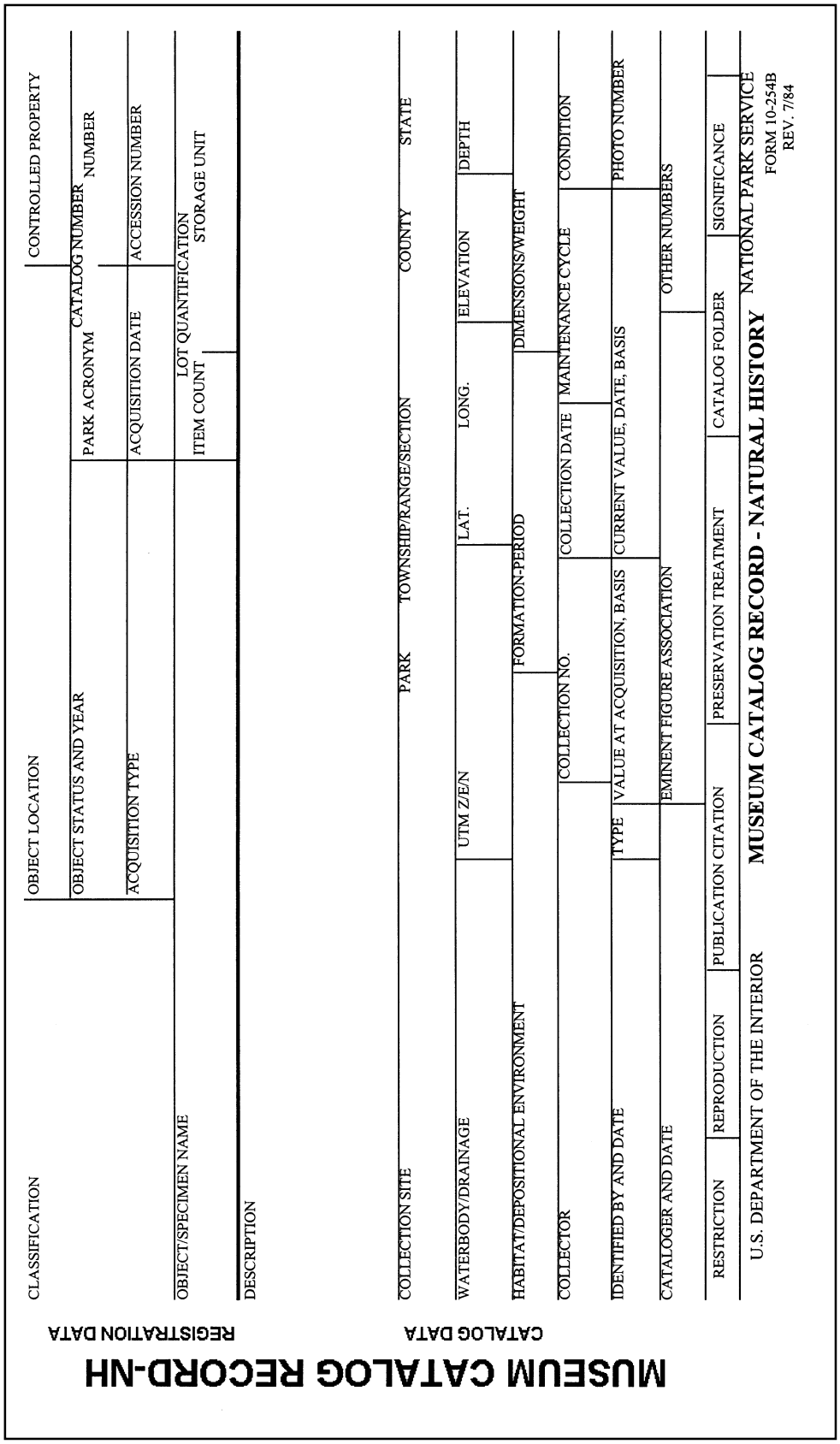


Figure 3.2. Museum Catalog Record-NH, Form 10-254B Rev.

Cat. Nos.	Acc. No.	Issued To	Date Issued	Object(s)

Figure 3.3. Catalog Number Logbook Page (Sample)

MUSEUM CATALOG RECORD-CR

REGISTRATION DATA

CLASSIFICATION
ARCHEOLOGY
PREHISTORIC
MINERAL
STONE

OBJECT LOCATION
SOUTHWEST MUSEUM RM 10 BX 901 B SH I-9-D

CONTROLLED PROPERTY
N

OBJECT STATUS AND YEAR
STORAGE 1999

CATALOG NUMBER
PARK ACRONYM: PARK
NUMBER: 8254

ACQUISITION TYPE
FIELD COLLECTION

ACQUISITION DATE
09/01/1988

ACCESSION NUMBER
PARK-00018

OBJECT
ABRADER

LOT QUANTIFICATION
ITEM COUNT: 4
STORAGE UNIT: EA

DESCRIPTION
1 TRIANGULAR AND 3 IRREGULAR SHAPED TABULAR SANDSTONE ABRADER FRAGMENTS WITH THE TRIANGULAR PIECE ABRADED ON ONE FACE AND APPEARING TO HAVE BEEN BURNED; THE IRREGULAR SHAPED PIECES HAVE BEEN GROUND SMOOTH ON BOTH FACES AND TWO OF THESE FRAGMENTS FIT TOGETHER.
BAG NOTE: BOOTH 5

CATALOG DATA

SITE OF ORIGINAL COLLECTION/PROVENIENCE
27SI 423 LA 878 TM 2, STRAT COLUMN 8, GSQ 278(NE 1/4), LY 34

SITE OF ORIGIN

CULTURAL IDENTITY
ANASAZI

OBJECT DATE
AD 1020-1140

HISTORIC / CULTURAL PERIOD
PII-PIII

DIMENSIONS/WEIGHT
L 6.0, W 4.7, T 1.5 CM; L 5.5, W 4.2 T 0.7 CM _ _ _

PHOTO NUMBER

OTHER NUMBERS
FS 4659

MEDIUM/MATERIALS
SANDSTONE

CONDITION
COM/GD

MAINTENANCE CYCLE
5.0/1999

IDENTIFIED BY AND DATE
RICARDO, VICTOR 10/20/1988

EMINENT FIGURE ASSOCIATION

ARTIST/MAKER

CATALOGER AND DATE
SANDERS, NANCY 06/16/1999

VALUE AT ACQUISITION, BASIS

CURRENT VALUE, DATE, BASIS

RESTRICTION N | REPRODUCTION N | PUBLICATION CITATION N | PRESERVATION TREATMENT N | CATALOG FOLDER | SIGNIFICANCE N

U.S. DEPARTMENT OF THE INTERIOR **MUSEUM CATALOG RECORD - CULTURAL RESOURCES** NATIONAL PARK SERVICE FORM 10-254 REV. 7/84

Figure 3.4. Archeology Catalog Record (Sample)

MUSEUM CATALOG RECORD-CR

REGISTRATION DATA

CLASSIFICATION	OBJECT LOCATION	CONTROLLED PROPERTY
ETHNOLOGY	CR-61-A-1	Y
BASIN	OBJECT STATUS AND YEAR: STORAGE 1999	CATALOG NUMBER: PARK ACRONYM: PARK; NUMBER: 49791
MONO LAKE PAIUTE	ACQUISITION TYPE: GIFT	ACQUISITION DATE: 07/23/1997; ACCESSION NUMBER: PARK-00579
GLASS/PLANT		

OBJECT	LOT QUANTIFICATION: ITEM COUNT	STORAGE UNIT
BASKET, BEADED	1	EA

DESCRIPTION: BEAD-COVERED SINGLE ROD BASKET, WOVEN IN SPLIT WILLOW SHOOTS, WITH 4 HORIZONTAL BANDS OF BLACK BRACKEN FERN ROOT. THE BASKET IS COVERED WITH NET-BEADING USING 4/0 ITALIAN & 11/0 CZECHOSLOVAKIAN BEADS IN A LIGHT BLUE BACKGROUND, WITH VARIOUS VERTICAL ZIGZAGS, TREE-LIKE MOTIFS, AND FLAME-LIKE PATTERNS WORKED IN OPAQUE WHITE, BLACK, AND RED-ORANGE, AND TRANSPARENT RED, DARK BLUE, AND GREEN. THIS BASKET WAS EXHIBITED AT THE 1925 INDIAN FIELD DAYS BY BELLE JOSEPH (SEE PHOTO ALBUM PARK 46106).

CATALOG DATA

SITE OF ORIGINAL COLLECTION/PROVENIENCE	SITE OF ORIGIN	
___	MONO/LEE VINING __ __CA __USA	
CULTURAL IDENTITY: MONO LAKE PAIUTE	OBJECT DATE: 1925	HISTORIC / CULTURAL PERIOD
DIMENSIONS/WEIGHT: H 7.8, DIAM 14.0 CM ___	PHOTO NUMBER: 567/4	OTHER NUMBERS
MEDIUM/MATERIALS: WILLOW --GLASS BEADS --COTTON THREAD		CONDITION: COM/GD; MAINTENANCE CYCLE: 1.5/1999
IDENTIFIED BY AND DATE: MOBLEY, EARL 08/24/1997	EMINENT FIGURE ASSOCIATION: JOSEPH, BELLE	ARTIST/MAKER: JOSEPH, BELLE
CATALOGER AND DATE: MOBLEY, EARL 08/24/1997	VALUE AT ACQUISITION, BASIS: $ 700 CATALOGER	CURRENT VALUE, DATE, BASIS: $2000 03/22/2000 MARKET

RESTRICTION	REPRODUCTION	PUBLICATION CITATION	PRESERVATION TREATMENT	CATALOG FOLDER	SIGNIFICANCE
Y	N	Y	N	N	N

U.S. DEPARTMENT OF THE INTERIOR **MUSEUM CATALOG RECORD - CULTURAL RESOURCES** NATIONAL PARK SERVICE FORM 10-254 REV. 7/84

Figure 3.5. Ethnology Catalog Record (Sample)

MUSEUM CATALOG RECORD-CR

REGISTRATION DATA

CATALOG DATA

CLASSIFICATION HISTORY FURNISHINGS FURNITURE	OBJECT LOCATION WYLER HOUSE DINING RM		CONTROLLED PROPERTY Y
	OBJECT STATUS AND YEAR EXHIBIT 1999	CATALOG NUMBER PARK ACRONYM PARK	NUMBER 7621
	ACQUISITION TYPE GIFT	ACQUISITION DATE 12/08/1998	ACCESSION NUMBER PARK-00044
OBJECT CHAIR		LOT QUANTIFICATION ITEM COUNT 1	STORAGE UNIT EA

DESCRIPTION MAHOGANY HEPPLEWHITE SHIELD-BACK SIDE CHAIR WITH SWELLED ORIGINAL SLIPSEAT AND MOLDED EXTERIOR FRONT LEGS. SHIELD BACK CONTAINS FIVE CHANNELED VERTICAL SLATS SPRINGING FROM A LEAF CARVED AND 15 FLUTE LUNETTE, TERMINATING IN A STYLIZED LOTUS FLOWER AND CROSS-HATCHING. MARKED ON INTERIOR FRONT SEAT RAIL "IIIIV". BRASS PLATE SAYS: "THIS CHAIR BELONGED TO REV. THOMAS WYLER, FRANKLIN PRESBYTERIAN CHURCH."

SITE OF ORIGINAL COLLECTION/PROVENIENCE	SITE OF ORIGIN HOPEWELL __ __PA __USA		
CULTURAL IDENTITY	OBJECT DATE 1787 --AD --CIRCA	HISTORIC / CULTURAL PERIOD FEDERAL	
DIMENSIONS/WEIGHT H 99.1, W 54.3, D 56.0 CM __ __ __	PHOTO NUMBER 4235/13	OTHER NUMBERS	
MEDIUM/MATERIALS WOOD		CONDITION COM/GD	MAINTENANCE CYCLE 1.0/1999
IDENTIFIED BY AND DATE PARK, MALCOLM 12/08/1998	EMINENT FIGURE ASSOCIATION WYLER, REV. THOMAS	ARTIST/MAKER	
CATALOGER AND DATE DAI, SHAN 12/10/1998	VALUE AT ACQUISITION, BASIS $ 8000 CATALOGER	CURRENT VALUE, DATE, BASIS $8000 04/08/1999 CATALOGER	

RESTRICTION N	REPRODUCTION N	PUBLICATION CITATION N	PRESERVATION TREATMENT Y	CATALOG FOLDER Y	SIGNIFICANCE N

U.S. DEPARTMENT OF THE INTERIOR **MUSEUM CATALOG RECORD - CULTURAL RESOURCES** NATIONAL PARK SERVICE FORM 10-254 REV. 7/84

Figure 3.6. History Catalog Record (Sample)

MUSEUM CATALOG RECORD-CR

REGISTRATION DATA

CATALOG DATA

CLASSIFICATION HISTORY COMMUNICATION ARTIFACTS DOCUMENTARY ARTIFACT ARCHIVAL/MANUSCRIPT COLLECT.	OBJECT LOCATION ARC R 3 S 4		CONTROLLED PROPERTY Y
	OBJECT STATUS AND YEAR STORAGE 1999	CATALOG NUMBER PARK ACRONYM PARK	NUMBER 678
	ACQUISITION TYPE GIFT	ACQUISITION DATE 10/01/1995	ACCESSION NUMBER PARK-00343
OBJECT CHI ETA PHI SORORITY, INC. RECORDS		LOT QUANTIFICATION ITEM COUNT	STORAGE UNIT 5.50 LF

DESCRIPTION CHI ETA PHI SORORITY, INC.'S RECORDS DOCUMENT THE ACTIVITIES OF THIS NATIONAL ORGANIZATION OF BLACK NURSES FROM THE 1950'S TO THE PRESENT. THE COLLECTION INCLUDES CORRESPONDENCE, MINUTES, AND PUBLICATIONS. SOME HIGHLIGHTS ARE THE MINUTES, REPORTS, AND WORKBOOKS FROM THE ANNUAL BOULE AND THE FILES RELATING TO CHI ETA PHI'S CHAPTERS AND REGIONS.

SITE OF ORIGINAL COLLECTION/PROVENIENCE	SITE OF ORIGIN		
CULTURAL IDENTITY	OBJECT DATE 1954-1997	HISTORIC / CULTURAL PERIOD	
DIMENSIONS/WEIGHT __ __ __5.5 LINEAR FEET	PHOTO NUMBER	OTHER NUMBERS	
MEDIUM/MATERIALS PAPER		CONDITION EXCELLENT	MAINTENANCE CYCLE 4.0/1999
IDENTIFIED BY AND DATE BARCLAY, HILLARY 01/08/1999	EMINENT FIGURE ASSOCIATION	ARTIST/MAKER CHI ETA PHI SORORITY INC.	
CATALOGER AND DATE ROGERS, WILLIAM 01/08/1999	VALUE AT ACQUISITION, BASIS	CURRENT VALUE, DATE, BASIS	

RESTRICTION N	REPRODUCTION N	PUBLICATION CITATION N	PRESERVATION TREATMENT N	CATALOG FOLDER N	SIGNIFICANCE N

U.S. DEPARTMENT OF THE INTERIOR **MUSEUM CATALOG RECORD - CULTURAL RESOURCES** NATIONAL PARK SERVICE FORM 10-254 REV. 7/84

Figure 3.7. Archival/Manuscript Catalog Record (Sample)

MUSEUM CATALOG RECORD-NH

REGISTRATION DATA

CLASSIFICATION
BIOLOGY
ANIMALIA
INSECTA
LEPIDOPTERA

OBJECT LOCATION: FSU DEPT. ENT. BODNAR INSECT COLL.

CONTROLLED PROPERTY: N

OBJECT STATUS AND YEAR: LOAN OUT - 1998

PARK ACRONYM: PARK

CATALOG NUMBER NUMBER: 13932

ACQUISITION TYPE: FIELD COLLECTION

ACQUISITION DATE: 09/15/1998

ACCESSION NUMBER: PARK-00846

OBJECT/SPECIMEN NAME: BEET WEBWORM

Loxostege __ __sticticalis __ __ __ __ __ __ __ __ __ __ __ __

LOT QUANTIFICATION
ITEM COUNT: 1
STORAGE UNIT: EA

DESCRIPTION: PINNED SPECIMEN.

FAMILY: PYRALIDAE

CATALOG DATA

COLLECTION SITE: TWIN OWLS TRAILHEAD

PARK: PARK

TOWNSHIP/RANGE/SECTION: T. 5N. __R. 73W. __Sec. 13. __ __ __

COUNTY: LARIMER

STATE: CO

WATERBODY/DRAINAGE: UNNAMED CREEK TO BLACK CANYON CREEK __

UTM Z/E/N: 13/455850/4472300

LAT.

LONG.

ELEVATION: 2385 M

DEPTH

HABITAT/DEPOSITIONAL ENVIRONMENT: OPEN PONDERSOA PINE, BOREAL SHRUB-GRASSLAND, ASPEN RIPARIAN

FORMATION-PERIOD

DIMENSIONS/WEIGHT: L 2.5 CM

COLLECTOR: VALARDI, ANGELO

COLLECTION NO.: PO65

COLLECTION DATE: 07/17/1998

MAINTENANCE CYCLE: 5.0/1997

CONDITION: COM/GD

IDENTIFIED BY AND DATE: VALARDI, ANGELO 07/17/1998

TYPE: N

VALUE AT ACQUISITION, BASIS

CURRENT VALUE, DATE, BASIS

PHOTO NUMBER

CATALOGER AND DATE: ZUBECK, CONNIE 10/02/1998

EMINENT FIGURE ASSOCIATION

OTHER NUMBERS

RESTRICTION N | REPRODUCTION N | PUBLICATION CITATION N | PRESERVATION TREATMENT N | CATALOG FOLDER N | SIGNIFICANCE N

U.S. DEPARTMENT OF THE INTERIOR **MUSEUM CATALOG RECORD - NATURAL HISTORY** NATIONAL PARK SERVICE

FORM 10-254B
REV. 7/84

Figure 3.8. Biology Catalog Record (Sample)

MUSEUM CATALOG RECORD-NH

REGISTRATION DATA

CLASSIFICATION
GEOLOGY
ROCKS
IGNEOUS
ANDESITE-BASALT GROUP

OBJECT LOCATION: GEOL CAB #1/DR B

CONTROLLED PROPERTY: N

OBJECT STATUS AND YEAR: STORAGE 1998

CATALOG NUMBER — PARK ACRONYM: PARK — NUMBER: 6232

ACQUISITION TYPE: FIELD COLLECTION

ACQUISITION DATE: 04/28/1998

ACCESSION NUMBER: PARK-00778

OBJECT/SPECIMEN NAME: BASALTIC ANDESITE OR BASALT? __

LOT QUANTIFICATION — ITEM COUNT: 2 — STORAGE UNIT: EA

DESCRIPTION: DARK GRAY, HIGHLY VESICULAR. MAY REPRESENT TOP OF FLOW (STRATIGRAPHICALLY ABOVE LAVA REPRESENTED BY PARK 6231). NEAR VOLCANIC VENT (ASSOICATED WITH SCORIA, REPRESENTED BY SAMPLE PARK 6233). 14-17 my. Tbaf MEMBER. THIN SECTION.

CATALOG DATA

COLLECTION SITE: 0.9 MILES ESE OF MILEPOST 71, HIGHWAY 85

PARK: PARK

TOWNSHIP/RANGE/SECTION: T. 22N. __R. 5W. __Sec. 12. __ __ __

COUNTY: CORTEZ

STATE: AZ

WATERBODY/DRAINAGE:

UTM Z/E/N:

LAT. LONG.:

ELEVATION: 1476 M

DEPTH:

HABITAT/DEPOSITIONAL ENVIRONMENT:

FORMATION-PERIOD: BATOMITE AND ESITE/TERTIARY

DIMENSIONS/WEIGHT: 748.3 G

COLLECTOR: CHAMP, EDWARD

COLLECTION NO.: OP 78-A

COLLECTION DATE: 04/01/1998

MAINTENANCE CYCLE: 9.0/1998

CONDITION: COM/EX

IDENTIFIED BY AND DATE: CHAMP, EDWARD 05/01/1998

TYPE: N

VALUE AT ACQUISITION, BASIS:

CURRENT VALUE, DATE, BASIS:

PHOTO NUMBER: 75/5

CATALOGER AND DATE: INGELLS, JAN 05/08/1998

EMINENT FIGURE ASSOCIATION:

OTHER NUMBERS:

RESTRICTION N | REPRODUCTION N | PUBLICATION CITATION N | PRESERVATION TREATMENT N | CATALOG FOLDER N | SIGNIFICANCE N

U.S. DEPARTMENT OF THE INTERIOR — **MUSEUM CATALOG RECORD - NATURAL HISTORY** — NATIONAL PARK SERVICE

FORM 10-254B
REV. 7/84

Figure 3.9. Geology Catalog Record (Sample)

MUSEUM CATALOG RECORD-NH

REGISTRATION DATA

CLASSIFICATION
PALEONTOLOGY
UNKNOWN FORMATION
MAMMALIA
ELEPHANTIDAE

OBJECT LOCATION BLDG 1 RM J2 CAB G DR 1

CONTROLLED PROPERTY N

OBJECT STATUS AND YEAR
STORAGE 1997

PARK ACRONYM PARK

CATALOG NUMBER NUMBER 2356

ACQUISITION TYPE
FIELD COLLECTION

ACQUISITION DATE 08/08/1997

ACCESSION NUMBER PARK-00834

OBJECT/SPECIMEN NAME COLUMBIAN MAMMOTH

LOT QUANTIFICATION
ITEM COUNT 1

STORAGE UNIT EA

Mammuthus __ columbi __ Falconer __ 1857 __

DESCRIPTION FEMUR
MISSING PROXIMAL CONDYLE.

CATALOG DATA

COLLECTION SITE
5 KM SOUTHWEST OF KIVIDLO

PARK PARK

TOWNSHIP/RANGE/SECTION T. 11N. __ R. 25W. __ Sec. 41. __ __ __

COUNTY KLAMATH

STATE AK

WATERBODY/DRAINAGE
UNNAMED CREEK __

UTM Z/E/N
14/367834/3477467

LAT.

LONG.

ELEVATION

DEPTH

HABITAT/DEPOSITIONAL ENVIRONMENT
BEACH SURFACE FIND

FORMATION-PERIOD
UNKNOWN

DIMENSIONS/WEIGHT
L 100 CM

COLLECTOR
HARRIS, BRYAN

COLLECTION NO.
RH-97-652

COLLECTION DATE
08/05/1997

MAINTENANCE CYCLE
5.0/1998

CONDITION
INC/FR

IDENTIFIED BY AND DATE
HARRIS, BRYAN 08/05/1997

TYPE
N

VALUE AT ACQUISITION, BASIS

CURRENT VALUE, DATE, BASIS
$50 10/01/1997 CATALOGER

PHOTO NUMBER
2289/24

CATALOGER AND DATE
DAVIS, ARNOLD 10/01/1997

EMINENT FIGURE ASSOCIATION

OTHER NUMBERS

RESTRICTION N | REPRODUCTION N | PUBLICATION CITATION N | PRESERVATION TREATMENT N | CATALOG FOLDER N | SIGNIFICANCE N

U.S. DEPARTMENT OF THE INTERIOR **MUSEUM CATALOG RECORD - NATURAL HISTORY** NATIONAL PARK SERVICE

FORM 10-254B
REV. 7/84

Figure 3.10. Paleontology Catalog Record (Sample)

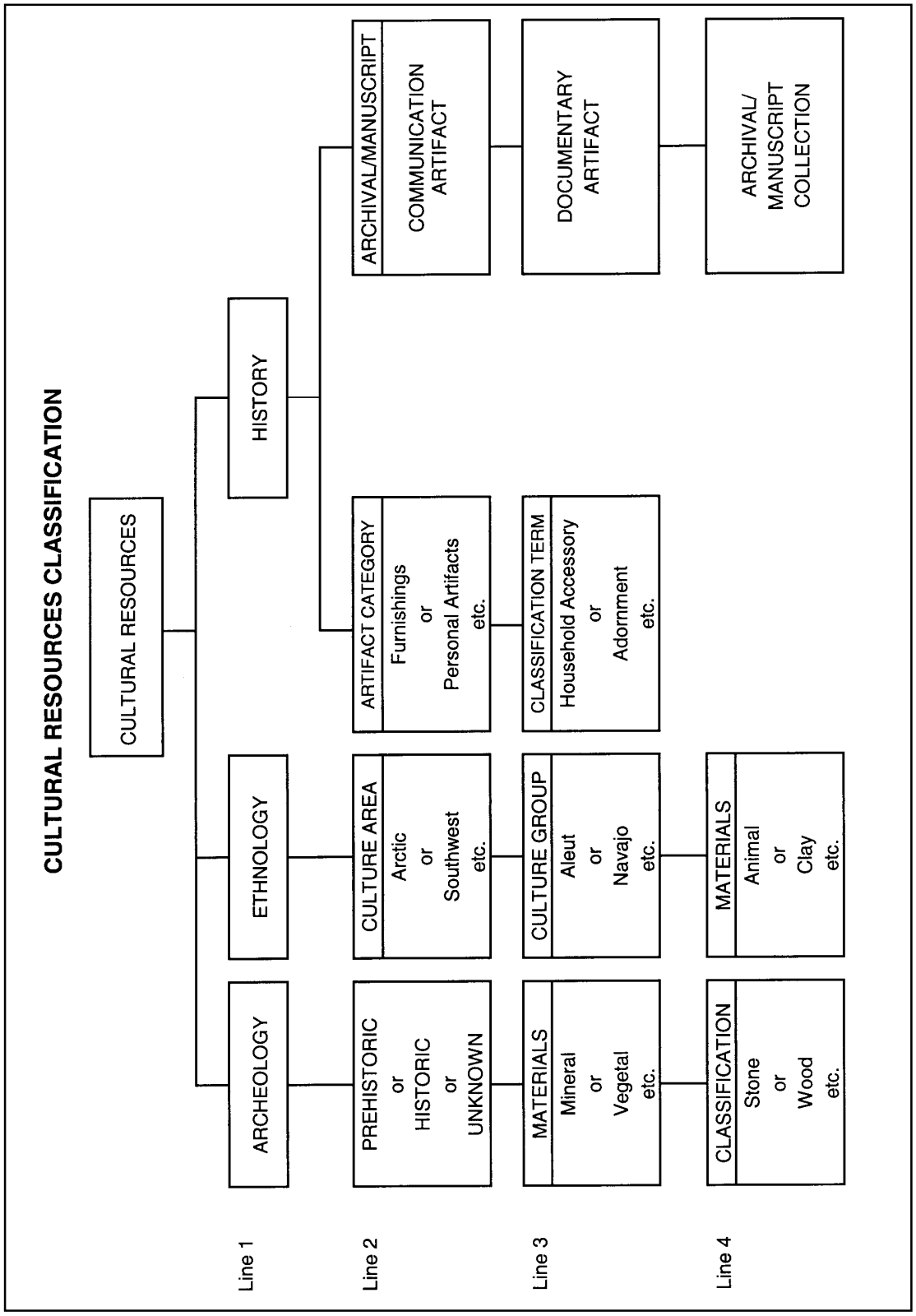


Figure 3.11. Cultural Resources Classification

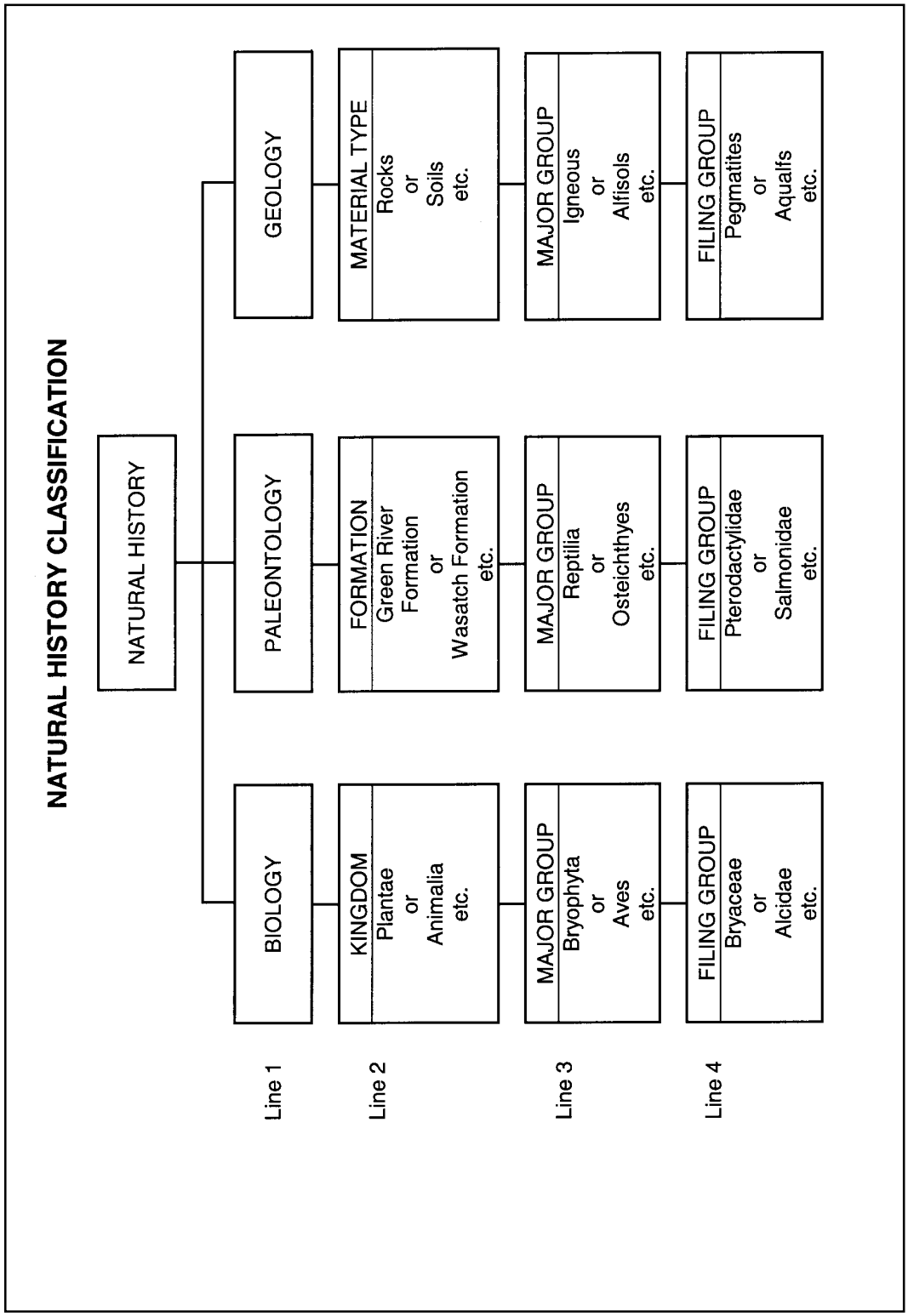


Figure 3.12. Natural History Classification

DI-105
(Revised 5/88)

UNITED STATES
DEPARTMENT OF THE INTERIOR
National Park Service - Park Acronym
BUREAU OR OFFICE

RECEIPT FOR PROPERTY

NUMBER		DESCRIPTION (INCLUDE SERIAL NUMBERS, MODEL, ETC.)	QUANTITY	UNIT OF ISSUE	COST
ITEM	PROPERTY				
1		1 zip disk that contains the following two			
2		directories with FY99 tag files:			
3		PARK.ZIP contains PARKCR99.DBF (567-980)			
4		PARKNH.ZIP contains PARKNH99.DBF (362-456)			
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					
16					
17					
18					
19					
20					

Issued By: (Name and Title)	Date Issued:
Name & Title of Person Issuing the Data	Date the Data Are Sent

It is understood that I am personally responsible for the property listed hereon and that if any of the property is lost, stolen, damaged or destroyed through my simple or ordinary neglect or negligence or gross negligence I can be held financially liable as determined by a Board of Survey.

Received By: (Name and Title)	Signature and Date:

RETURN ORIGINAL TO EMPLOYEE UPON TURN-IN OF PROPERTY

Figure 3.13. Receipt for Property, DI-105 (Sample for National Catalog Submission)

Chapter 4: Inventory and Other Special Instructions

Page

Section I. Annual Inventory of Museum Property 4:1

A. Overview 4:1
What is the annual inventory? 4:1
What is the purpose of the inventory? 4:2
Who conducts the inventory? 4:2
How often do I conduct the inventory? 4:2
What is the Automated Inventory Program (AIP)? 4:2
What inventory reports does the AIP produce? 4:2
Will running the AIP change any of my catalog or accession data? 4:3
What is controlled property? 4:3
What is a random sample? 4:3
Why does the random sample inventory include controlled property? 4:4
What are the steps in completing the inventory? 4:4
Do I need to complete the inventory in any special order? 4:4

B. Conducting the Inventory 4:4
What does the AIP do? 4:4
What catalog and accession data does the program extract? 4:5
What if my park has objects that are cataloged but not yet entered into ANCS+? 4:5
What must I do for the inventory? 4:5
Must I inventory objects that are on outgoing loan? 4:6
What if my park manages more than one collection? 4:6
What if there are uncataloged objects in the museum collection? 4:6
What if some accessions have both cataloged and uncataloged objects? 4:6
What do I do if deaccessioned objects appear in the inventory? 4:6
Do I have to complete all the fields on the inventory? 4:6
Do I have to complete the inventory on the computer? 4:6

C. Completing the Random Sample and Controlled Property Inventories 4:7
How do I complete the random sample and controlled property inventories? 4:7
What are the data fields for the random sample and controlled property inventories? 4:7
Column 1 - Location 4:7
Column 2 - Catalog Number 4:7
Column 3 - Number in Use 4:7
Column 4 - Controlled Property 4:7
Column 5 - Object Found 4:7
Column 6 - Record Found 4:7
Column 7 - Location (Blue) 4:7
Column 8 - Location (ANCS+) 4:8
Column 9 – Other Data OK 4:8
Column 10 - Damaged 4:8
Column 11 - Object/Specimen Name 4:8
Column 12 - Remarks/Condition 4:8

D. Accessions Inventory 4:8
When do I need to conduct an accessions inventory? 4:8
Is the accessions inventory a random sample inventory? 4:8
Where do I find the accession documentation that I'll need for the inventory? 4:8
What if an accession on the inventory is fully cataloged? 4:8
What if an accession has both cataloged and uncataloged objects? 4:8
How do I conduct an inventory if the accession information is not specific? 4:9
How do I conduct an inventory of extremely large accessions? 4:9

E. Completing the Accessions Inventory 4:9
How do I complete the accessions inventory? 4:9
What are the data fields for the accessions inventory? 4:9
Column 1 - Location 4:9
Column 2 - Accession Number 4:9
Column 3 - Number in Use 4:9
Column 4 - Record Found 4:9
Column 5 – Catalog Status 4:10
Column 6 - Object Found 4:10
Column 7 - Damaged 4:10
Column 8 - Remarks/Condition 4:10

F. Submitting the Inventory 4:10
Who signs the inventory reports? 4:10
What happens to the inventory after signature? 4:10
Do I keep a copy of the inventory at the park? 4:10

G. Inventory Deficiencies and Property Irregularities 4:11
What are inventory deficiencies 4:11
What happens if there are inventory deficiencies? 4:11
What are property irregularities? 4:11
What happens if the inventory uncovers property irregularities? 4:11
Who investigates property irregularities? 4:12

H. Spot-Check Inventories and Audits 4:12
Who conducts a spot-check inventory? 4:12
What is a spot-check inventory? 4:12
What happens if a spot-check uncovers deficiencies? 4:12
Who conducts a museum property audit? 4:12
What happens to audit reports? 4:12

Section II. Documenting Object Location 4:12
A. Overview 4:12
Why is it important to document location? 4:12
Who is responsible for documenting object location? 4:12

B. Documenting Current Location 4:13
Where do I document current location? 4:13
Why is it important to be consistent in entering location? 4:13
What is a location file? 4:13

C. Documenting Location Changes 4:13
How do I document location changes? 4:13
How do I document temporary location changes? 4:14

Section III. Reporting Loss of Museum Objects 4:14
A. Overview 4:14
Who is responsible for reporting the loss of museum objects? 4:14
What is the definition of “loss”? 4:14
Where can I learn about prevention of loss? 4:15
Where can I find the procedures for investigating a loss? 4:15

B. Discovering Loss 4:15
Who usually discovers a loss? 4:15
What should I do first upon discovery of a loss? 4:15
When should I report a loss to a law enforcement officer? 4:15

C. Reporting Loss 4:16
How do I report a loss? 4:16
How do I document a loss? 4:16
What if the object is found? 4:16
What if the object is not found? 4:16
How do I report stolen museum collections to outside agencies? 4:16

Section IV. Reproductions, Living History Items, Exhibition Aids, and Outdoor Exhibits 4:19
A. Reproductions 4:19
Why are reproductions used in park exhibits? 4:19
What kinds of reproductions does the NPS use? 4:19
How are reproductions different from objects in the museum collection? 4:19
Must I accession and catalog reproductions? 4:20
How do I document commercially produced reproductions? 4:20
How do I document reproductions created for exhibit installation? 4:20
How do I document reproductions of specific items in a park or other museum's collection? 4:20
How do I document natural history specimens acquired for exhibit? 4:20
Do I manage reproductions differently from museum collections? 4:21
May I deaccession reproductions at the end of their useful life? 4:21

B. Living History Items 4:21
Are living history items part of the museum collection? 4:21
How does the park document living history items? 4:21

C. Exhibition Aids 4:22
What's the difference between reproductions and exhibit aids? 4:22
Do I need to accession and catalog exhibit aids and props? 4:22

D. Outdoor Exhibits 4:22
Do I catalog objects in outdoor exhibits? 4:22
Do I catalog fixed outdoor monuments? 4:22

Section V. Consumptive Use of Museum Objects 4:23
A. Overview 4:23
What is consumptive use? 4:23
Where can I find NPS guidelines on consumptive use of museum objects? 4:23

B. Consumptive Use Approval 4:23
Who approves consumptive use? 4:23
When is consumptive use acceptable? 4:23
When is consumptive use not acceptable? 4:24
Are there types of materials for which the regional director won't grant permission for consumptive use? 4:24

Section VI. Following Regulations for Cataloging Natural History Specimens 4:24
A. Overview 4:24
Where can I find information on collection permits for natural history specimens? 4:24
How can I help collectors with 36 CFR 2.5 compliance? 4:25
Who is considered a collector? 4:25

B. Documenting Natural History Collections Collected under 36 CFR 2.5g 4:25
Who accessions natural history specimens collected under 36 CFR 2.5g? 4:25
Who catalogs specimens stored in the park or a NPS repository? 4:25
Who catalogs collections stored in a non-NPS repository? 4:25
What materials for documenting collections must I give to the collector? 4:26
Do I have to buy an additional copy of ANCS+ to give to the collector? 4:26
What fields on the catalog record must the collector complete? 4:26
May I release catalog numbers to the collector? 4:27
Who is responsible for cataloging the field records? 4:28
Who is responsible for monitoring the accuracy of the records? 4:28
What documentation must the collector submit to you? 4:28
Who prepares the NPS natural history labels and marks the specimens? 4:28

C. Natural History Collections on Loan to Non-NPS Repositories 4:29
When do I place a natural history collection on loan to a non-NPS repository? 4:29
Am I responsible for monitoring the loan? 4:29

Section VII. Buying Insurance for Borrowed Objects 4:29
A. Overview 4:29
Why do I need to insure museum objects that I borrow? 4:29
Do I need to insure items left at the park for identification? 4:29
Do I need to insure property of the United States Government? 4:29
What is a tort claim? 4:30

B. Buying Insurance 4:30
Can the NPS buy insurance? 4:30
Who pays for the insurance? 4:30
How do I use the lender's policy? 4:31
What is a waiver of subrogation? 4:31
What is a certificate of insurance? 4:31
How do I buy an insurance policy to cover the items I borrow? 4:31

C. Insurance Policies 4:31
What standard features must an insurance policy include? 4:31
Do I need to update an existing insurance policy? 4:34

Section VIII. Completing the Collections Management Report 4:34
A. Overview 4:34
What is the Collections Management Report? 4:34
What is the purpose of the CMR? 4:34
Who completes the CMR? 4:34
When is the CMR due? 4:34
How do I complete the CMR? 4:34
What’s the relationship between the CMR and GRPA? 4:34

B. Reporting Center Collections 4:35
Does the CMR include the objects I have at NPS centers and non-NPS repositories, such as universities? 4:35
Who completes the CMR for the collections I have at NPS centers? 4:35
Who completes the CMR for collections I have at non-NPS repositories? 4:35
Do I need to combine the center and repository reports with my park report? 4:35
What do I do with the summary report for my park? 4:36

C. CMR Program 4:36
What does the CMR program do? 4:36
Will running the CMR program change any of my ANCS+ data? 4:36
What if I have different collections within my park? 4:36
What is the structure of the CMR? 4:36
How does the CMR program count cataloged objects? 4:37

D. Completing the CMR 4:37
What are the steps in completing the CMR? 4:37
How does ANCS+ create my CMR? 4:37
Why would I need to make adjustments to my CMR? 4:37
What do I do if I think the data in my CMR are incorrect? 4:38
What are the data fields in Section I of the CMR? 4:38
What are the fields in Section II.A of the CMR? 4:39
What are the fields in Section II.B of the CMR? 4:39
What are the fields in Section II.C of the CMR? 4:39
What are the fields in Section II.D of the CMR? 4:40
What are the fields in Section III of the CMR? 4:40

E. Submitting the CMR 4:41
Do I need to print my CMR? 4:41
Do I need to submit a paper copy of my CMR? 4:41
Does anyone need to review my CMR before I submit it? 4:41

Section IX. Determining the Monetary Value of Museum Objects 4:42
A. Overview 4:42
What kinds of value do museum collections have? 4:42
When would I want to assign a monetary value to museum objects? 4:42
What types of collections don't have a monetary value? 4:42

B. Monetary Values 4:43
What is fair market value? 4:43
What is replacement value? 4:43
Do all objects have a fair market and replacement value? 4:43

C. Assigning Monetary Value 4:43
What makes an object valuable? 4:43
How does a specialist determine monetary value? 4:44
Can I assign values to museum objects? 4:44
What should I do before assigning a value to an object? 4:44
How can I gain expertise in market values? 4:45
What types of specialists are available in the NPS? 4:45
Must the specialist come to the park to evaluate the objects? 4:45

D. Professional Appraisals 4:45
What does a professional appraiser do? 4:45
When do I need to get a professional appraisal? 4:46
What should I look for in an appraiser? 4:46
How do I find appraisers? 4:46
What is the American Society of Appraisers? 4:47
How much does an appraisal cost? 4:47
Should I do a scope of work for the appraiser? 4:47
What must I do to prepare for the appraiser's visit? 4:47
What does an appraisal report include? 4:48
Can I request changes in an appraisal report? 4:48
Do I need to get more than one appraisal? 4:48

E. Re-Appraising Objects 4:49
How often should I re-appraise the objects in my collection? 4:49
How long is a professional appraisal valid? 4:49

F. Documenting Appraisal Information 4:49
Where do I document appraisal information on the catalog record? 4:49
Where should I keep appraisal reports and other written documentation on monetary value? 4:49

G. Appraisals and Tax Deductions 4:49
Can I appraise objects for tax deduction purposes? 4:49
Can I refer a donor to an appraiser? 4:49
What do I need to know about the IRS and donations to my museum collections? 4:50

Section X. List of Figures 4:50

BASIC REQUIREMENTS

Annual Inventory

Conduct an annual inventory of museum property using the Automated Inventory Program (AIP) in ANCS+. There are three parts to the inventory:

- 100% inventory of all controlled museum property
- random sample inventory of all cataloged museum property
- random sample inventory of all accessions, if you have accessions with uncataloged objects

The regional director sends museum property inventory certifications to the Associate Director, Cultural Resource Stewardship and Partnerships, Attention: Chief Curator, by September 30 each year.

Reporting Lost Objects

Report losses of museum objects to a park law enforcement officer as soon as possible after discovery.

Complete a Report of Survey (Form DI-103) for objects that you can't find within thirty days.

36 CFR 2.5 Regulations for Natural History Specimens

Ensure that natural history specimens that are retained in museum collections are cataloged in ANCS+. Place collections stored outside the park on loan.

Collections Management Report (CMR)

Each fiscal year, complete the CMR using ANCS+, and submit it electronically to the Museum Management Program by November 1.

CHAPTER 4: INVENTORY AND OTHER SPECIAL INSTRUCTIONS

Overview

This chapter outlines a variety of procedures that will help you manage museum collections. The chapter is divided into the following sections:

- Section I. Annual Inventory of Museum Property
- Section II. Documenting Object Location
- Section III. Reporting Loss of Museum Objects
- Section IV. Reproductions, Living History Items, Exhibition Aids, and Outdoor Exhibits
- Section V. Consumptive Use of Museum Objects
- Section VI. Following Regulations for Cataloging Natural History Specimens
- Section VII. Buying Insurance for Borrowed Objects
- Section VIII. Completing the Collections Management Report
- Section IX. Determining the Value of Museum Objects

Section I. Annual Inventory of Museum Property

A. Overview

1. *What is the annual inventory?*

The annual museum collection inventory consists of a:

- 100% inventory of all controlled museum property
- random sample inventory of all cataloged museum property (including controlled property)
- random sample inventory of accessions if any accessions have uncataloged museum property

  Note: You don't have to do an accessions inventory if the only uncataloged objects are from accessions that you have received within the last year.

> ***You must accession all uncataloged objects before conducting the inventory.***

You must complete a 100% inventory instead of the random sample if your park has fewer than 250 catalog records.

You must complete a 100% inventory of accessions if:

- your park has fewer than 250 accessions
- some of those accessions have uncataloged objects that were acquired before the last inventory

2. *What is the purpose of the inventory?*

During the inventory, you will check the physical location, condition, and documentation for objects in the collection. The annual inventory allows you to identify object-specific and systematic accountability and collections management problems.

3. *Who conducts the inventory?*

The superintendent is responsible for insuring that park staff conduct the inventory. The superintendent delegates the authority to conduct inventories of the museum collection to the custodial officer. The custodial officer is usually the staff person responsible for the museum collection. Refer to Chapter 1 in this handbook and *Personal Property Management Handbook No. 44* for the definition of custodial officer.

The superintendent appoints a team of at least two individuals to complete the annual physical inventory:

- the custodial officer for museum property or a person designated by the custodial officer to provide expertise in verifying descriptions and access to the collections
- an impartial reviewer who doesn't have direct responsibility for the museum collection

4. *How often do I conduct the inventory?*

You must complete the inventory annually by the end of the fiscal year. The regional director should set up a regular schedule for parks in the region to complete the inventory. If you don't receive a regional call to do the inventory, the superintendent can set the date.

5. *What is the Automated Inventory Program (AIP)?*

The Automated Inventory Program (AIP) partially automates the inventory process and prints the inventory reports.

You must use the AIP to do the annual inventory. Refer to the ANCS+ User Manual, Appendix F, Automated Inventory Program, for instructions on running the AIP.

6. *What inventory reports does the AIP produce?*

The AIP will produce the following reports as part of the inventory process:

- Inventory of Museum Property (Random Sample), Form 10-349 (Figures 4.1a – 4.1d)
- Inventory of Museum Property (Controlled), Form 10-349 (Figures 4.2a – 4.2d)
- Inventory of Museum Property (Accessions), Form 10-349 (Figures 4.3a – 4.3d), if appropriate

7. *Will running the AIP change any of my catalog or accession data?*

No. Running the AIP doesn't change ANCS+ catalog or accession data. The AIP extracts information from existing records, but doesn't modify them. You can't change your records from the AIP. You must go to the appropriate database to make changes to your data. If during the inventory you note that there are incorrect data on the catalog record, remember to update the catalog record.

8. *What is controlled property?*

Controlled museum property includes all:

- objects valued at $1,000 or more
- firearms
- incoming loans

NPS repositories do not treat incoming loans from parks as controlled property.

You should also designate the following as controlled:

- objects that are especially vulnerable to theft, loss or damage (the park must assess the risk)
- natural history specimens with high scientific value, such as type or voucher specimens

You must do a 100% inventory of controlled property.

You must accession and catalog all controlled property. Enter a Y in the Controlled Property field on the catalog record to indicate controlled property.

9. *What is a random sample?*

The random sample used in the inventory serves as an indicator of accountability for the entire collection. If you have accounted for all the objects in the sample inventory, it is assumed that you can account for all objects in the collection.

The AIP creates a valid random sample by randomly selecting catalog and accession numbers from a statistically valid sample size. A random sample is used to complete the Inventory of Museum Property (Random Sample) and Inventory of Museum Property (Accessions).

The sample size and percentage of collection to be sampled varies depending on the size of the collection. The larger the collection, the smaller the percentage of the collection that you must sample. For example, a collection with 253 records will sample 121 records. A collection with 150,000 or more records will sample 203 records. You will never sample more than 203 records.

10. *Why does the random sample inventory include controlled property?*

Controlled property appears in the random sample inventory even though you must conduct a separate, 100% inventory of controlled property. This is because the entire set of sequential numbers is needed to run a statistically valid sample. The AIP randomly selects catalog numbers from the sequential catalog numbers for the entire cataloged collection.

Note: You don't need to inventory controlled property twice. Copy the data for the controlled property that appears in the random sample inventory into the controlled property inventory or vice versa.

11. *What are the steps in completing the inventory?*

To complete the inventory:

- Generate the numbers and data for the inventory using the AIP.
- Print the inventory forms from the AIP.
- Complete the inventory by:
  - finding the objects and records
  - answering the questions on the inventory form
  - totaling the responses
  - completing the summary sheet
- *Optional:* Enter the inventory responses directly into the AIP and print the forms and the summary sheet.
- Have the custodial officer and staff conducting the inventory sign the forms.
- Have the superintendent review and sign the inventory.
- Update the catalog records as needed.

Note: You must repeat the process for all three parts of the inventory.

12. *Do I need to complete the inventory in any special order?*

No. Once you generate the numbers for the inventory, you can complete the inventory in any order you choose.

B. Conducting the Inventory

1. *What does the AIP do?*

The AIP will:

- determine the sample size from the highest catalog number and highest accession number you enter
- randomly select catalog and accession numbers for you to inventory (**Note:** You must generate the numbers in the presence of the custodial officer and all those who sign the inventory form, except the superintendent.)
- pull all controlled property for the controlled property inventory and allow you to enter non-electronic controlled property
- extract selected data from ANCS+ catalog and accession records and index catalog records by location and by ascending numbers for each

location

- allow you to edit selected AIP fields on line
- print the inventory forms containing the randomly selected and controlled property numbers and ANCS+ information
- print the completed inventory forms with the data you have entered
- total the inventory entries and print a summary sheet

2. *What catalog and accession data does the program extract?*

The AIP extracts the location, catalog number, controlled property status, and object/specimen name for all catalog records it pulls from ANCS+. This information appears on the screen and prints on the Form 10-349.

The AIP extracts the accession number and the data in the Catalog Status field for all accession records it pulls from ANCS+. This information appears on the screen and prints on the Form 10-349.

3. *What if my park has objects that are cataloged but not yet entered into ANCS+?*

If a catalog number isn't in ANCS+, the program can't extract data from the record. You will have to enter this information from the paper record. The only fields on the screen that will have entries are the catalog number field and the Rediscovery Status field. "Not in Rediscovery" will appear in the Rediscovery Status field.

Note: For controlled property only, you can add non-electronic catalog numbers to the inventory.

4. *What must I do for the inventory?*

To generate random catalog and accession numbers you must:

- look up the highest catalog number in use and enter it in the AIP
- look up the highest accession number in use and enter it in the AIP

For cataloged objects you must enter the following:

- presence or absence of the museum object
- presence or absence of the catalog record
- accuracy of location information and other data on the catalog record
- any change in the object condition

For accessions, you must enter the following:

- presence or absence of the accession record (including documents in the accession file)
- catalog or deaccession status of the objects in the accessions

If the accession includes uncataloged objects, you must enter the following:

- presence or absence of the objects in the accession as determined by

spot-check

- any change in the overall condition of the objects in the accession as determined by spot-check

5. *Must I inventory objects that are on outgoing loan?*

Yes. You must inventory objects on outgoing loan if their catalog numbers appear on the inventory. Verify the presence and condition of those objects either personally, by telephone, or in writing. Make a note in the Remarks/Condition column on the inventory form.

Note: You don't need to verify an object on outgoing loan if you have checked it within the last year. For example, if you renewed the loan within the last year, you don't need to verify the object.

You don't need to verify the presence and condition of objects on outgoing loan to a NPS repository. Note the acronym of the NPS repository in the Remarks/Condition column on the inventory form. NPS repositories must complete an annual inventory for park collections at the repository.

You must include collections on loan to a non-NPS repository as part of the park's inventory. You must verify the presence and condition of objects on outgoing loan to a non-NPS repository if they appear on the inventory.

6. *What if my park manages more than one collection?*

If you have units with more than one series of accession and catalog numbers, complete a separate inventory for each unit.

7. *What if there are uncataloged objects in the museum collection?*

You must inventory uncataloged objects using the random sample of accessions until you can catalog the objects. You don't have to inventory uncataloged objects from accessions that you've received since the last annual inventory.

8. *What if some accessions have both cataloged and uncataloged objects?*

You will inventory the cataloged objects as part of the random sample and controlled property inventories. You will inventory the uncataloged objects as part of the accessions inventory.

9. *What do I do if deaccessioned objects appear in the inventory?*

You have accounted for the object if it has been deaccessioned. Although you no longer have the object, the catalog number and record for a deaccessioned object remain in the database. Answer the inventory questions about the catalog record, and note in the Remarks/Condition field that the object is deaccessioned.

10. *Do I have to complete all the fields on the inventory?*

No. You may not always have information to enter in the Remarks/Condition field. In some cases, the instructions say to leave fields blank. For example, if a catalog number is not in use, leave the fields blank.

11. *Do I have to complete the inventory on the computer?*

No. You must generate the numbers and print the inventory forms from ANCS+. You can complete the forms by hand or on the computer.

If you…	*Then…*
enter the inventory data on the computer,	the AIP will total the answers and complete the summary sheet.
complete the forms by hand,	you'll have to total the answers, print a blank summary sheet, and complete the summary sheet manually.

C. Completing the Random Sample and Controlled Property Inventories

1. *How do I complete the random sample and controlled property inventories?*

You must complete the inventories using the Automated Inventory Program in ANCS+. Refer to Appendix F: Automated Inventory Program in the *ANCS+ User Manual* for specific information on completing the inventory fields.

2. *What are the data fields for the random sample and controlled property inventories?*

The data fields for the random sample and controlled property inventories are identical. For most fields, use a yes or no entry that is abbreviated "Y" or "N". A few fields, such as the Remarks/Condition field, allow you to enter text.

Column 1 – Location

This is the physical location of the object.

Column 2 – Catalog Number

This is the object's catalog number.

Column 3 – Number In Use

This column shows whether the catalog number is in use.

Note: If the catalog number isn't in use, leave the other fields blank.

Column 4 – Controlled Property

This column shows whether the object is controlled property. Refer to question A.8 in this section of the chapter for a definition of controlled property.

Note: Deaccessioned objects should not be controlled property.

Column 5 – Object Found

This column shows whether you found the object or group of objects corresponding to the catalog number.

Note: Enter a Y (yes) for deaccessioned objects since you have accounted for these objects.

Column 6 – Record Found

This column shows whether you found the catalog record for the object.

Column 7 – Location (Blue)

This column shows whether the location on the blue paper copy of the catalog record is correct.

Note: Leave this field blank if you're using the electronic record in place of the blue paper record.

Column 8 – Location (ANCS+)

This column shows whether the location on the electronic copy of the catalog record is correct.

Note: Leave this field blank if you're using the blue paper record in place of the electronic record.

Column 9 – Other Data OK

This column shows whether the information on the museum catalog record is complete and accurate.

Column 10 – Damaged

This column shows whether you observe any damage or deterioration to the object.

Column 11 – Object/Specimen Name

This is the name of the object.

Column 12 – Remarks/ Condition

Enter any remarks or notes on condition in this column.

D. Accessions Inventory

1. *When do I need to conduct an accessions inventory?*

If…	***Then…***
the entire collection is cataloged,	don't complete an accessions inventory.
the only uncataloged objects in the collection are from accessions that you received within the last year,	don't complete an accessions inventory.
you have uncataloged collections from accessions you received before the last inventory,	you must complete an accessions inventory.

2. *Is the accessions inventory a random sample inventory?*

Yes. When you enter the highest accession number in use, the AIP generates a random sample of accession numbers. If you have fewer than 250 accessions, the AIP will list all the accession numbers.

The accessions inventory is a substandard level of accountability because the property is not cataloged.

3. *Where do I find the accession documentation that I'll need for the inventory?*

Use the accession book, the ANCS+ accession record, and the accession folder to find accession documentation. Also refer to previous annual inventories for these data.

4. *What if an accession on the inventory is fully cataloged?*

Fully cataloged accessions appear in the random sample accessions inventory. This is because the program needs all your accession numbers to run a statistically valid sample. You must verify the accession documentation for fully cataloged accessions, but you don't need to check the objects.

5. *What if an accession has both cataloged and uncataloged objects?*

Inventory only the uncataloged objects. Don't inventory the cataloged objects as part of the accessions inventory.

6. *How do I conduct an inventory if the accession information is not specific?*

You can only conduct the accessions inventory to the level of detail given in the accession record. If the accession information doesn't include a list with the number and type of objects, make a list at the time of inventory. Date the list, and file it in the accession folder. It will allow future inventories to be more precise.

If the accession records shows…	***Then you would check for…***
2 dinner forks	2 dinner forks
5 boxes of archeological material	5 boxes that have an unspecified amount of archeo-logical material
types of objects, such as military gear or household goods	an unspecified amount of military gear or household goods

7. *How do I conduct an inventory of extremely large accessions?*

Do a spot-check of the objects in the accession to see if the objects match the accession information. Use the most detailed object list available. You can spot-check a large accession by doing a random sample of the objects in the accession. For example, you could check every tenth object in the list.

E. Completing the Accessions Inventory

1. *How do I complete the accessions inventory?*

You must complete the accessions inventory using the Automated Inventory Program in ANCS+. Refer to Appendix F: Automated Inventory Program in the *ANCS+ User Manual* for specific information on completing the inventory fields.

2. *What are the data fields for the accessions inventory?*

The data fields for the accessions inventory include:

Column 1 – Location

This is the physical location of the accession. This entry is optional.

Column 2 – Accession Number

This is the number of the accession.

Column 3 – Number in Use

This column shows whether the accession number is in use.

Note: If the accession number isn't in use, leave the other fields blank.

Column 4 – Record Found

This column shows whether you found the accession records for the accession.

Accession records include an:

- entry in the accession book, *and*
- accession folder with the required documents from Chapter 2: Accessioning in this handbook

Column 5 – Catalog Status

This column shows whether the accession is:

- not cataloged
- partially cataloged
- fully cataloged
- deaccessioned

Note: If the accession is fully cataloged, leave the other fields blank.

Column 6 – Object Found

This column shows whether you found the object or group of objects corresponding to the accession number.

Report all missing objects in the Remarks/Condition field.

Column 7 – Damaged

This column shows whether you observe any damage or deterioration to the objects in the accession.

Column 8 – Remarks/Condition

Enter any remarks or notes on condition in this column.

F. Submitting the Inventory

1. *Who signs the inventory reports?*

The staff members who conducted the inventory sign and date the inventory after reviewing and verifying it.

The superintendent and the custodial officer must sign and date the certification statements on the cover sheet of Form 10-349. There is a separate cover sheet for each part of the inventory (random sample, controlled property, and accessions).

2. *What happens to the inventory after signature?*

The superintendent must send a copy of the inventory to the regional director. Director's Order #24: NPS Museum Collections Management, states that the regional director:

- certifies that all parks have completed the annual inventory
- sends the certification to the Associate Director, Cultural Resource Stewardship and Partnerships, Attention: Chief Curator, no later than September 30 each fiscal year.

Note: The superintendent must submit a copy of the full inventory for museum property to the regional director. See Director's Order #24: NPS Museum Collections Management.

3. *Do I keep a copy of the inventory at the park?*

The superintendent must keep a copy of the inventory for three years. It is recommended that you keep a copy of the inventory with the museum records for at least five years.

If you have the space, you may want to keep copies of past inventories indefinitely. Past inventories can be very useful references when an object is missing. You may be able to use the inventory to prove when the object was last seen in the collection.

If the inventory has uncovered problems, such as large numbers of losses, keep a complete copy until you have corrected the problems.

G. Inventory Deficiencies and Property Irregularities

1. *What are inventory deficiencies?*

Inventory deficiencies are problems that the inventory uncovers, such as:

- the loss of an object
- incorrect locations
- damage to an object

2. *What happens if there are inventory deficiencies?*

The superintendent is responsible for the accuracy of the park inventory. He/she must correct any problems that the inventory uncovers and reduce the risk of future problems. The superintendent must request that a Board of Survey investigate the loss or damage of museum property. The regional director is the reviewing authority for the Board of Survey.

The park may want to consult the regional/SO curator for advice on correcting problems and reducing the risk of future loss and damage.

Refer to the *Personal Property Management Handbook No. 44* for information on Board of Survey procedures.

3. *What are property irregularities?*

Property irregularities are losses of property that point to serious accountability and management problems. They include:

- evidence of fraud or falsifying records
- large numbers of damaged or lost objects
- losses of a suspicious nature

Property irregularities are most likely to come to light during the annual inventory.

Refer to the Interior Property Management Regulations (IPMR 420 DM 114-60.811) and the *Personal Property Management Handbook No. 44* (Section 8.24) for information on property irregularities.

4. *What happens if the inventory uncovers property irregularities?*

Property irregularities require an additional investigation beyond a Board of Survey. The Board of Survey reports evidence of property irregularities to the superintendent. The regional director reviews the board's findings and directs the superintendent to take immediate corrective action. This may include a 100% inventory of the collection.

The regional director must send a description of any property irregularities and corrective actions to the Associate Director, Cultural Resource Stewardship and Partnerships, Attention: Chief Curator.

5. *Who investigates property irregularities?*

After reviewing the findings of the Board of Survey, the regional director or Director may call for an investigation by:

- field or Washington office staff, *or*
- the Department of the Interior Office of the Inspector General (OIG)

H. Spot-Check Inventories and Audits

1. *Who conducts a spot-check inventory?*

The regional director and the Associate Director, Cultural Resources, can request spot-check inventories. They may periodically request their staff to do sample spot-checks of park museum collections and records.

2. *What is a spot-check inventory?*

A spot-check inventory involves two parts. The person conducting the spot-check will choose a small sample of objects and unrelated catalog (or accession) records. You must then:

- produce the corresponding catalog (or accession) records for the objects
- locate the corresponding objects for the records

A spot-check inventory may also involve a spot-check of the most recent annual inventory for accuracy.

3. *What happens if a spot-check uncovers deficiencies?*

The staff conducting the spot-check will report any serious deficiencies or property irregularities to the regional director. He or she will direct the superintendent to take corrective action.

4. *Who conducts a museum property audit?*

If requested by the NPS, the OIG will perform audits of park museum collections. The Inspector General may also call for an audit whenever he/she determines the need for one.

5. *What happens to audit reports?*

The OIG sends audit reports to the Director. The Director forwards these reports to the appropriate regional director, who must review the audit and submit a program for corrective action, if necessary. The Inspector General tracks the program until the NPS accomplishes any necessary corrective action.

Section II. Documenting Object Location

A. Overview

1. *Why is it important to document location?*

Documenting the physical location of an object is an important part of cataloging. You need to know the location of objects in the collection to be able to access and care for them.

2. *Who is responsible for documenting object location?*

The staff person responsible for the museum collection must maintain current physical location information for all objects in the collection.

B. Documenting Current Location

1. *Where do I document current location?*

Document current location on the catalog record. Enter the current location in the Object Location field in ANCS+. Enter changes in location for manual, paper records in pencil in the Object Location field.

2. *Why is it important to be consistent in entering location?*

Entering location information consistently in ANCS+ allows you to quickly find the information and create reports on object location. The location should be specific, so that you can easily find the object.
Refer to the *ANCS+ User Manual* for instructions on completing the Object Location field.

Note: Using letters and numbers to identify location areas can help you keep consistent location data. You may want to keep a map of each structure that has museum collections. Identify each room or area by a letter and/or number, including exhibit cases. In storage areas, you may want to keep a map of each storage unit, such as cabinets and cases. Identify each unit by a letter and/or number. Post the map in the storage area. Include location maps as part of your site-specific cataloging guidelines.

3. *What is a location file?*

A location file gives catalog data for objects at a particular location within the park. This electronic or manual file may consist of:

- copies of catalog records arranged in numerical order by catalog number
- an ANCS+ or computer generated report of catalog numbers (and other pertinent data) for each location (index the report on object location and catalog number)

A location file can be especially useful for parks with:

- furnished structures (the file provides a record of furnishings by room)
- large collections housed in several structures (the file shows the objects in each location)
- exhibits with multiple exhibit cases

Use of a location file is optional.

C. Documenting Location Changes

1. *How do I document location changes?*

You must note any changes in object location. Develop a system for documenting location changes as they occur. Update the object location field in ANCS+ and location files as needed.

Note: ANCS+ will track changes in location. You can also do mass location updates in ANCS+. For tracking location changes, refer to the instructions on saving a record in Chapter 2 of the *ANCS+ User Manual*.

Refer to Section X of Chapter 3 in the *ANCS+ User Manual* for information on the Location supplemental record and mass location updates.

2. *How do I document temporary location changes?*

When you temporarily remove an object, you can mark the location with an Object Temporary Removal Slip, Form 10-97 (Figure 4.4). It gives you a visual reminder of an object's location and removal. It's especially useful in exhibits and furnished rooms as a reminder to staff. Use of this form is optional. The form includes:

- catalog number
- permanent location
- purpose for removal
- temporary location
- who removed the object
- the date the object was removed

You can print Form 10-97 from ANCS+.

Use a separation sheet for archival and manuscript collections. See Appendix D in this handbook for an example.

Section III. Reporting Loss of Museum Objects

A. Overview

1. *Who is responsible for reporting the loss of museum objects?*

The staff person who is responsible for the museum collection must:

- report losses to a park law enforcement officer and the accountable officer as soon as possible
- document the loss
- document the circumstances surrounding the loss

2. *What is the definition of "loss"?*

The term "loss" means traumatic and total loss:

- theft
- destruction
- disappearance

It doesn't refer to losses of integrity (breakage, fading, infestation, or other deterioration) or the deliberate deaccession of objects.

3. *Where can I learn about prevention of loss?*

Refer to *MH-I*, Chapter 9, Security and Fire Protection, and Chapter 10, Emergency Planning.

4. *Where can I find the procedures for investigating a loss?*

Procedures for investigating a loss follow:

- Director's Order #9: Law Enforcement Program and the Law Enforcement Reference Manual (RM-9)
- *Personal Property Management Handbook No. 44*
- Interior Personal Property Management Regulations (IPMR 410 DM 114-60)

There may also be park-specific and regional procedures for investigating losses.

B. Discovering Loss

1. *Who usually discovers a loss?*

Staff conducting the annual inventory most frequently discover losses. You may also receive loss reports from housekeepers, security personnel, or interpreters. These staff may notice something missing when they make their customary rounds.

2. *What should I do first upon discovery of a loss?*

Search the area to see if the object has been misplaced in a nearby location. If you can't locate the object:

- make a copy of the Museum Catalog Record (Form 10-254)
- gather any additional information that might be useful, such as additional information in ANCS+ or the catalog folder
- locate any available photographs or other images of the object

Give this information, along with a verbal report of the loss, to a park law enforcement officer. At some parks, there is a designated law enforcement officer who is responsible for the museum collection.

3. *When should I report a loss to a law enforcement officer?*

If you are unable to locate an object after a complete search, contact a law enforcement officer. This should be as soon as possible after discovery of the loss. A delay may jeopardize your ability to reclaim the object if it is later found. Provide the officer investigating the loss with all relevant museum records, including accession and catalog information.

Conduct a search for the object with the law enforcement officer and, if possible, the person who reported the loss. Use a catalog record and photograph, if available, to aid in identification.

C. Reporting Loss

1. *How do I report a loss?*

If the search for the object is unsuccessful, the law enforcement officer must complete a Case Incident Record, Form 10-343, or equivalent. Be sure to get a copy as well as the case number.

Note: The case incident record should show that the missing object is museum property. Attach a copy of the catalog record and any other pertinent data from the catalog or accession folder to the report.

2. *How do I document a loss?*

Change the Object Status field on the catalog record to Missing. Enter the year that you discovered the loss in the Status Date field. Place copies of the case incident record and all other documentation relating to the loss in the appropriate accession folder.

3. *What if the object is found?*

Change the Object Status field from Missing to the appropriate entry, such as Storage or Exhibit. Note the disappearance and recovery of the object on the catalog record or in the accession folder. Assess and record the condition of the object upon its return.

4. *What if the object is not found?*

Start the process of deaccessioning the object if you can't find it within thirty days after reporting its loss. Complete a Report of Survey, Form DI-103 (Figure 4.5). A Board of Survey must review the DI-103. Refer to Chapter 6, Deaccessioning, in this handbook and the *Personal Property Management Handbook No. 44*.

5. *How do I report stolen museum collections to outside agencies?*

Notify NPS and local law enforcement authorities before contacting outside agencies.

The more widely you report a loss, the better chance of its recovery. In some jurisdictions, the local police will report crimes to the FBI and to Interpol. You may have to notify all other agencies and offices. Refer to the following list in the event of a theft or other criminal loss of museum objects.

Agency/Office	Comments
National Stolen Art File **Federal Bureau of Investigation** IT/GRCU Room 5096 935 Pennsylvania Ave, NW Washington, D.C. 20535 Tel: 202 -324-6668 Web Address: <www.fbi.gov/majcases/arttheft/art.htm> Report all information through local FBI office.	• Investigates theft of cultural property valued over $5,000 (fine art, gems, and coins over $2,000) and when interstate commerce is suspected • Stolen and recovered property listed on-line • Art Theft Link: <www.saztv.com/page11.html> - includes a listing of databases of stolen art - lists information on stolen books, manuscripts, musical instruments, artifacts, fossils, and other materials - lists contact information for art detectives, security consultants, art loss register, and insurance

Agency/Office	Comments
INTERPOL U.S. Department of Justice INTERPOL U.S. National Central Bureau Washington, D.C. 20530 INTERPOL's home page: <www.interpol.int/> Cultural Property Program, INTERPOL-USNCB US. Department of Justice Washington, D.C. 20530 Tel: 202- 616-6769 Fax: 202- 616-8400 INTERPOL's stolen cultural property home page: <www.usdoj.gov/usncb/culturehome.htm>	• fine art, gems, and coins thought to be transported internationally • stolen and recovered property listed on-line • publishes "Stolen Property Notice" monthly, and "Twelve Most Wanted" to 135 countries plus 15 addresses in the US
American Philatelic Society Stamp Theft Committee P.O. Box 8000 State College, PA 16803 Tel: 814- 237-3803 Fax: 814- 237-6128 Web Address: <www.stamps.org> for stamp theft: <www.stamps.org/aps/services/defense.htm>	• stamps only • published in *American Philatelist* monthly to 55,000 subscribers • all recovery information requests are shared with police
Art Dealers Association of America 575 Madison Ave NY, NY 10022 Tel: 212- 940-8590 Fax: 212- 940-7013 Web Address: <www.artdealers.org>	• on-line search for catalogs published by members of the ADAA • offers free subscriptions to ADAA Report, a newsletter publicizing current issues regarding art and museums • publishes reports bimonthly for law enforcement agencies, dealers, and major museums (plus 1,000 addresses) • fine art, gems and coins only • stolen and recovered property listed on-line

Agency/Office	Comments
International Foundation for Art Research, Inc. 500 Fifth Avenue, Suite 1234 NY, NY 10110 Tel: 212- 301-7234 Fax: 212- 391-8794 Web Address: <www.ifar.org>	• offers impartial authentication services and information regarding theft and other ethical issues • publishes *IFAR Journal* quarterly, featuring information on art fraud, and art and cultural property law • publishes "Stolen Art Alert" monthly, and "Art Theft Alert" on major thefts
Local Newspaper	• provides press releases and photographs
Society of American Archivists 527 S. Wells St., 5th Floor Chicago, IL 60607-3922 Tel: 312- 922-0140 Fax: 312- 347-1452 Web Address: <www.archivists.org>	• provides information about stolen archival materials through the *American Archivist Journal* and its web site
Special Agent-In-Charge **U.S. Custom Service** P.O. Box 938 Church St. Station NY, NY 10008 Hotline: 1-800-232-5378 Web Address: <www.customs.treas.gov/>	• reports thefts from all states • for exported art • includes listings for other organizations • information available through police organizations
Commanding Officer **NYC Police Department** Special Investigations Division: Major Case Squad 1 Police Plaza New York, NY 10038 212-374-3955	• fine art, gems, and coins only • stolen and recovered property listing indexed • publishes reports bimonthly, for law enforcement agencies, dealers, and major museums • New York City area only
Art Loss Register U.S. Office 20 East 46th Street, Suite 1402 New York, NY 10017 212-297-0941 Fax: 212-972-5091 Web Address: <www.artloss.com>	• maintains database of stolen collectibles • sells the database to museums and auction houses to prevent acquisitions of stolen property

Agency/Office	Comments
Market Alert **Journal of Field Archaeology** Boston University 675 Commonwealth Ave Boston, MA 022215 Tel: 617-353-2357 E-mail : jfa@bu.edu	• excavated archeological material with some documentation • stolen and recovered materials • publishes information quarterly in *Journal of Field Archaeology*
Object ID™ Council for the Prevention of Art Theft The Estate Office Stourhead Park Stourton, Warminster Wiltshire BA12 6QD UK Tel and Fax: +44.1747.841540 Web Address: <www.info@object-id.com>	Promotes crime prevention in the fields of art, antiques, antiquities, and architecture.

Section IV. Reproductions, Living History Items, Exhibition Aids, and Outdoor Exhibits

A. Reproductions

1. *Why are reproductions used in park exhibits?*

A park may acquire reproductions for exhibit for a variety of reasons:

- the park does not have the specific items needed for the exhibit
- original or period pieces are not available
- to protect original objects, such as replacing an original chair with a reproduction to protect the original

2. *What kinds of reproductions does the NPS use?*

Parks use several different types of reproductions in exhibits:

- commercially produced reproductions
- reproductions created for a specific exhibit installation
- reproductions of objects in the park or in another museum's collection

Refer to Chapters 4 and 5 in the *MH-III* for information on two-dimensional and three-dimensional reproductions.

3. *How are reproductions different from objects in the museum collection?*

Although reproductions have monetary and interpretive value, they generally don't have the associative value that would make them important to the park museum collection. However, in certain cases, reproductions may be the only remaining evidence of the original. They may also be inherently valuable themselves, such as the Navajo rug reproductions at Hubbell Trading Post NHS.

4. *Must I accession and catalog reproductions?*

Yes. To provide accountability, you must accession and catalog reproductions into the museum collection. Follow the instructions in Chapter 2 and Chapter 3 in this handbook. Refer to Section Y in Appendix D of this handbook for information on cataloging two-dimensional reproductions.

5. *How do I document commercially produced reproductions?*

Clearly and permanently mark these items as reproductions. Write "reproduction" in an accessible, but not obtrusive, location on all commercially produced reproductions. Refer to Appendix J in this handbook for marking techniques.

If the park purchased the items from a catalog, make copies of the pertinent pages of the catalog. Place the copies in the accession or catalog folder to give further information on the source and the object.

Enter Reproduction in the Reproduction field in ANCS+. Enter "Reproduction acquired for purposes of exhibition" in the Description field in ANCS+.

6. *How do I document reproductions created for exhibit installation?*

Some reproductions are created specifically for exhibit installation, such as furnishings for a general store. Clearly and permanently mark these items as reproductions. Write "reproduction" on the item in an accessible, but not obtrusive, location. Refer to Appendix J in this handbook for marking techniques. Place copies of the documentation about the production of these items, such as plans and specifications, in the accession or catalog folder.

Enter Reproduction in the Reproduction field in ANCS+. Enter "Reproduction acquired for purposes of exhibition" in the Description field in ANCS+.

7. *How do I document reproductions of specific items in a park or other museum's collection?*

These items have been produced from original objects. They are replicas using the same materials and techniques as the original. Use the accession or catalog folder to file documentation about the current location of the original item and plans and specifications for the reproduction. Clearly and permanently mark these items as reproductions. Write "reproduction" on the item in an accessible, but not obtrusive, location. Refer to Appendix J in this handbook for marking techniques.

Enter Reproduction in the Reproduction field in ANCS+. Enter "Reproduction of [catalog number of the original] acquired for purposes of exhibition" in the Description field in ANCS+.

8. *How do I document natural history specimens acquired for exhibit?*

For exhibit purposes, the park may acquire natural history specimens from outside the park's Scope of Collection Statement. For example, a commercial scientific company may supply a beaver from Michigan to a park in the Southwest. If the park purchased the specimens from a scientific catalog, make copies of the pertinent pages of the catalog. File the copies in the accession folder to show the source.

Enter "Specimen acquired for purpose of exhibition" in the Description field of ANCS+.

Note: See Chapter 2 in this handbook for special requirements for acquiring threatened and endangered species. See Chapter 5 in this handbook for special requirements for loaning threatened and endangered species.

9. *Do I manage reproductions differently from museum collections?*

No. Manage reproductions as part of the museum collection, with one exception. Generally, reproductions receive routine approval for consumptive use. However, reproductions that are of high monetary value and/or importance to the collection, or those that replace badly deteriorated originals, should not be consumptively used.

Refer to Section V in this chapter for information on consumptive use.

10. *May I deaccession reproductions at the end of their useful life?*

Yes. Deaccession all cataloged reproductions by following the guidance in Chapter 6 in this handbook. You may determine the disposition of reproductions at the time of acquisition. This will assist staff in making a decision at the end of an object's useful life. You must fully note the recommended disposition in the accession folder at the time of acquisition. Consider the current market value when determining disposition.

Some reproductions, such as curtains and rugs, will wear out in time. If possible, save a small sample of the reproduction. Generally, worn out reproductions will be destroyed through a Board of Survey. Follow the procedures in Section H of Chapter 6 in this handbook.

Don't reuse the catalog numbers of deaccessioned reproductions.

Note: If the original is badly deteriorated, you may want to keep the reproduction.

B. Living History Items

1. *Are living history items part of the museum collection?*

The park will manage original objects and reproductions that it acquires exclusively for living history separately from the museum collection.

No. Living history items are not left on exhibit. Parks must store them in a separate location from the museum collections and manage them according to the personal property system.

If objects on exhibit are also used for living history, you must accession and catalog them and get approval for consumptive use.

Remove living history materials that have been inappropriately accessioned into the museum collection. Refer to Section B of Chapter 6 in this handbook for information on removing non-museum property from the collection.

2. *How does the park document living history items?*

Clearly and permanently mark living history items with the words “Living History.” Mark them in an accessible, but not obtrusive, location. The park should account for living history items through the personal property system. See the *Personal Property Management Handbook No. 44*.

C. Exhibition Aids

1. *What's the difference between reproductions and exhibit aids?*

Reproductions are exact or close imitations of museum objects. Exhibit aids or props are produced or acquired to create an exhibit. Exhibit aids aren't intended to be original or reproduction museum objects. Examples of exhibit aids include:

- exhibit cases and mounts
- molded plastic fruit
- curtain rods (non-historic)
- panels and dioramas
- display panels
- photographs and other display art

2. *Do I need to accession and catalog exhibit aids and props?*

No. Don't accession and catalog exhibit aids and props. In rare cases, you may want to accession and catalog old exhibit material as examples of:

- notable craftsmanship
- park history
- exhibit techniques or interpretive approaches

D. Outdoor Exhibits

1. *Do I catalog objects in outdoor exhibits?*

Yes. Accession and catalog movable objects that are in outdoor exhibits and are not incorporated in a fixed monument. These include cannons, carriages, wagons, farm equipment, and automobiles.

2. *Do I catalog fixed outdoor monuments?*

No. The List of Classified Structures (LCS) defines fixed outdoor monuments as structures. Refer to *Cultural Resource Management Guideline*, Chapter 8, Management of Historic and Prehistoric Structures, for other examples of structures.

Section V. Consumptive Use of Museum Objects

A. Overview

1. *What is consumptive use?*

Consumptive use is the use of museum objects in a way that may damage them or make them deteriorate more quickly. It includes:

- subjecting objects to unacceptable possibilities of wear, breakage, theft, deterioration, or destruction
- destructive and scientific analysis
- use of objects in interpretive programs

Note: Exhibiting objects is not considered consumptive use.

2. *Where can I find NPS guidelines on consumptive use of museum objects?*

The guidelines for consumptive use are in the *Cultural Resource Management Guideline*, Chapter 9, Management of Museum Objects.

Refer to *MH-III*, Chapter 1, Evaluating and Documenting Use, for more information on consumptive use of collections.

Refer to Chapter 6 in this handbook for information on deaccessioning objects that have been entirely destroyed in analysis.

Refer to Director's Order #24: NPS Museum Collections Management.

B. Consumptive Use Approval

1. *Who approves consumptive use?*

The superintendent can authorize in writing destructive or scientific analysis except for rare or highly significant objects, specimens, and archival materials.

The superintendent must send destructive or scientific analysis requests that involve rare or significant objects to the regional director for approval. The regional/SO curator, archeologist, or natural history specialist should review these requests.

The superintendent must send all other requests for consumptive use to the regional director for approval. Refer to the *Cultural Resource Management Guideline* for the specific information that the superintendent must include in the request.

2. *When is consumptive use acceptable?*

Destructive or scientific analysis is a legitimate use of museum collections for approved research purposes. The research purpose must be based on a professional research design that clearly documents the need for the analysis.

Note: New and developing non-invasive technologies for analysis are preferable to analysis that destroys or alters all or part of an object or specimen.

3. *When is consumptive use not acceptable?*

With the exception of destructive or scientific analysis, consumptive use is generally not acceptable for museum collections. In most cases, you should use a reproduction rather than expose objects to unacceptable wear, deterioration, destruction, or loss. In rare instances, the NPS may permit consumptive use of museum objects after careful review and approval.

The superintendent must justify the request for consumptive use by stating to the regional director:

- how the use will benefit the public, increase understanding and appreciation of cultural and natural heritage, or contribute significantly to heritage preservation and protection
- why the park can't use reproductions of the original or a similar object

4. *Are there types of materials for which the regional director won't grant permission for consumptive use?*

Yes. The regional director won't grant permission for consumptive use if the objects are:

- directly connected with or prime survivors from the park's historic periods, events, or personalities
- type specimens or one-of-a-kind natural history specimens
- from systematic archeological collections that have known site provenience or scientific value that hasn't yet been documented
- of scientific interest

Note: The Director may grant an exemption for this material.

There will be no exemptions for the consumptive use of:

- NAGPRA material, unless the affiliated cultural group has approved the use
- original firearms

Section VI. Following Regulations for Cataloging Natural History Specimens

A. Overview

1. *Where can I find information on collection permits for natural history specimens?*

Title 36 of the Code of Federal Regulations, Chapter 1, Part 2, Section 2.5 (Revised 1984) governs collection permits for natural history specimens. 36 CFR 2.5, Research Specimens, outlines specific conditions that govern specimens and related data that are:

- collected on park lands, *and*
- placed in museum collections or on display

In Section 2.5g, the regulation states:

(g) Specimen collection permits shall contain the following conditions:

(1) Specimens placed in displays or collections will bear official National Park Service museum labels and their catalog numbers will be registered in the National Park Service National Catalog.

(2) Specimens and data derived from consumed specimens will be made available to the public and reports and publications resulting from a research specimen collection permit shall be filed with the superintendent.

(h) Violation of the terms and contents of a permit issued in accordance with this section is prohibited and may result in the suspension or revocation of the permit.

Note: The Secretary's regulations on the preservation, use, and management of fish and wildlife are found in 43 CFR Part 24. Regulations concerning archeological resources are found in 43 CFR, Part 3.

2. *How can I help collectors with 36 CFR 2.5 compliance?*

Supply the collector with the NPS requirements, guidelines, and supplies listed in question B.4 of this section.

3. *Who is considered a collector?*

Collectors include outside researchers, contractors, and NPS employees.

B. Documenting Natural History Collections Collected Under 36 CFR 2.5g

1. *Who accessions natural history specimens collected under 36 CFR 2.5g?*

The NPS must accession specimens collected under 36 CFR 2.5g. Assign one accession number to each project, and accession the specimens as a field collection. Refer to Chapter 2 in this handbook for information on accessioning.

The collector must give you information for accessioning the specimens. You must assign an accession number to the collection, and give the number to the collector.

2. *Who catalogs specimens stored in the park or a NPS repository?*

NPS curatorial staff usually catalog specimens stored in parks or NPS repositories. However, the superintendent may add a condition to the permit to make the collector responsible for cataloging.

In most cases, the collector will be responsible for cataloging specimens that go into a non-NPS repository. In some cases the non-NPS repository may be responsible.

3. *Who catalogs collections stored in a non-NPS repository?*

The collection permit should include a statement that the collector must:

- give the park accession information

- catalog the specimens into ANCS+ or in an export format that can be easily imported into ANCS+ (including data for all the mandatory

fields)

- complete the NPS labels for the specimens
- submit copies of all field notes, data, reports, and other records that relate to the specimens and the collecting project

4. *What materials for documenting collections must I give to the collector?*

Before the end of the project, you must give the collector:

- an accession number for the collection
- a supply of appropriate NPS natural history specimen labels or instructions on how to print the labels from ANCS+
- copies of the *MH-II*, Chapter 3, Cataloging; Appendix H, Natural History; and Appendix I, Lot Cataloging
- the *ANCS+ User Manual*, the ANCS+ program, and sample copies of ANCS+ natural history worksheets

5. *Do I have to buy an additional copy of ANCS+ to give to the collector?*

No. Collectors may use a park's ANCS+ site license for work they are doing for the park. Have the collector complete the contractor agreement form that you received from Re:discovery Software, Inc., the vendor for ANCS+. Contact the company at 804-975-3256 if you need a copy of the form.

Make sure that your park purchased a support plan that includes the collector's work station(s). You may have to buy additional support.

A non-NPS repository can keep the ANCS+ software as long as it's storing and managing NPS collections. If the collections leave the repository, the repository must return its copy of ANCS+ to the park.

6. *What fields on the catalog record must the collector complete?*

The collector must complete or supply data for the following fields in ANCS+:

- Classification
- Specimen Name (scientific name)
- Lot Quantification
- Collection Site
- Township/Range/Section **or** UTM Coordinates **or** Latitude/Longitude
- Collector
- Collection Number
- Collection Date
- Identified By and Date
- Formation (for geology)
- Period/System (for geology and paleontology)

- Condition
- Type (if designated)
- Description
- Preservative and/or preparation

The park may require the collector to provide additional information. If the collector is doing the cataloging, he/she will also need to complete the following mandatory fields:

- Accession Number
- Catalog Number
- Cataloger
- Controlled Property
- Location
- Object Status
- Status Date

Refer to Chapter 2 in the *ANCS+ User Manual* for information on the catalog fields for natural history specimens.

7. *May I release catalog numbers to the collector?*

Yes. You may release catalog numbers for use with the project if the collector:

- provides a list or estimate of items to be cataloged
- has knowledge of the NPS cataloging system

Don't release catalog numbers before the field collecting activity takes place.

Track the catalog numbers that you issue for each accession. Include lists of catalog numbers and object names in the appropriate accession folders.

Follow up to make sure that the collector has:

- used all the numbers
- properly assigned the numbers to objects
- entered catalog records into ANCS+ or in an export format for import into ANCS+

8. *Who is responsible for cataloging the field records?*

The park is responsible for cataloging field records. Refer to Chapter 2 in the *ANCS+ User Manual* for information on cataloging archival collections.

Note: The collector might not turn the field records over to the park until he/she has published or produced a final report. This may take several years. The park should track outstanding field records until the collector turns them over to the park.

Refer to Chapter 2 in this handbook for information on copyrights and field records.

9. *Who is responsible for monitoring the accuracy of the records?*

The collector should send the completed electronic database to you for review. The contract should state that the collector must make corrections or changes to the database based upon your review. It's a good idea to review the database at intervals so that you can catch problems early.

10. *What documentation must the collector submit to you?*

The collector must submit:

- approved electronic copies of the catalog records (if the collector is required to catalog the specimens as a condition of the permit)
- original or reproducible copies on archival quality paper of all field notes and reports (see question 8 above)

Note: When the park submits the records to the National Catalog, the National Catalog will print paper copies of the catalog records at the park's request. The collector may print paper copies of the catalog records, but printing paper records is optional.

11. *Who prepares the NPS natural history labels and marks the specimens?*

If the collection is going into a non-NPS repository, the collector prepares the NPS natural history labels and marks the specimens. The collector is responsible for adding accession and catalog numbers to the labels and marking the specimens with the catalog number. See Appendix J in this handbook for marking techniques. Appendix H of this handbook has information on natural history labels.

Use the field collection number as a reference until the collector marks the catalog number on the specimen. The field specimen number is on the specimen and the accession and catalog records.

Note: If the collections are going into a NPS repository or a park, NPS staff complete the labels and mark the specimens.

C. Natural History Collections on Loan to Non-NPS Repositories

1. *When do I place a natural history collection on loan to a non-NPS repository?*

Many collectors will want to move the collection to their institution at the end of the field collecting period. You may place collections on outgoing loan to a non-NPS respository. If the specimens have not been cataloged, list specimens by accession number and collecting number or groups of similar specimens. Find out the size of the collection. Tell the collector that you will prepare a complete list of specimens for the loan agreement after the collection is fully processed. Follow the procedures for repository loans in Chapter 5 of this handbook. Make arrangements for the collector or non-NPS repository to process and catalog the specimens.

2. *Am I responsible for monitoring the loan?*

Yes. You must periodically monitor the condition of the collections at the borrowing repository. You may supply the borrowing institution with copies of the *MH-I*, Museum Collections.

You will also monitor collections on loan through the annual inventory. See Section I of this chapter and Appendix F in the *ANCS+ User Manual* for information on the annual inventory.

Section VII. Buying Insurance for Borrowed Objects

A. Overview

1. *Why do I need to insure museum objects that I borrow?*

Non-federal museums, private owners, and state or local agencies generally require insurance coverage as a condition for a loan. Insurance is a means of financial compensation if loss and damage occur from unexpected causes. These include fire, smoke, water, flood, vandalism, theft, or shipping damage.

Insurance is not a substitute for good collections management.

2. *Do I need to insure items left at the park for identification?*

No. Generally you don't insure items if they are left at the park for the benefit of the owner. But if the owner could show that government negligence resulted in loss or damage, the owner could file a tort claim. It is wise not to take custody of such items in the first place.

3. *Do I need to insure property of the United States Government?*

No. The U.S. Government assumes its own risks. You don’t need to insure your park’s collection. You don't need to insure museum collections you borrow from other parks or from other government agencies unless the agency requires insurance.

Note: This doesn't apply to Smithsonian Institution collections that are held in trust by the Institution for the general public (20 USC 41). Smithsonian loan agreements require one of the following:

- insurance to be carried by the Smithsonian and the premium billed to the park

- insurance to be carried by the park
- insurance waived if the park agrees to indemnify (financially back) the Smithsonian for any and all loss or damage to the objects

The last option is unacceptable for the NPS. Government employees aren't authorized to obligate government funds in advance of appropriations (31 USC 665a, 35-CG-85). It's most convenient for you to use the Smithsonian Institution policy. Refer to question B.3 in this section. Consult with the registrar of the appropriate Smithsonian Institution museum for additional information.

4. *What is a tort claim?*

A non-federal owner of an uninsured museum object that's lost or damaged while in NPS custody can file a tort claim against the government for the cost of replacement. To receive a monetary judgement, the plaintiff must prove that the government was negligent or committed a wrongful act. Tort claim procedures are described in the Federal Tort Claims Act (28 USC 2671-2680, as amended).

It's in the lender's best interest to require insurance coverage for borrowed material rather than rely on a tort claim. Tort Claims Act coverage isn't insurance. An insurance policy keeps the lender from filing a tort against the government to recoup losses on damaged or lost museum collections.

B. Buying Insurance

1. *Can the NPS buy insurance?*

Yes. As a result of two Comptroller General decisions (17-CG-55 and 42-CG-392), you can buy insurance when non-federally owned property is in NPS temporary custody. "Where privately owned property is temporarily entrusted to the custody of the Government for public purposes, the cost of insuring such property may be paid from applicable appropriations." (17-CG-55)

You can either use the lender's policy or buy private insurance.

2. *Who pays for the insurance?*

You, as the borrower, are responsible for paying insurance costs unless explicitly agreed to otherwise in writing. Whether you use the lender's policy or buy private insurance, you'll need to submit a requisition for the premium amount.

You can also have your park cooperating association pay the premium. If the association pays the premium, the policy must list the park as the insured.

The value of the insured property may increase over time and the insurer may raise the insurance premium yearly. You will have to budget for these increases. Regularly review the values of the items on loan to make sure they reflect current market value. If you have any questions, contact the regional/SO curator.

3. *How do I use the lender's policy?*

If you use the lender's insurance you'll be billed the premium costs for the loan period. Be sure to:

- get a waiver of subrogation from the insurance company, *or*
- have the park named as an additional insured in the lender's policy

4. *What is a waiver of subrogation?*

Subrogation is a clause in an insurance policy that allows the insurer the rights to any possible legal action. A waiver of subrogation is an assurance by the insurer that it won't subrogate against a third party. If you don't have a waiver of subrogation, the insurance company can recoup its losses by suing the park as a third party. Without a waiver of subrogation, the insurance company could pay the lender and then claim compensation from your park.

The insurance policy should state that the company won't attempt to recover any loss from:

- your park
- any other institution borrowing the covered museum property

5. *What is a certificate of insurance?*

If you're using the lender's policy, you can get a certificate of insurance with the United States and your park named as additional insureds. This puts the park in the same category as the original holder of the policy. The park has to follow the terms of the lender's policy. Put a copy of the policy terms and the certificate of insurance in the loan or accession folder. Send a copy of the documents to your contracting officer.

6. *How do I buy an insurance policy to cover the items I borrow?*

You can arrange with an insurance company to buy museum collections insurance for the items you borrow. Look for a company or agent with experience in insuring museums or fine arts. You'll be billed for the premium costs for the period of the loan. Make sure the policy you buy is a "museum collections policy" as listed in the *Fire, Casualty and Surety Bulletins* (specialty lines Section Fa-1) published by the National Underwriters Company.

Don't get a fine arts dealers policy because the coverage is not as comprehensive as museum collections insurance.

C. Insurance Policies

1. *What standard features must an insurance policy include?*

Make sure the policy you buy for the objects you borrow includes these standard features:

- ***Limits of Liability***

  The policy outlines the limits of liability. They refer to the:

  - maximum amount of coverage the insured (individual or organization) can collect, *or*

- the maximum amount to be paid out in the case of loss or damages

The limits of liability should correspond to the actual dollar values of the museum objects shown on the loan agreement. Liability limits established at less than the total value could result in problems for the park in the event of loss or damage.

- ***Wall to Wall Coverage***

  The policy must include a clause that shows protection for objects is "wall to wall" or "nail to nail." This means that property is covered from the time it leaves its normal repository until it's returned. The policy will be in effect during packing, shipping, temporary storage, and during the period of the loan.

- ***Perils Insured***

  All policies should be "All-Risk." This means the insured is protected against all loss or damage arising from an external cause. The policy must list any specific exclusions for which the insurer won't pay damages.

- ***Exclusions***

  Exclusions are circumstances for which the policy will deny coverage. The policy must spell out all exclusions. Make sure you understand what they are.

  Standard exclusions are:

  - normal wear and tear (damage caused by usual day-to-day handling)
  - gradual deterioration (the effects of time)
  - insects, moths, and rodents
  - inherent vice (a quality in an object which causes it to deteriorate or destroy itself)
  - damage due to or resulting from repair, restoration, or retouching
  - nuclear reaction, radiation, or radioactive contamination
  - insurrection and war
  - government confiscation

You can negotiate to remove standard exclusions if a particular exclusion is not advantageous to the park. This may involve additional expense. If you do negotiate the additional coverage, make sure it's noted on the loan agreement.

- ***Waiver of Subrogation***

  Any insurance policy that you purchase to cover museum collections that you borrow should include a waiver of subrogation for other museums. Museum insurance policies should include this waiver as a courtesy to maintain trust between institutions.

  Refer to question B.4 in this section for information on a waiver of subrogation.

- ***Valuation***

  The lender usually places the monetary value on the museum objects in the loan. However, you need to make sure that the insurance value is reasonable. You and the lender must agree on the dollar amount before signing the loan agreement. The value should be the same as the fair market value at the time of the loan.

  Insurance coverage should not be less than the amount noted in the loan agreement.

  Note that the value of the insured property may increase over time. The insurer may also raise the insurance premium yearly.

- ***Claims***

  The policy should have procedures for handling claims. These include information on who you should notify after a loss and how soon after a loss you should notify them. Don't accept a requirement that notice of loss must be made immediately after loss or damage occurs. Substitute the phrase “as soon as practical.”

- ***Deductibles***

  Don't accept a deductible when insuring borrowed objects. Insure the full value of the object to protect the park and the lender in the event of loss. Deductibles are a feature used to cut costs. Museums commonly use them to insure permanent collections but don't use them for loans.

- ***Buy back provision***

  The policy should include a “buy-back” provision. This allows the insured to buy back a lost or stolen item that is recovered after the claim has been paid. It is the right to buy back the item from the insurance company.

  Insurance companies are flexible in meeting the needs of potential customers. Don’t hesitate to ask a company to add the provisions that you want.

2. *Do I need to update an existing insurance policy?*

Review insurance arrangements for current loans at the time of renewal to determine if there is proper coverage. Update the policy if necessary.

Section VIII. Completing the Collections Management Report

A. Overview

1. *What is the Collections Management Report?*

The Collections Management Report (CMR) gives information on the size of your museum collection and collection activity during the fiscal year. The report tracks accessions, deaccessions, cataloging, and use of collections.

2. *What is the purpose of the CMR?*

The CMR allows you to see changes in your collection from year to year. It assists the regions and the Washington office in measuring program activity and managing collections. The NPS and Department of Interior (DOI) use CMR numbers to produce Servicewide statistics and departmental reports on museum collections. The NPS has successfully used CMR statistics to justify requests for funding to complete the cataloging backlog. The CMR also supplies the numbers for Government Performance and Results Act (GPRA) reporting on Strategic Plan Goal Ib2D. The goal is to increase the number of NPS museum objects that are cataloged.

3. *Who completes the CMR?*

The staff person responsible for the museum collection completes a CMR each fiscal year.

4. *When is the CMR due?*

You must complete your CMR at the end of each fiscal year. The fiscal year runs from October 1 through September 30.

You must submit an electronic copy of your CMR to the Museum Management Program (MMP) in Washington by November 1.

5. *How do I complete the CMR?*

You must complete the CMR using ANCS+. Refer to Appendix E in the *ANCS+ User Manual* for instructions on using the program. If your previous year's CMR is accurate, and you keep your databases up-to-date, ANCS+ produces an accurate CMR for you.

6. *What's the relationship between the CMR and GRPA?*

Strategic Plan Goal Ib2D measures the number of items entered into ANCS+ and submitted to the National Catalog. The certified data for Goal Ib2D, which is reported in compliance with GRPA, comes directly from the CMRs that parks and centers submit. The certified data are the number of objects cataloged. The number comes from your CMR, Section III, Part A: Total Objects Cataloged plus the number of objects that centers have cataloged during the fiscal year for your park. This is the park's certified data for Goal Ib2D.

B. Reporting Center Collections

1. *Does the CMR include the objects I have at NPS centers and non-NPS repositories, such as universities?*

Yes. Your park CMR represents your entire collection. Your park CMR shows all the museum objects that your park owns, including those that aren't physically located at the park.

If you have collections at NPS centers, the CMR that the park prepares doesn't include the current fiscal year's cataloging and other activities, such as research use, that the center has managed for your park. The MMP will send the park a summary report that includes this activity.

Note: You should have loan agreements for the objects at other facilities. Refer to Chapter 5 in this handbook for information about repository loans.

2. *Who completes the CMR for the collections I have at NPS centers?*

NPS center staff complete a CMR for each park collection at the center. The centers complete these reports each fiscal year and submit them to the MMP. Center CMRs represent only the portion of the park collection that is on loan to the center. The center report for your park tells you the number of cataloged objects, the catalog backlog, and the collection size for those park items on loan to the center. It also tells you the number of objects that the center cataloged for your park during the fiscal year.

Note: Don't double report cataloging. The park report should show only the fiscal year cataloging done at the park. Don't add the center's fiscal year cataloging to your CMR. The center's cataloging appears on the center's CMR for your park. The MMP completes a park summary report that combines the cataloging totals and sends it to the park.

3. *Who completes the CMR for collections I have at non-NPS repositories?*

In 1994, the Interior Museum Program did a survey of non-federal repositories that hold federal collections. Your region received the results of this survey with its summary CMR for FY 1999.

If…	***Then…***
your park has museum items in a non-federal repository,	you should contact the institution and include the items in your park CMR.
the non-federal repository supplies extensive collections management services to your park that includes the use of ANCS+,	you may submit a separate CMR for that institution.

Note: If the repository completes the report, it must send the CMR to you for submission.

4. *Do I need to combine a center or repository CMR with my park CMR?*

No. If the center or repository that submits a CMR cataloged collections for your park, the MMP will create a summary report for your park. The summary report combines the number of items the center cataloged during the fiscal year with the number of items the park cataloged. The MMP will send the summary CMR back to you. The MMP also produces summary reports for centers, clusters, and regions, and a Servicewide summary.

5. *What do I do with the summary report for my park?*

The MMP will send an electronic copy of the summary report directly to your park.

> ***When you receive your summary report, upload it into ANCS+ to update your baseline cataloging data. You must do this before running your next CMR.***

C. CMR Program

1. *What does the CMR program do?*

The CMR program in ANCS+ will:

- extract your last year's CMR data
- extract the current fiscal year's data from ANCS+
- allow you to adjust the data
- total your data
- maintain your CMR data from previous years
- print the CMR, Form 10-94 Rev. (Figure 4.6)
- allow you to submit the CMR files electronically

2. *Will running the CMR program change any of my ANCS+ data?*

No. The CMR extracts information from existing records but doesn't modify them. You can't change your records from the CMR. You must go to the appropriate database to make changes to your data.

3. *What if I have different collections within my park?*

The CMR allows you to extract data from different directories. You can run individual reports for each park collection that you manage. You can also run one report that combines the data for all the collections at the park under one acronym.

4. *What is the structure of the CMR?*

The CMR has three sections:

- Section I. Total Collection Summary From Previous Year (this should be your previous year's CMR data or the data that you uploaded from your park summary report)
- Section II. Collection Summary For Fiscal Year, which has four parts:
  - A. Accessions
  - B. Deaccessions
  - C. Cataloging
  - D. Use of Collections
- Section III. Total Collection Summary For All Years

5. *How does the CMR program count cataloged objects?*

The CMR program counts objects in three ways. The program:

- counts the number of individual items if an exact item count is available
- counts bulk units, such as boxes or bags, as one item, if an exact item count isn't available
- multiplies the number of linear or cubic feet by 1600 to get an item count for archival collections

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D. Completing the CMR

1. *What are the steps in completing the CMR?*

To complete the CMR:

- Enter the park, year, and directories for the report you're creating, and have the program extract the data for the report.
- Adjust the numbers from the previous year's CMR, if needed.
- Review the numbers that the program has extracted in the various sections of the report. Make adjustments and add explanations as needed.
- Enter the information on who completed the report.
- Print the report and have the superintendent sign it. File the signed copy.
- Submit an electronic copy of the report by November 1 to the Museum Management Program.
- Update the CMR if you receive a park summary from the MMP.

Note: Specific instructions for completing these steps are in Appendix E of the *ANCS+ User Manual*.

2. *How does ANCS+ create my CMR?*

ANCS+ uses the numbers you reported on last year's CMR (or your summary CMR) as its baseline. The program then adds the numbers for transactions such as new accessions, deaccessions, and cataloging to those totals.

3. *Why would I need to make adjustments to my CMR?*

There are many reasons to make adjustments to your CMR. For example, you might need to adjust accession numbers if you incorrectly estimated the number of items in an accession. It's important to add notes that explain why you made the adjustments.

4. *What do I do if I think the data in my CMR are incorrect?*

ANCS+ has several verification reports that you can run to see how the program pulled the numbers for your report. Run the reports, and then adjust your data as needed, or make changes to your database and rerun the CMR. You may need some of the following information to assist you in verifying your data:

- previous year's CMR
- previous year's CMR from centers or your park summary report that includes center data
- park accession book
- park deaccession book or files (if your park uses these)
- catalog number log book (if your park uses one)
- outgoing loan records
- researcher access records

5. *What are the data fields in Section I of the CMR?*

The fields in Section I of the CMR show the data from your previous year's CMR. The fields are divided by discipline: archeology, ethnology, history, archives, biology, paleontology, and geology.

Objects Cataloged

This field includes the total number of cataloged items and the number of items cataloged by discipline. You can make adjustments to this field.

Catalog Backlog

This field includes the total number of items that need to be cataloged and the number of items that need to be cataloged by discipline. You can make adjustments to this field.

Total Collection

This field includes the total number of items in the park's collection and the total number of items in each discipline. The program automatically tallies the totals.

Notes

Use this field to enter explanations for adjustments you make.

Note: Section I of your current year's CMR should be the same as Section III of your previous year's CMR. Changes you make on your current CMR won't change your previous year's CMR. To make changes on your previous year's CMR, you must go to the report in ANCS+, modify it, and save it. If you make modifications, be sure to resubmit the CMR.

6. *What are the fields in Section II.A of the CMR?*

The fields in Section II.A of the CMR record the number of items you accessioned during the fiscal year of the report.

Objects Accessioned (By Acquisition Type)

This field includes the total number of items that you accessioned and the number of items you accessioned by acquisition type. The acquisition types are: gift, exchange, purchase, field collection, transfer, and incoming loan. The program automatically tallies the totals. You can make adjustments to this field.

Notes

Use this field to enter explanations for adjustments you make.

Objects Accessioned (By Discipline)

This field includes the total number of items that you accessioned and the number of items you accessioned by discipline. The acquisition types are: gift, exchange, purchase, field collection, transfer, and incoming loan. The program automatically tallies the totals. You can make adjustments to this field.

Notes

Use this field to enter explanations for adjustments you make.

Note: The total number of items accessioned by acquisition type must equal the total number of items accessioned by discipline.

7. *What are the fields in Section II.B of the CMR?*

The fields in Section II.B of the CMR record the number of items you deaccessioned during the fiscal year of the report.

Objects Deaccessioned (By Deaccession Type)

This field includes the total number of items that you deaccessioned and the number of items you deaccessioned by deaccession type. The deaccession types are: exchange, transfer, loss, theft, loan return, NAGPRA, conveyance, involuntary destruction, voluntary destruction, return to rightful owner, and destructive analysis. The program automatically tallies the totals. You can make adjustments to this field.

Notes

Use this field to enter explanations for adjustments you make.

Objects Deaccessioned (By Discipline)

This field includes the total number of items that you deaccessioned and the number of items you deaccessioned by discipline. The disciplines are: archeology, ethnology, history, archives, biology, paleontology, and geology. The program automatically tallies the totals. You can make adjustments to this field.

Notes

Use this field to enter explanations for adjustments you make.

Note: The total number of items deaccessioned by deaccession type must equal the total number of items deaccessioned by discipline.

8. *What are the fields in Section II.C of the CMR?*

The fields in Section II.C of the CMR record the number of items you cataloged during the fiscal year of the report.

Objects Cataloged

This field includes the total number of items you cataloged and the number of items you cataloged by discipline. The disciplines are: archeology, ethnology, history, archives, biology, paleontology, and geology. You can make adjustments to this field.

Notes

Use this field to enter explanations for adjustments you make.

Note: Include only those records that you will be submitting for this fiscal year to the National Catalog. To qualify as new cataloging, this must be the first time that you submitted the records.

9. *What are the fields in Section II.D of the CMR?*

The fields in Section II.D of the CMR record information about use of the collection.

Total Number of Outgoing Loans

This field shows the total number of outgoing loans that were active during the fiscal year. You can make adjustments to this field.

> ***Include all loans to NPS centers and non-NPS repositories. You should have a loan agreement for any items that aren't located at the park.***

Total Number of Objects in Outgoing Loans

This field shows the number of objects in outgoing loans during the fiscal year. You can make adjustments to this field.

Total Objects in Exhibits

This field shows the number of objects on exhibit during the fiscal year. You can make adjustments to this field.

Total Number of Research Requests Within Park

This field shows the total number of research requests that park staff made during the fiscal year. Include all inquiries about the collection.

Total Number of Research Requests From Outside Park

This field shows the total number of research requests that outside researchers made during the fiscal year. Outside researchers include anyone from outside the park, such as the general public, scientists, scholars, teachers, students, and journalists.

Note: The number of research requests is important. You can use these numbers to justify the need for museum staff to handle the requests. The MMP submits these numbers to DOI and Congress to show the amount of research being done using NPS collections.

Notes

Use this field to enter explanations for adjustments you make.

10. *What are the fields in Section III of the CMR?*

The fields in Section III of the CMR show the most current data for your collection. The program automatically tallies the data for this section from the data in Sections I and II. You can't make adjustments to the data in this section. If you need to adjust the data, you must make the adjustments in Sections I and II of the report.

The fields are divided by discipline: archeology, ethnology, history, archives, biology, paleontology, and geology.

Objects Cataloged

This field includes the total number of cataloged items and the number of items cataloged by discipline.

Catalog Backlog

This field includes the total number of items that need to be cataloged and the number of items that need to be cataloged by discipline.

Total Collection

This field includes the total number of items in the park's collection and the total number of items in each discipline.

> ***These numbers should be an accurate representation of all the museum objects that your park has. The park CMR should include the objects that centers and repositories store and manage for your park.***

Notes

Use this field to enter explanations about the current collection.

Noteworthy

Use this field to describe important accessions and deaccessions. If you reported losses and/or thefts, include the total value of the objects, if known. You may want to list major achievements in documenting the collection.

Be sure to include an explanation of any major adjustments that you've made. This information will print on the CMR, Form 10-94 Rev. (Figure 4.6).

Completion Information

The fields in this section of the CMR tell you the:

- name, title, and phone number of the person who completed the report
- date the report was completed
- the name of the person who approved the report

E. Submitting the CMR

1. *Do I need to print my CMR?*

Yes. Print the CMR, Form 10-94 Rev. (Figure 4.6) and have the superintendent or center manager sign it. By signing the CMR, the superintendent is certifying that it is a correct representation of the park museum collection.

Keep the signed paper copy on file with your museum records.

2. *Do I need to submit a paper copy of my CMR?*

No. Don't submit a paper copy of your CMR. You must submit an electronic copy of your CMR using ANCS+. Refer to Appendix E of the *ANCS+ User Manual* for instructions on submitting an electronic copy of your CMR.

3. *Does anyone need to review my CMR before I submit it?*

It's a good idea to have your regional/SO curator review your CMR. Some regions may require you to do this.

If you have collections at a center, the center should send you a review copy of the center's CMR for your park collection.

Section IX. Determining the Monetary Value of Museum Objects

A. Overview

1. *What kinds of value do museum collections have?*

Museum collections have scientific, cultural, historic, educational, and esthetic value in addition to their monetary value. NPS collections, in particular, have high associative value. The items in NPS collections are associated with the people, events, and natural features that the park commemorates. These types of values make many museum items irreplaceable and invaluable.

2. *When would I want to assign a monetary value to museum objects?*

Assigning monetary values to museum objects can be an important part of collections management. You can use monetary values to:

- determine replacement value for insuring outgoing loans
- document that an exchange of museum objects is equitable
- choose which objects will be controlled property
- justify protection and preservation actions
- determine loss in case of damage or theft
- confirm purchase price or the monetary value of an acquisition
- document a proposed deaccession

Note: In the case of theft, law enforcement bases the level of investigation on the monetary value of the object.

You must get a formal monetary appraisal for objects in an exchange if the exchange is with individuals or institutions outside the federal government. Refer to Chapter 6 in this handbook for information on exchanges.

3. *What types of collections don't have a monetary value?*

Curators and discipline specialists are usually reluctant to give a monetary value to most natural history and archeological collections. However, certain archeological, paleontological, and geological items have a very high monetary value in the current market. It's important to give these items a monetary value.

A monetary value may be inappropriate for NAGPRA material and other ethnographic items of cultural significance. Consult with the culturally affiliated group before giving a monetary value to these types of materials.

B. Monetary Values

1. *What is fair market value?*

Fair market value is the price that a willing buyer and seller agree to when there is no pressure to buy or sell. Both the buyer and the seller should have a reasonable knowledge of the facts about the item for sale.

Use fair market value to determine if an exchange is equal. Donors must use fair market value to determine value for tax deduction purposes.

2. *What is replacement value?*

Replacement value is the amount of money you would need to buy a similar item at full retail cost. In the case of replacement value, the owner has no intention of selling the item.

Replacement value is appropriate for most situations in a park, such as:

- placing a value on the catalog record
- determining insurance coverage for an outgoing loan
- making management decisions about the collection

Note: The cost of conservation treatment for a site-specific, irreplaceable object may be more than the fair market or replacement value. Keep this point in mind when assigning values for outgoing loans.

3. *Do all objects have a fair market and replacement value?*

No. You can usually place a fair market or replacement value on items that frequently appear in auction sales and antique stores. These types of items include furniture, porcelain, gems, firearms, coins, jewelry, and books. For other types of material it's much more difficult to place a monetary value because of a less active market. These types of material include certain natural history and archeological items such as soil and lithic samples. These materials may possess great historic or scientific value but little or no market value.

You should know the replacement and market values for the types of material in your collection.

C. Assigning Monetary Value

1. *What makes an object valuable?*

Characteristics that affect object value include:

- condition
- rarity
- authenticity
- fashion (market demand)
- age
- provenience
- documentation

- historic association
- materials
- quality

For example, a table that General Meade used as his desk at the Battle of Gettysburg has historic association. The table will have a higher monetary value because of its association.

The condition of an object often affects its value. Missing pieces or visible repairs usually decrease value. Mint condition greatly increases value.

Sometimes the fact that a collection is complete makes it valuable, such as a collection of 1939 World's Fair bric-a-brac. The completeness of the collection is more valuable than the items within it.

2. *How does a specialist determine monetary value?*

A specialist bases the value of an object on:

- knowledge of the market value (market demand)
- particular characteristics of the piece (quality)
- verification of the date and origin (authenticity)

For example, a chest made by an 18th century cabinetmaker is more valuable than a Colonial Revival piece from the late 20th century. Features such as period hardware and structural details also affect the value.

3. *Can I assign values to museum objects?*

Yes. You can assign values to museum objects for some purposes, such as cataloging, identifying controlled property, and outgoing loans. You can't assign values for exchanges outside the federal government, tax deduction purposes, or in other cases that require a formal appraisal.

4. *What should I do before assigning a value to an object?*

An accurate identification of the object is the first step in assigning value. Once you have identified the item, you may need to:

- do research
- check auction catalogs and retail prices
- get help from NPS specialists
- consult other museum professionals or subject-matter specialists

Note: Examine the object carefully and match it as closely as possible to the examples in the auction catalogs and price guides.

5. *How can I gain expertise in market values?*

Antique shows, auctions, and educational forums are good places to learn market values. Become familiar with auction catalogs, books on collectibles, and trade journals and newsletters. Price guides offer market values for many types of specialized objects such as dolls, pewter, glass, and furniture. You should check price guides at least once a year for changes in market prices. The bibliography in Appendix L of this handbook has a list of some common price guides.

6. *What types of specialists are available in the NPS?*

Within the NPS there is a wide range of specialized knowledge of material culture. A few examples include experts in 18th century furniture, military costume, Native American baskets, and photographic processes. Contact your regional/SO curator for the names of NPS specialists who can help you determine values for objects.

7. *Must the specialist come to the park to evaluate the objects?*

No. Physical observation is the best way to evaluate objects, but specialists often can give you an approximate value from photographs. You may be able to get an approximate value to put on a catalog record or for a loan through a telephone call.

Before contacting the specialist, find out as much information as possible about the object, including the date and condition. You'll need to have a detailed description of the object. Photos must show several views and features such as wear, repairs, and maker's marks.

It's important to remember that a photograph is never as accurate as seeing the original object. For example, the painted finish on a piece of furniture many not be visible in a photograph.

D. Professional Appraisals

1. *What does a professional appraiser do?*

The term "appraise" means to place a value on, rate, or judge. A professional appraiser is an acknowledged expert who places values on objects for a fee. He/she produces a written appraisal statement that includes:

- a description of the objects
- an appraised value for the objects
- the facts that are the basis for the value

Note: An appraisal must be supported by facts. For example, many appraisers use prices from recent sales of similar objects to determine a value.

2. *When do I need to get a professional appraisal?*

You need a professional, or formal, appraisal for:

- objects of extremely high value or questionable authenticity
- an exchange of museum objects with individuals or institutions outside the federal government
- updating the value of an entire collection
- objects that are beyond the area of expertise of the curator or other NPS specialists

Note: To determine the value of an entire collection, an appraiser classifies the types of items in the collection. He/she then estimates a value for each category and totals the figures. At times, an appraiser may place a value on each item and total the values.

3. *What should I look for in an appraiser?*

You need to make sure that the appraiser you hire is qualified and ethical. You want an appraiser with a good reputation who is impartial and honest. An appraiser must have no past, present, or future interest, monetary or otherwise, in the object being appraised. For example, he/she may not be a previous owner or vendor of the object.

Look for an appraiser who is an expert in the type of collections for which you want an appraisal. If the appraiser doesn't know the material, he/she may have to do additional research that will increase the cost of the appraisal. Interview potential appraisers and ask about their training, education, experience, specialties, references, and professional memberships. Ask them about the resources they use and how they determine comparisons. You'll also want to see an example of their work. Look for appraisal reports that are complete and that show an expert knowledge of the material.

A good appraiser will be objective, professional, and businesslike. He/she will produce a well-documented report that can withstand close scrutiny.

4. *How do I find appraisers?*

Appraising objects is not a licensed profession. In fact, most appraisers are commercial dealers. There are professional appraisal organizations that regulate their members and publish directories of certified appraisers. There are also some very good appraisers who aren't members of a professional organization. You may hear about them from colleagues.

To find an appraiser, contact:

- your regional/SO curator
- other NPS curators
- museum staff from other institutions
- private collectors
- insurance agents
- a professional appraisal organization

5. *What is the American Society of Appraisers?*

The American Society of Appraisers (ASA) is an international, non-profit, independent appraisal organization. The ASA tests and certifies potential appraisers, and requires periodic recertification. The ASA also maintains a directory of certified and accredited appraisers in various categories, such as fine arts. You can search the directory on their Web site, or contact them at:

The American Society of Appraisers
555 Herndon Parkway, Suite 125
Herndon, VA 20170
703-478-2228
1-800-272-8258
<www.appraisers.org>

A second group, The Appraisal Foundation on the Web at <www.appraisalfoundation.org> is an authority on the development of appraisal standards and qualifications. Look on their Web site for information on appraisers and the appraisal process.

6. *How much does an appraisal cost?*

Appraisers used to charge a percentage of the total value of the appraised objects. The Internal Revenue Service now prohibits appraisal fees based on percentages. Many appraisers charge an hourly rate plus expenses. Appraisers working with very high value objects are normally justified in charging a rate commensurate with the value of the objects.

A park may also accept donated appraisal services as long as there is no conflict of interest. Apply the same standards to someone donating services as you would to someone you are paying.

To save on costs, several parks may want to do a joint contract for the services of an appraiser. A region or cluster may also administer a contract for appraising objects at various parks.

7. *Should I do a scope of work for the appraiser?*

Yes. Services of an appraiser usually include an on-site visit, some research, and preparation of a written report. It's a good idea to send the appraiser a written scope of work that includes the:

- date the work is to be done
- fee for the appraisal
- objects to be appraised

8. *What must I do to prepare for the appraiser's visit?*

To best use the appraiser's time, make the following preparations:

- Decide whether you want market value or replacement value (see Section B above).
- Make sure that you have physical access to the objects.
- Supply adequate lighting.
- Have relevant documentation for each object readily available. Relevant documentation includes provenience information, photographs, and catalog records.

9. *What does an appraisal report include?*

A professional appraiser's written report should include the following information:

- whether the value is fair market or replacement value
- date and place the appraiser viewed the material
- description of the objects that includes, if applicable, condition, dimensions, materials, style, technique, characteristics, title, date, artist/maker, site of origin, exhibit history, previous owners, authenticity, and value
- names of consultants
- basis for the value, such as auction house prices, current state of the market
- total value
- signature and date of the report
- statement that the appraiser certifies no interest, past, present, or future in the subject property and that the appraisal fee is not contingent on the appraised values
- personal qualifications and credentials data on the appraiser

For example, the description portion of a chair's appraisal might read:

American (New York), mahogany, Chippendale side chair, claw and ball front feet, cabriole legs, slip seat, pierced back splat, arched crest rail ending in molded ears, gadroon molding along seat edge, with pine secondary wood, seat 24" X 24", overall height 60", excellent condition, circa 1760, $15,000.

See Figure 4.7 for a sample of a written appraisal.

10. *Can I request changes in an appraisal report?*

Yes. Read the appraisal report carefully when you receive it. It's easier to ask for changes in the report before you have paid for it. If the documentation is inadequate or there are factual errors, return the report immediately for adjustment. It's not appropriate to question the values, but you can question the appraiser's evidence or lack of documentation.

11. *Do I need to get more than one appraisal?*

If the material is very valuable, you may want to get more than one appraisal and average the values.

You must get two written appraisals for exchanges outside the federal government if the objects are over $20,000 in value.

E. Re-Appraising Objects

1. *How often should I re-appraise the objects in my collection?*

It's important to keep the monetary values on your objects up-to-date. Continual fluctuations in the antiques and fine arts markets mean that values don't remain current. You should periodically re-examine the values on your catalog records. This is particularly important in the event of theft. The value on the catalog record will determine the type of police investigation and whether there are criminal prosecution charges.

Be aware of price fluctuations in "trendy" objects, such as dolls and Civil War material. Price increases on these types of items can be much higher than you expect.

2. *How long is a professional appraisal valid?*

Depending on the material, a professional appraisal may be valid for years or only months. The appraisals that you use in an exchange can't be more than 60 days old. For most transactions, such as acquisitions, loans, and deaccessions, you'll want a current appraisal. For most objects in storage, you'll update the value infrequently. You'll want to update the values of exhibit items and controlled property more often.

F. Documenting Appraisal Information

1. *Where do I document appraisal information on the catalog record?*

Use the Appraisals Supplemental Record in ANCS+ to document appraisal information on the catalog record. This supplemental record allows you to track changes in value. It also links the appraisal data to the name and address of the appraiser. Refer to Section I in Chapter 3 of the *ANCS+ User Manual* for information on how to enter data in this record.

Note: Information in the Appraisals Supplemental Record doesn't appear on the main catalog record screens. Information on the acquisition value and current value for an object prints on the Museum Catalog Record, Form 10-254 and 10-254B.

2. *Where should I keep appraisal reports and other written documentation on monetary value?*

Where you file appraisal information depends on the reason for the appraisal and the number of museum files you use. You can file the information in the accession folder or the optional outgoing loan folder, deaccession folder, or catalog folder. Since most appraisals are for more than one object, you may have to make copies for multiple accession and catalog folders.

G. Appraisals and Tax Deductions

1. *Can I appraise objects for tax deduction purposes?*

No. NPS staff can't give appraisals for tax deduction purposes. Donations to the NPS are tax deductible to the extent permitted by law. The Internal Revenue Service (IRS) requires donors to get a professional appraisal for items that total over $5,000. If the donor wants to take a tax deduction, the donor is responsible for getting the appraisal.

2. *Can I refer a donor to an appraiser?*

No. You can't refer donors to specific appraisers in order to get an appraisal for tax deduction purposes. You can refer donors to the ASA and other professional associations of appraisers. You can also help donors by telling them of the IRS law that requires the appraisal.

3. *What do I need to know about the IRS and donations to my museum*

You need to be aware of the current IRS regulations on charitable contributions of property. The IRS requires that museums acknowledge a donation that totals over $5,000 in one year. You must complete the donee

collection?

acknowledgment portion of Form 8283, the IRS Noncash Charitable Contributions form. Refer to Chapter 2 in this handbook for additional information on appraising donations.

Note: Signing Form 8283 does not mean that you agree with the appraised value.

If you deaccession a donation within two years of receipt, you must report the deaccession to the IRS. Use Form 8282, the IRS Donee Information Return. You must include the donor's tax identification number. Refer to Chapter 6 in this handbook for additional information on tax liabilities and deaccessions.

It's against NPS policy to acquire an object with the intention of deaccessioning it.

Send the donor copies of all forms that the park files with the IRS. If requested, the park must give the IRS information on the donor and the donated property. Keep copies of all the forms you file with the IRS for a donation. File them in the accession folder.

Section X. List of Figures

Figure 4.1a	Inventory of Museum Property, Random Sample (Form 10-349)
Figure 4.1b	Inventory of Museum Property, Random Sample Continued (Form 10-349A)
Figure 4.1c	Inventory of Museum Property, Random Sample Summary (Form 10-349A)
Figure 4.1d	AIP Summary for Random Sample Inventory [Optional]
Figure 4.2a	Inventory of Museum Property, Controlled Property (Form 10-349)
Figure 4.2b	Inventory of Museum Property, Controlled Property Continued (Form 10-349D)
Figure 4.2c	Inventory of Museum Property, Controlled Property Summary (Form 10-349D)
Figure 4.2d	AIP Summary for Controlled Property [Optional]
Figure 4.3a	Inventory of Museum Property, Accessions (Form 10-349B)
Figure 4.3b	Inventory of Museum Property, Accessions Continued (Form 10-349C)
Figure 4.3c	Inventory of Museum Property, Accessions Summary (Form 10-349C)
Figure 4.3d	AIP Summary for Random Accessions Inventory [Optional]
Figure 4.4	Object Temporary Removal Slip (Form 10-97)
Figure 4.5	Report of Survey (Form DI-103)
Figure 4.6	Collections Management Report (Form 10-94Rev.)
Figure 4.7	Written Appraisal Sample

You can print all forms, except the Report of Survey (Form DI-103) from ANCS+.

NPS Form 10-349
(Feb 1994)
Highest Catalog Number Used:
Sample Size:

UNITED STATES DEPARTMENT OF THE INTERIOR
NATIONAL PARK SERVICE
INVENTORY OF MUSEUM PROPERTY
RANDOM SAMPLE

Page

_____
Park/Center

I hereby certify that I have made or caused to be made a physical inventory of cataloged museum property in or assigned to the area for which I am the "accountable officer" and that the property shown on the sheets 1 through 13, inclusive, reflects a true and accurate accounting of cataloged museum property assigned to my area, and, for which I am personally responsible. The property information shown on this listing, together with any additions, changes, or deletions annotated, reflects a true and accurate property inventory record as of the date of this certification.

Superintendent (Print name)	Signature	Date

I hereby certify that I have made or caused to be made a physical inventory of cataloged museum property in or assigned to the area for which I am the "custodial officer" and that the property shown on the sheets 1 through 13, inclusive, reflects a true and accurate accounting of cataloged museum property assigned to my area, and, for which I am personally responsible. The property information shown on this listing, together with any additions, changes, or deletions annotated, reflects a true and accurate property inventory record as of the date of this certification. I certify that, if random numbers were used, only one set of random numbers was generated, that these numbers were generated in my presence, and that these were the random numbers used in conducting this random sample inventory.

Park Custodial Officer (Print name)	Signature	Title	Date

Signatures and titles of other persons completing inventory:

I/we certify that if random numbers were used, only one set of random numbers was generated, that these numbers were generated in my (our) presence, and that these were the random numbers used in conducting this random sample inventory.

	Print name	Signature	Title	Date
1)				
2)				

NOTE: INSTRUCTIONS FOR COMPLETING THIS FORM ARE IN THE NPS MUSEUM HANDBOOK, PART II, CHAPTER 4.

Figure 4.1a. Inventory of Museum Property, Random Sample (Form 10-349)

NPS Form 10-349A
(Feb 1994)

UNITED STATES DEPARTMENT OF THE INTERIOR
NATIONAL PARK SERVICE
INVENTORY OF MUSEUM PROPERTY
RANDOM SAMPLE
CONTINUED

Page

Park/Center

1	2	3	4	5	6	7	8	9	10	11	12
Location	Catalog Number	Num In Use	Cont Prop	Obj Fd	Rec Fd	Loc Blu OK	Loc Redis OK	10-254 OK	Dam	Object/Specimen Name	Remarks/Condition

Figure 4.1b. Inventory of Museum Property, Random Sample Continued (Form 10-349A)

NPS Form 10-349A
(Feb 1994)

UNITED STATES DEPARTMENT OF THE INTERIOR
NATIONAL PARK SERVICE
INVENTORY OF MUSEUM PROPERTY
RANDOM SAMPLE
SUMMARY

Page

Park/Center

		3	4	5	6	7	8	9	10		
		Num In Use	Cont Prop	Obj Fd	Rec Fd	Loc Blu OK	Loc Redis OK	10-254 OK	Dam		
	Totals									=Y	Total Objects Missing:
										=N	Total Objects Damaged:

Figure 4.1c. Inventory of Museum Property, Random Sample Summary (Form 10-349A)

RANDOM SAMPLE INVENTORY OF MUSEUM PROPERTY

TOTAL AIP CATALOG NUMBERS:

SUMMARY OF FIELDS IN AIP GENERATED DATABASE

	YES	NO
CATALOG NUMBER IN USE:		
CONTROLLED PROPERTY:		
OBJECT FOUND:		
RECORD FOUND:		
BLUE LOCATION OK:		
REDISCOVERY LOCATION OK:		
FORM OK:		
DAMAGED:		

TOTAL AIP CATALOG NUMBERS WITH OBJECTS(S) MISSING:

TOTAL AIP CATALOG NUMBERS WITH OBJECTS(S) DAMAGED:

TOTAL AIP CATALOG NUMBERS NOT IN REDISCOVERY:

Figure 4.1d. AIP Summary for Random Sample Inventory [Optional]

NPS Form 10-349
(Feb 1994)

UNITED STATES DEPARTMENT OF THE INTERIOR
NATIONAL PARK SERVICE
INVENTORY OF MUSEUM PROPERTY
CONTROLLED PROPERTY

Page

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Park/Center

I hereby certify that I have made or caused to be made a physical inventory of cataloged museum property in or assigned to the area for which I am the "accountable officer" and that the property shown on the sheets 1 through 3, inclusive, reflects a true and accurate accounting of cataloged museum property assigned to my area, and, for which I am personally responsible. The property information shown on this listing, together with any additions, changes, or deletions annotated, reflects a true and accurate property inventory record as of the date of this certification.

Superintendent (Print name)	Signature	Date

I hereby certify that I have made or caused to be made a physical inventory of cataloged museum property in or assigned to the area for which I am the "custodial officer" and that the property shown on the sheets 1 through 3, inclusive, reflects a true and accurate accounting of cataloged museum property assigned to my area, and, for which I am personally responsible. The property information shown on this listing, together with any additions, changes, or deletions annotated, reflects a true and accurate property inventory record as of the date of this certification.

Park Custodial Officer (Print name)	Signature	Title	Date

Signatures and titles of other persons completing inventory:

	Print name	Signature	Title	Date
1)				
2)				

NOTE: INSTRUCTIONS FOR COMPLETING THIS FORM ARE IN THE NPS MUSEUM HANDBOOK, PART II, CHAPTER 4.

Figure 4.2a. Inventory of Museum Property, Controlled Property (Form 10-349)

NPS Form 10-349D
(Feb 1994)

UNITED STATES DEPARTMENT OF THE INTERIOR
NATIONAL PARK SERVICE
INVENTORY OF MUSEUM PROPERTY
CONTROLLED PROPERTY
CONTINUED

Page

Park/Center

1	2	3	4	5	6	7	8	9	10	11	12
Location	Catalog Number	Num In Use	Cont Prop	Obj Fd	Rec Fd	Loc Blu OK	Loc Redis OK	10-254 OK	Dam	Object/Specimen Name	Remarks/Condition

Figure 4.2b. Inventory of Museum Property, Controlled Property Continued (Form 10-349D)

NPS Form 10-349D
(Feb 1994)

UNITED STATES DEPARTMENT OF THE INTERIOR
NATIONAL PARK SERVICE
INVENTORY OF MUSEUM PROPERTY
CONTROLLED PROPERTY
SUMMARY

Page

Park/Center

	3	4	5	6	7	8	9	10
	Num In Use	Cont Prop	Obj Fd	Rec Fd	Loc Blu OK	Loc Redis OK	10-254 OK	Dam
Totals								

=Y	Total Objects Missing:
=N	Total Objects Damaged:

Figure 4.2c. Inventory of Museum Property, Controlled Property Summary (Form 10-349D)

100 % INVENTORY OF CONTROLLED PROPERTY

TOTAL AIP CATALOG NUMBERS:

SUMMARY OF FIELDS IN AIP GENERATED DATABASE

	YES	NO
CATALOG NUMBER IN USE:		
CONTROLLED PROPERTY:		
OBJECT FOUND:		
RECORD FOUND:		
BLUE LOCATION OK:		
REDISCOVERY LOCATION OK:		
FORM OK:		
DAMAGED:		

TOTAL AIP CATALOG NUMBERS WITH OBJECTS(S) MISSING:

TOTAL AIP CATALOG NUMBERS WITH OBJECTS(S) DAMAGED:

TOTAL AIP CATALOG NUMBERS NOT IN REDISCOVERY:

Figure 4.2d. AIP Summary for Controlled Property [Optional]

NPS Form 10-349B
(Feb 1994)

Highest Accession Number Used:
Sample Size:

UNITED STATES DEPARTMENT OF THE INTERIOR
NATIONAL PARK SERVICE
INVENTORY OF MUSEUM PROPERTY
ACCESSIONS

Page

_____
Park/Center

I hereby certify that I have made or caused to be made a physical inventory of uncataloged museum property in or assigned to the area for which I am the "accountable officer" and that the property shown on the sheets 1 through 4, inclusive, reflects a true and accurate accounting of uncataloged museum property assigned to my area, and, for which I am personally responsible. The property information shown on this listing, together with any additions, changes, or deletions annotated, reflects a true and accurate property inventory record as of the date of this certification.

I am aware that this inventory represents a substandard level of accountability because the property is not cataloged.

Superintendent (Print name)	Signature	Date

I hereby certify that I have made or caused to be made a physical inventory of uncataloged museum property in or assigned to the area for which I am the "custodial officer" and that the property shown on the sheets 1 through 4, inclusive, reflects a true and accurate accounting of uncataloged museum property assigned to my area, and, for which I am personally responsible. The property information shown on this listing, together with any additions, changes, or deletions annotated, reflects a true and accurate property inventory record as of the date of this certification. I certify that, if random numbers were used, only one set of random numbers was generated in my presence, and that these were the random numbers used in conducting this random sample inventory.

Park Custodial Officer (Print name)	Signature	Title	Date

Signatures and titles of other persons completing inventory:

I/we certify that if random numbers were used, only one set of random numbers was generated, that these numbers were generated in my (our) presence, and that these were the random numbers used in conducting this random sample inventory.

	Print name	Signature	Title	Date
1)				
2)				

NOTE: INSTRUCTIONS FOR COMPLETING THIS FORM ARE IN THE NPS MUSEUM HANDBOOK, PART II, CHAPTER 4.

Figure 4.3a. Inventory of Museum Property, Accessions (Form 10-349B)

NPS Form 10-349C
(Feb 1994)

UNITED STATES DEPARTMENT OF THE INTERIOR
NATIONAL PARK SERVICE
INVENTORY OF MUSEUM PROPERTY
ACCESSIONS
CONTINUED

Page

Park/Center

1	2	3	4	5	6	7	8
Location	Accession Number	Num In Use	Rec Fd	Cataloged Status	Obj Fd	Dam	Remarks/Condition

Figure 4.3b. Inventory of Museum Property, Accessions Continued (Form 10-349C)

NPS Form 10-349C
(Feb 1994)

UNITED STATES DEPARTMENT OF THE INTERIOR
NATIONAL PARK SERVICE
INVENTORY OF MUSEUM PROPERTY
ACCESSIONS
SUMMARY

Page

Park/Center

		3	4	5		6	7		
		Num In Use	Rec Fd	Cataloged Status		Obj Fd	Dam		
	Totals			N=	F=			=Y	Total Accession Numbers with Object(s) Missing:
				P=	D=			=N	Total Accession Numbers with Object(s) Damaged:

Figure 4.3c. Inventory of Museum Property, Accessions Summary (Form 10-349C)

RANDOM ACCESSION INVENTORY OF MUSEUM PROPERTY

TOTAL AIP ACCESSION NUMBERS:

SUMMARY OF FIELDS IN AIP GENERATED DATABASE

	YES	NO
ACCESSION NUMBER IN USE:		
RECORD FOUND:		
NOT CATALOGED:		
PARTIALLY CATALOGED:		
FULLY CATALOGED:		
DEACCESSIONED:		
OBJECT FOUND:		
DAMAGED:		

TOTAL AIP ACCESSION NUMBERS WITH OBJECTS(S) MISSING:

TOTAL AIP ACCESSION NUMBERS WITH OBJECTS(S) DAMAGED:

Figure 4.3d. AIP Summary for Random Accessions Inventory [Optional]

NATIONAL PARK SERVICE

OBJECT TEMPORARY REMOVAL SLIP

Catalog Number:	PARK 7621
Permanent Location:	DINING RM WEST WALL
Purpose for Removal:	OUTGOING LOAN
Temporary Location:	CONSERVATION ASSOCIATES
Removed By:	BRADLEY, JULIA
Date Removed:	07/31/2000

NPS Form 10-97
7/84

Figure 4.4. Object Temporary Removal Slip (Form 10-97)

DI-103
(Rev. 6/88)

UNITED STATES
DEPARTMENT OF THE INTERIOR

REPORT OF SURVEY

Page _____ of _____
Report No.
Date

A. Originating Office and Telephone No. *(include area code)*

Accountable Office and Location

The following items are: *(check one)* ☐ Lost ☐ Stolen ☐ Damaged ☐ Destroyed ☐ Other *(specify)*

A statement of circumstances involving the identified property is attached.

Signature of Accountable Officer: Date:

ITEM NO.	QUANTITY OR PROPERTY ID NO.	ITEM DESCRIPTION	ORIGINAL ACQUISITION COST (OAC)	CONDITION CODE *(See Reverse)*	ESTIMATED VALUE

B. To the best of my knowledge the attached statement(s) of circumstances are correct.

Signature of Cognizant Employee: Date: Signature of Custodial Officer: Date:

C. Board of Survey findings and determinations: A complete statement of Board findings and determinations is attached.

Signature of Board Chairperson: Date:

Signature of Board Member: Date: Signature of Board Member: Date:

D. Reviewing Authority: ☐ Approved ☐ Returned for technical insufficiency *(statement attached)* ☐ Disagree with Board of Survey Findings and Determinations *(statement attached)*

Signature: Date:

E. Head of Bureau or Office: *(required only for disagreement between Board and Reviewing Authority)* Statement of resolution:

Signature: Date:

F. **CERTIFICATE OF DISPOSITION/DESTRUCTION**

I certify that the item(s) No _____ *listed above have been destroyed, abandoned, or disposed of as directed by a Board of Survey.*

Official Responsible for Disposition/Destruction: Title: Signature: Date:

Witness Name (for Destruction only): Title: Signature: Date:

G. Adjustment to property records (Property Official Signature): Date Completed Financial Official Signature (if Required): Date Completed

Figure 4.5. Report of Survey (DI-103)

U.S. Department of the Interior
National Park Service
COLLECTIONS MANAGEMENT REPORT

Fiscal Year:
Park:
Center:

I. TOTAL COLLECTION SUMMARY FROM PREVIOUS YEAR

	Archeology	Ethnology	History	Archives	Biology	Paleontology	Geology	Total
A. Objects Cataloged								
B. Catalog Backlog								
C. Total Collection								

II. COLLECTION SUMMARY FOR FISCAL YEAR

A. ACCESSIONS

	Gifts	Exchanges	Purchases	Field Collections	Transfers	Incoming Loans	Total
1. Objects Accessioned							

	Archeology	Ethnology	History	Archives	Biology	Paleontology	Geology	Total
2. Objects Accessioned								

B. DEACCESSIONS

	Exchanges	Transfers	Losses	Thefts	Loan Return	NAGPRA
1. Obj Deaccessioned						

	Conveyance	Involuntary Destruction	Voluntary Destruction	Return to Right. Owner	Destructive Analysis	Total
1. Obj Deaccessioned (continued)						

	Archeology	Ethnology	History	Archives	Biology	Paleontology	Geology	Total
2. Obj Deaccessioned								

C. CATALOGING

	Archeology	Ethnology	History	Archives	Biology	Paleontology	Geology	Total
1. Objects Cataloged								

D. USE OF COLLECTIONS

1. Total Number of Outgoing Loans	2. Total Number of Objects in Outgoing Loans	3. Total Objects in Exhibits	4. Total Number of Research Requests within Park	5. Total Number of Research Requests from Outside Park

III. TOTAL COLLECTION SUMMARY FOR ALL YEARS

	Archeology	Ethnology	History	Archives	Biology	Paleontology	Geology	Total
A. Objects Cataloged								
B. Catalog Backlog								
C. Total Collection								

IV. NOTEWORTHY ACCESSIONS, DEACCESSIONS, & OTHER (Attach a separate sheet if necessary)

V. FORM COMPLETION INFORMATION

Form Completed By: _____
(Name) (Title) (Phone) (Date)

Approval: _____
(Superintendent for Park Reports; Manager for Center or Repository Reports)

Form 10-94(Rev. 2/96)

Figure 4.6. Collections Management Report (Form 10-94 Rev.)

William Morris, Appraiser
American Society of Appraisers
263 Market Street
Philadelphia, PA 19097

June 7, 1999

Re: Report for Virginia Carter Smith National Historic Site
Ipswich, MA

The following is a list of museum objects that I inspected at your site on June 3, 1999. I have carefully examined each item, and, in my judgement their current replacement values are as follows.

Furniture

English Mahogany Secretary Bookcase, bracket feet, 3 long drawers below 3 short drawers, fitted interior with satinwood fronts, two glass bookcase doors with V-shaped glass divisions, arched cornice, Circa 1790 – 44”w x 93”h	$15,000.00
Mahogany Hepplewhite style Flip Top Dining Table, reproduction, 60” x 36”	1,000.00
Pair of French Walnut Regency style Round Tables, marble top, shelf below, 36” dia. Circa 1900	2,500.00

Sterling Silver

Stuffing Spoon, feather edge, Old English Pattern – Beaver Crest Hallmarked – London 1810	500.00
Pair of Salt Spoons, Fiddle Pattern, Hallmarked London 1810	250.00
Total value:	$19,250.00

The foregoing appraisal is made with the understanding that the appraiser assumes no liability with respect to any action that may be taken on the basis of this appraisal.

The appraiser hereby certifies that he has no interest, present, past or contemplated, in the subject property, and that his fee for this appraisal is not contingent upon the values certified.

Yours very truly,

William Morris
Attachment: Appraiser Qualifications Vita
Comparison Notes on value

Figure 4.7. Written Appraisal Sample

Chapter 5: Outgoing Loans

Page

A. Overview 5:1
Why does the National Park Service make outgoing loans? 5:1
Who must follow this chapter? 5:1

B. General Information on Loans 5:1
For what purposes may I lend museum objects? 5:1
How long may I lend museum objects? 5:1
To whom may I lend museum objects? 5:2
Must I catalog objects before lending them? 5:2
Who makes the loan? 5:2
How do I document a loan? 5:3

C. Outgoing Loan Considerations 5:3
May I make third-party loans? 5:3
Are there special procedures for loans between parks? 5:3
Do I need a special agreement for loans to non-NPS repositories? 5:4
Must I inventory objects on outgoing loan? 5:4
Are objects on loan subject to NPS collections management policies? 5:4
Where do I get the forms for making outgoing loans? 5:4
What are some things to consider before making a loan? 5:5
Are there special requirements for loaning threatened and endangered species? 5:5
Must I require insurance for outgoing loans to U.S. Government agencies? 5:5
Should I require non-federal borrowers to insure the objects in an outgoing loan? 5:6
Should I require non-NPS conservators to have insurance? 5:6

D. Documenting Loans 5:6
Loan Requests and Consultations 5:6
Facility Reports 5:6
Condition Reports and Photographs 5:7
ANCS+ Loans Out Associated Module 5:7
Loan Number 5:7
Loan Agreement 5:7
Attachments to the Loan Agreement 5:8
Signing the Loan Agreement 5:9
Loan Folder or Accession Folder 5:9
Additional Documentation 5:10

E. Processing Loans 5:10
Insurance 5:10
Packing 5:10
Shipping 5:11
Receipt for Property 5:11

F. Tracking Loans 5:11
Loans in ANCS+ 5:11
Monitoring and Recall 5:12
Extensions 5:12
Loan Termination 5:12

G. Special Procedures for Lending Objects to Repositories 5:13
Park Responsibilities 5:13
Repository Responsibilities 5:14

BASIC REQUIREMENTS FOR NPS OUTGOING LOANS

Outgoing loans must further the NPS mission of preservation, education, and research.

You may loan objects to:

- educational, cultural, or scientific institutions
- service-providing organizations, such as conservation labs or exhibit preparation firms
- NPS centers and non-NPS repositories for collections management

Loans to private individuals are prohibited.

Make sure that the borrower can insure, secure, and transport loaned objects properly.

All loans must have a specific termination date. Limit repository loans to 10 years with a renewal option. Limit all other loans to 3 years or less.

Enter all loans into ANCS+. Print the loan forms from ANCS+.

Record condition for all objects in a loan. Recording object condition for loans to repositories is optional.

Complete an Outgoing Loan Agreement, Form 10-127 Rev. for all loans, and attach the Conditions for Outgoing Loans, Form 10-127a.

The superintendent must approve all loans and sign the loan agreement.

Store all loan documents in an optional loan folder or the accession folder.

Track loans by ending date or loan extension date.

CHAPTER 5: OUTGOING LOANS

A. Overview

1. *Why does the National Park Service make outgoing loans?*

Outgoing loans of museum collections further the National Park Service (NPS) mission of preservation, education,and research. Parks also make outgoing loans to repositories for the purposes of long-term collections management and storage. Outgoing loans give borrowers temporary custody, not title.

2. *Who must follow this chapter?*

The staff person responsible for the museum collection must follow this chapter when loaning museum objects. These procedures ensure that the collections are appropriately managed and that the NPS and the borrower are legally protected.

Refer to Chapter 2, Accessioning, in this handbook for procedures on incoming loans.

B. General Information on Loans

1. *For what purposes may I lend museum objects?*

You may lend objects from the park museum collection for purposes such as

- exhibition
- research
- scientific or exhibit preparation
- analysis
- photography
- conservation or other requested services
- long-term collections management and storage

2. *How long may I lend museum objects?*

If you are lending...	***Limit the loan to...***
to NPS and non-NPS repositories	10 years
to any other institution or organization	3 years

All loans must have a specific termination date. If a borrower requests an extension, you may grant it if you follow Section F.3 in this chapter.

Repository loans remain at the designated repository until you ask for them back, but you must renew them every ten years. The repository must return the loan if it is unable to meet the terms of the agreement.

3. *To whom may I lend museum objects?*

You may lend museum objects to several different types of recipients:

- educational, cultural, or scientific institutions (for example, NPS park museums, non-NPS museums, historical societies, universities, research institutions, and other organizations)
- service-providing organizations (for example, NPS and non-NPS conservation and analytical laboratories or exhibit preparation firms or contractors providing these services)
- NPS centers for collections management (including cataloging and storage)
- non-NPS repositories for collections management (including cataloging and storage)
- other NPS divisions, offices, and units

You may not lend museum objects to private individuals.

4. *Must I catalog objects before lending them?*

Catalog the following objects before you lend them:

- objects lent for exhibit or exhibit preparation
- objects lent for research or analysis (if you don't catalog them, at least document them adequately—for example, in a field specimen log)
- objects lent for photography or conservation (if items need conservation treatment for identification purposes, document these objects adequately—for example, in a field specimen log)
- objects lent to repositories, unless the purpose of the loan includes cataloging

5. *Who makes the loan?*

As the staff person responsible for the museum collection, you must review all potential loans and make recommendations to the superintendent.

The superintendent approves or disapproves all loans.

Once the superintendent approves the loan, you make all arrangements.

Consult the regional/support office (SO) curator before making loans to repositories. Some regions may have a regional mandate to send archeological or natural history collections to a specific repository.

For loans to non-NPS repositories, send an informational copy of the loan agreement to the regional/SO curator.

6. *How do I document a loan?*

You must use the Outgoing Loan Agreement, Form 10-127 Rev. (Figure 5.3) to document loans. Attach the Conditions for Outgoing Loans, Form 10-127a (Figure 5.4) to the agreement. The outgoing loan agreement is a formal, legal agreement that transfers custody for a specific period of time. This agreement protects both parties by specifying the conditions of the loan.

Refer to Section D in this chapter for more information on the outgoing loan agreement.

C. Outgoing Loan Considerations

1. *May I make third-party loans?*

No. The NPS doesn't permit third party loans. You may lend only the objects the museum owns.

Your superintendent may grant NPS repositories blanket approval to make third party loans for routine conservation or research. Note this authority in the additional loan conditions section of the loan agreement.

Your superintendent may grant NPS conservation treatment facilities the authority to initiate third party loans for contract conservation treatment. Note this authority in the additional loan conditions section of the loan agreement.

2. *Are there special procedures for loans between parks?*

Your park as the lender must follow the outgoing loan procedures in this chapter.

If your park is the borrower:

- treat the loan as an incoming loan
- use the lending park's outgoing loan agreement in place of an incoming loan agreement
- follow all other incoming documentation procedures as outlined in Chapter 2 of this handbook
- place the accession number assigned to the incoming loan on the lender's outgoing loan form

3. *Do I need a special agreement for loans to non-NPS repositories?*

No. Use the Outgoing Loan Agreement, Form 10-127 Rev. (Figure 5.3) to cover the objects on loan to the non-NPS repository.

If…	***Then…***
you are paying the repository for collections management services,	in addition to the loan agreement, you'll need a contract for the services.
the park will have a substantial involvement in the collections management activities, such as park staff on site assisting the repository,	you may need to have a cooperative agreement.

Refer to Director's Order #20: Agreements for information on cooperative agreements.

4. *Must I inventory objects on outgoing loan?*

Yes. Objects on loan are subject to NPS inventory procedures as outlined in Chapter 4. During the first year of a loan, the loan agreement serves as verification for inventory purposes. After the first year, the borrower must make objects available for you to inventory. The borrower may verify in writing or by phone the presence and condition of objects in your inventory.

In addition to inventory, all loans should include a regular monitoring schedule.

5. *Are objects on loan subject to NPS collections management policies?*

Objects on loan remain subject to NPS museum management policies. Federal policies and mandates governing NPS museum collections take precedence over state and local laws and regulations.

Non-NPS repositories must meet National Park Service standards for management of museum collections. These standards are outlined in the NPS *Museum Handbook*, Part I *(MH-I)* and this handbook. Standards for storage of federal archeological objects are outlined in 36 CFR Part 79 "Curation of Federally Owned and Administered Archeological Collections." Systematic collections must remain intact.

Non-federal repositories must give you information each year for the park's Collections Management Report (CMR). Refer to Section VIII of Chapter 4 in this handbook for information on non-federal repositories and the CMR.

6. *Where do I get the forms for making outgoing loans?*

Use ANCS+ to print blank or completed outgoing loan forms. Use acid-free paper to print the forms.

Acid-free paper is available from the Supply and Equipment Program of the Museum Management Program (MMP), National Center for Cultural Resources.

7. *What are some things to consider before making a loan?*

Consider loan requests on a case-by-case basis. Be consistent by setting up written park-specific guidelines for using the collection. Use the following questions to help you determine whether a loan serves the public interest.

- Can the borrower meet the conditions of the outgoing loan agreement?
- Does the loan provide greater public, scholarly, and research access to the park's museum collection?
- Has the borrower asked to handle objects during lectures or demonstrations? The superintendent must approve the request in writing and include any necessary instructions (for example, special handling techniques).
- Is the loan being requested for entertainment or social events (for example, tables used for cocktail parties)? Decline any such request.
- Will you be able to monitor the loan?
- Can the object withstand travel? Does it need any special handling, packing and shipping? If there are questions about an object's stability, get advice from a conservator.
- Is the object one of a kind or otherwise so significant that it should not leave your park?
- Is the object subject to any restrictions that might prevent a loan?
- Have you consulted with affected groups?

8. *Are there special requirements for loaning threatened and endangered species?*

Yes. There are special requirements for loans outside the U.S. You don't need a permit to loan threatened or endangered species across state lines. You do need an export permit to loan threatened or endangered species outside the U.S. Depending on the species, you must contact the Fish and Wildlife Service or the National Marine Fisheries Service for a permit. You'll also need to get an import permit to cover the loan return.

For information on permits, contact:

Fish and Wildlife Service
Office of Management Authority
4401 North Fairfax Drive
Room 430
Arlington, VA 22203
800-358-2104

9. *Must I require insurance for outgoing loans to U.S. Government agencies?*

No. Waive the insurance requirement for outgoing loans to U.S. Government agencies and bureaus (other than the Smithsonian Institution). The U.S. Government is self-insured. The Smithsonian Institution will insure your objects on their insurance policy.

To cover any loss to the park, add the following statement under Additional Loan Conditions on the loan agreement:

"The borrower is responsible for any damage or loss and must reimburse the National Park Service for the cost of conservation, replacement, or reduction in value."

10. *Should I require non-federal borrowers to insure the objects in an outgoing loan?*

Insurance is negotiable. You should require insurance for most outgoing loans. The borrower should give you a certificate of insurance that names the park as an additional insured.

You are responsible for updating the value of the objects on loan, if necessary, for insurance purposes.

11. *Should I require non-NPS conservators to have insurance?*

Many conservators carry insurance. As part of the contract, you can require conservators to cover the cost of insurance while an object is in their care.

D. Documenting Loans

You are responsible for documenting the loan transaction to ensure accountability for the objects. You, as the lender, must maintain all the original documentation.

For an overall view of the loan process, refer to Flow Chart Figure 5.1.

1. *Loan Requests and Consultations*

Loans are requested and arranged in advance. You may send a sample loan agreement and conditions to a potential borrower.

If a NPS repository provides you with written procedures for loans, follow them.

If your park has a collections advisory committee, have it review the potential loan. You may also want to consult with the regional/SO curator before negotiating a loan.

2. *Facility Reports*

You must be sure that a borrower can adequately care for the loan. You may request the borrowing institution to provide written evidence that it can insure, secure, and transport loaned objects properly. You may ask for a facility report before approval of a loan. A facility report allows you to determine the risk of lending an object. A facility report is advisable for loans of controlled property or other sensitive material. The Registrar's Committee of the American Association of Museums publishes a standard facility report. You may get a copy from the MMP, National Center for Cultural Resources.

Waive facility reports for NPS repositories and NPS conservation-treatment facilities.

As part of the loan, you may require non-NPS repositories to complete the NPS Checklist for Preservation and Protection of Museum Collections. Use a paper copy of the Checklist not the automated version. Don't enter the data in ANCS+.

You can print a blank copy of the Checklist from ANCS+.

3. *Condition Reports and Photographs*

You may want to complete an object condition report to document an object's condition before you lend it. Send a copy of this report to the borrower and use it on return of the object to check its condition. The Object Condition Report, Form 10-637 (Figure 5.6) in this chapter is ***optional***. You may report condition on Form 10-637 or a park-specific document.

Note: ANCS+ will complete part of Form 10-637 using the condition data from the catalog record. Refer to Chapter 5 in the *ANCS+ User Manual* for information on which fields map to the form.

If you don't use an object condition report, note each object's condition on the list of objects that you attach to the loan agreement.

You don't need to do an object condition report for loans to repositories.

You should photograph all objects you lend except for loans to repositories.

4. *ANCS+ Loans Out Associated Module*

Enter the loan in the ANCS+ Loans Out associated module. This module allows you to track the loan, print all loan forms, and attach loan information to the catalog records. Refer to Section IV in Chapter 4 of the *ANCS+ User Manual* for information on using the module. Use of this module is essential for keeping your annual Collections Management Report (CMR) accurate.

5. *Loan Number*

Give each loan a number and put that number on every loan document. A loan number has three parts:

- L (indicates outgoing loan)
- calendar year (four digits indicating the calendar year, such as 1995)
- outgoing loan transaction number (sequential transaction number within the calendar year, such as 12 for the twelfth outgoing loan transaction in the calendar year)

For example, L.1995.2 means the second loan made in calendar year 1995.

6. *Loan Agreement*

Loan Agreement
You must complete an Outgoing Loan Agreement, Form 10-127 Rev. (Figure 5.3), for all outgoing loans. You cannot substitute a non-NPS form for Form 10-127. The loan agreement includes:

- a detailed list of objects in the loan
- the purpose for the loan
- starting and ending dates
- the addresses and contact names for both parties

- a credit line
- your responsibilities and the borrower's
- conditions of physical care
- shipping and handling information
- insurance information
- specific conditions concerning the loan

You can print a completed outgoing loan agreement from ANCS+. Print two copies of the agreement on acid-free paper.

Your superintendent and the borrower must agree to the loan conditions and sign the form before the loan occurs. Some institutions have incoming loan forms that the superintendent must sign. In the case of conflict between the two forms, the lender's form (Form 10-127 Rev.) controls.

See Figure 5.2 for instructions on completing and sending the outgoing loan agreement.

As a service to your park, an NPS repository may prepare the loan agreement for your superintendent to sign.

7. *Attachments to the Loan Agreement*

Attach a list of objects and the conditions for the loan to the loan agreement.

List of Objects
For loans involving several objects, attach a List of Objects, Form 10-417 (Figure 5.5) to the loan agreement. You may create a park-specific document to use in place of Form 10-417. The list, which serves as an inventory of objects on loan, should include:

- catalog number
- accession number
- item count or quantity
- object name
- description
- condition
- value (if appropriate)
- space for comment

For loans to repositories, you may use a field or laboratory inventory instead of a list of objects. You don't have to include value for loans to repositories.

Note: You can print a completed List of Objects, Form 10-417 (Figure 5.5) from ANCS+.

Conditions
Attach the Conditions for Outgoing Loans, Form 10-127a (Figure 5.4) to the loan agreement or cooperative agreement. If additional conditions are necessary, note them in the additional loan conditions section of the outgoing loan agreement. Additional conditions include requirements such as special restrictions on light levels.

8. *Signing the Loan Agreement*

The superintendent and the borrowing official are responsible for meeting the terms of the loan agreement.

Your superintendent signs two copies of the loan agreement and sends them (with attachments) to the borrower. The borrower signs both copies, returns one copy to the park, and keeps the other copy.

For loans to repositories, the repository chief or institution director must sign the loan agreement.

For loans to non-NPS repositories, send an informational copy of the loan agreement to the regional/SO curator.

9. *Loan Folder or Accession Folder*

Store all documents generated by the loan in an acid-free, straight (full) tab cut folder, or in an accession folder. Whatever folder you choose, use it consistently. Refer to Chapter 2 in this handbook for information on the accession folder.

Outgoing Loan Folder

- Store all original documents associated with a loan in this folder. Mark the loan number in the upper left corner of the folder and the termination date in the upper right corner of the folder.
- Insert the optional Outgoing Loan Folder Cover Sheet, Form 10-640 (Figure 5.7). Print this form from ANCS+ on acid-free paper.
- File the folder by loan number or termination date.
- Store the folder in a separate, marked section of your accession filing cabinet.
- Copies of the loan agreement may be added to the catalog or accession folder.
- Keep the folder and contents after the loan ends.

Accession Folder

- File all original paperwork for the loan in the accession folder.
- If multiple accessions are involved, file the original paperwork in the accession folder of the lowest accession number.

File copies of the loan agreement in each subsequent accession folder.

10. *Additional Documentation*

Update the Object Status, Status Date, and Location fields in ANCS+ to show what objects are on loan.

Complete a temporary removal slip for all objects on loan, except for repository loans. Place the removal slip in the object location noted on the ANCS+ catalog record.

Note: Your annual CMR includes the number of outgoing loans and the number of items on loan.

E. Processing Loans

You are responsible for processing the loan. This may include:

- arranging for conservation work (you may arrange with the borrower to cover conservation costs)
- making sure that objects are safe for travel
- making sure that there is insurance coverage, if required
- coordinating packing and shipping arrangements
- completing any additional paperwork

The borrower is responsible for loan-related expenses, unless otherwise arranged in advance. If the loan is for the benefit of the park, such as a loan for conservation or photography, the park pays the cost.

1. *Insurance*

See that non-NPS borrowers get their own insurance coverage. They should give you a certificate of insurance that names the park as an additional insured, unless you waive the insurance requirement.

Insurance requirements are waived for all loans to NPS parks, NPS repositories, and NPS conservation facilities.

Refer to Section VII in Chapter 4 of this handbook for information about insurance policies.

2. *Packing*

Make sure that all objects are packed securely and adequately. Use professional packing and shipping companies if you lack the training, facilities, or materials to pack museum objects.

Pack and label containers according to the *MH-I,* Chapter 6. If non-NPS staff do the packing, oversee the work. The borrower should keep the

original packing materials, if possible. The borrower packs the objects for return in the same way they arrived or improves the packing.

Enclose an inventory of objects and a return address in each container. Include the catalog number and condition of each object or enclose condition reports. Also include any special instructions for unpacking and repacking. Under separate cover send a copy of the inventory.

> ***Unless otherwise noted on the loan agreement, you pack the objects and provide the packing materials for loans to repositories and NPS conservation facilities.***

3. *Shipping*

Don't ship the objects until you have a signed loan agreement from the borrower.

The borrower arranges the shipping with your approval and pays all shipping costs. You may arrange for shipping and charge shipping costs to the borrower.

A shipping list is useful to the borrower and the shipping company. Don't put monetary values or historical information on shipping lists. You may use the postal system to mail certain objects that are sturdy and within the specified size limits. Use certified or registered mail with a return receipt requested. Don't use the postal system for items of high intrinsic or monetary value.

> ***Unless otherwise agreed to in writing, you are responsible for shipping costs and the safe transportation of museum objects to repositories and NPS conservation facilities.***

Refer to the *MH-I*, Chapter 6: Handling, Packing and Shipping Museum Objects.

4. *Receipt for Property*

Send a Receipt for Property (DI-105) to the borrower under separate cover. The borrower signs the receipt and returns one copy to you.

A memo or electronic mail message may also be used to acknowledge receipt of objects.

F. Tracking Loans

You are responsible for tracking all outgoing loans. Keep up-to-date loan agreements for all outgoing loans.

1. *Loans in ANCS+*

Use ANCS+ to track your loans by return date. ANCS+ has all the required fields for loan data and allows you to sort your loan data by return date.

Refer to Section IV of Chapter 4 in the *ANCS+ User Manual* for information on using the Loans Out associated module.

2. *Monitoring and Recall*

Track loans by date to ensure that you get objects back on time.

Reserve the right to inspect the objects on loan at any time. All loans should include a regular monitoring schedule.

You may end a loan with 30 days notice to the borrower. You may end a loan without notice if an object is at risk.

The borrower must give at least 30 days written notice to cancel a loan before the termination date.

3. *Extensions*

Tell the borrower when a loan is coming due. If the borrower requests a loan extension, review it and make a recommendation to the superintendent. All loan extensions require the superintendent's approval.

Give an extension a specific ending date, not to exceed three years. Loans to repositories may be extended for up to ten years per extension.

You may ask the borrower to update the standard facility report when negotiating a loan extension.

The borrower must extend insurance coverage, if applicable. The borrower gives you a copy of the certificate of insurance for the extension period. The certificate of insurance must name the lending park as an additional insured.

Prepare the loan extension documents. Use either:

- the optional Outgoing Loan Extension, Form 10-641 (Figure 5.8)
- a memorandum to extend the loan
- a new loan agreement, using the same loan number

Note: You can print a completed Outgoing Loan Extension, Form 10-641 from ANCS+. Print two copies of the extension form on acid-free paper.

If a memorandum is used, it must include the same information and signatures as the loan extension form. Keep the original loan number but update other data.

The borrower should sign and return the extension document at least thirty days before the original termination date.

The superintendent signs the extension document upon its return and sends a copy to the borrower. Keep a copy with the loan documentation.

4. *Loan Termination*

If the borrower returns part of a loan before the ending date, note the return date on the outgoing loan agreement or in the comment column on the list of objects. Continue to track partially returned loans until you have all objects back. Keep the original loan number for tracking purposes.
The loan transaction is complete when all objects in the loan have come

back to you Examine the objects for any change in condition upon return of the loan. Contact the borrower immediately if there are problems. Record any changes in condition on the Object Condition Report Form 10-637 (Figure 5.6) and the catalog record. Change the location and object status on the catalog records.

Your superintendent signs the loan agreement acknowledging receipt of all objects. You then send a copy to the borrower. The original stays in your park.

G. Special Procedures for Lending Objects to Repositories

1. *Park Responsibilities*

Loans to repositories are made to manage collections or store them. Consult with the regional/SO curator before sending objects to a NPS center or non-NPS repository. The superintendent should send a written request asking the center or repository to accept the collection as an incoming loan. The center or repository should respond in writing.

In addition to the loan agreement, send the following with the objects you lend to a repository:

Inventories
For cataloged objects, provide an inventory or computer-generated list that includes catalog numbers, item quantification, object name, description, condition, and value (if appropriate).

For uncataloged objects, include field or laboratory-level inventories, or both, provided by the investigator. Produce an updated inventory when cataloging is completed. Include field specimen numbers, NPS catalog numbers, item quantification, object name, description, condition, and value (if appropriate).

Documentation
Accession all objects in the loan.

Provide copies of all appropriate documentation in the accession file, catalog folder, and any supplemental database. Keep all original documentation on ownership.

Include all associated records, such as field and lab records, maps, and photos, as defined in Appendix D of this handbook.

Conservation
Include a list of known conservation problems (for example, rust, mold, weak repairs). Supply copies of object treatment reports or conservation surveys for any prior conservation treatment.

2. *Repository Responsibilities*

If the repository is to catalog the objects, it must use ANCS+ or an export format compatible with ANCS+. The repository must give the park electronic copies of catalog records. Optional paper copies of catalog records can be printed at the National Catalog, Harpers Ferry, WV.

The repository must place any information added to a natural history specimen label on a new label. The old label is kept with the specimen.

A complete inventory and all associated original documents must accompany returned loans.

H. Special Procedures for Lending Objects to NPS Conservation Treatment Facilities

1. *Request for Treatment or Analysis*

You can make a request to a NPS conservation facility by e-mail, phone, or letter. You no longer need to use the Object Treatment Request (OTR). Complete the loan agreement after the facility has reviewed and accepted your request.

2. *Exhibit Plans*

Exhibit projects often include many objects requiring treatment, mounting, or other exhibit preparation. You and/or the conservator prepare a list of objects for conservation, mounting, or other exhibit preparation. This list may be used in place of the List of Objects, Form 10-417 (Figure 5.5).

You may send the objects in batches to the conservation treatment facility over time. You and/or the conservator determine whether objects can withstand shipment. Use a single loan agreement to cover all the shipments needed for an entire exhibit. Document each shipment to and from the treatment facility with a receipt for property.

3. *Documentation*

Provide the facility with paper or electronic copies of catalog records for the objects.

The NPS conservation facility provides you with copies of all reports of examination and treatment.

I. LIST OF FIGURES

	Figure 5.1	Flow Chart for Outgoing Loans
	Figure 5.2	Instructions for Completing and Sending the Outgoing Loan Agreement
+*	Figure 5.3a-b	Outgoing Loan Agreement (Form 10-127 Rev.)
+*	Figure 5.4a-b	Conditions for Outgoing Loans (Form 10-127a)
+	Figure 5.5	List of Objects (Form 10-417) [Optional]
+	Figure 5.6	Object Condition Report (Form 10-637) [Optional]
+	Figure 5.7	Outgoing Loan Folder Cover Sheet (Form 10-640) [Optional]
	Figure 5.8	Outgoing Loan Extension (Form 10-641) [Optional]

\+ Print these forms from ANCS+.

* You must use the Outgoing Loan Agreement (Form 10-127 Rev.) and the Conditions for Outgoing Loans (Form 10-127a) for all outgoing loans.

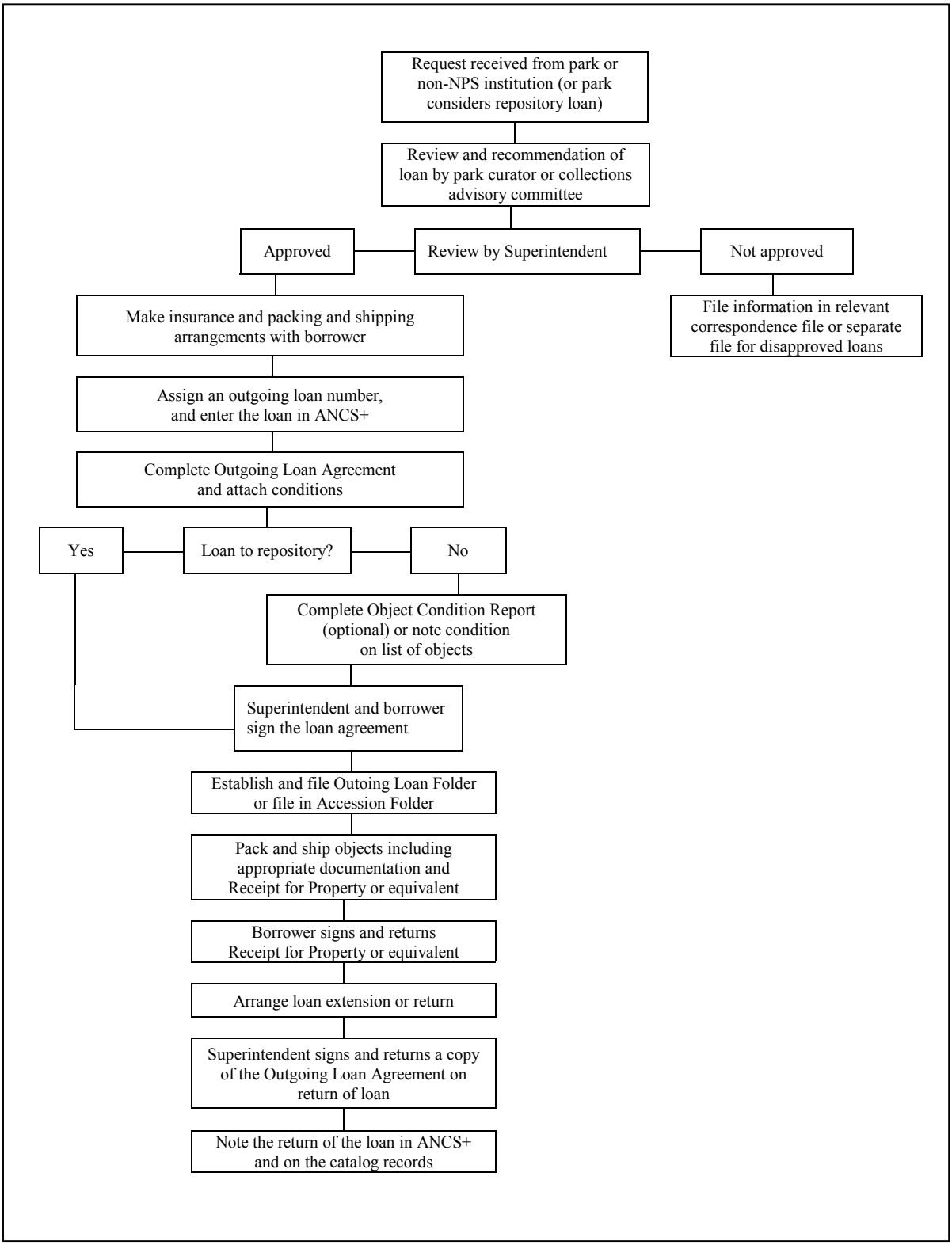

Figure 5.1. Flow Chart for Outgoing Loans

INSTRUCTIONS FOR OUTOING LOAN AGREEMENT

Outgoing Loan Number	Enter the outgoing loan number. Example: L.1993.12. L (outgoing loan indicator), calendar year (four digits indicating the calendar year), outgoing loan transaction number (sequential transaction number within the calendar year).
Lender	Enter the name of the park.
Lender Address	Enter the park's street/box, city, state, zip code, telephone number, and FAX number.
Lender Shipping Address	Enter the shipping address of the park, if it is different from the mailing address.
Superintendent (Lending Park)	Enter the name of the superintendent or center chief, for authorization and contact purposes.
Borrower (Institution)	Enter the name of the institution that is borrowing the material (for example, University of Arizona). Indicate whether it is a NPS unit or a non-NPS institution.
Borrower (Department)	Enter the department or division of the borrowing institution (for example, Department of Anthropology), where applicable.
Borrower Address	Enter the borrower's street/box, city, state, zip code, country (if outside USA), telephone number and FAX number.
Borrower Shipping Address	Enter the shipping address of the borrower, if it is different from the mailing address.
Responsible Official (Borrowing Institution)	Enter the name and title of the responsible individual [or agent] of the borrowing institution (for example, G. A. Lindsay, Director).
Purpose of Loan	Indicate the purpose of the loan (exhibit, study, conservation, exhibit preparation, collections management, storage, or other). If other, explain.
Credit Line	Record the credit line as it is to appear in exhibit graphics, publications, or other media.
Objects in Loan	List the objects in the loan. Include the catalog number, accession number, object name, item count or quantification, description, condition, and insurance value (if appropriate). For loans involving several objects, attach the List of Objects (Form 10-417) or a computer-generated list.
Initiation Date	Record the date on which the agreement is to go into effect.
Termination Date	Enter the termination date of the loan. Loans to repositories cannot exceed ten years. All other loans cannot exceed three years.
Insurance	Indicate whether the insurance will be waived or carried by the borrower. Enter the name of the insurance company and the policy number. Indicate if the certificate of insurance or waiver of subrogation has been received. Refer to Chapter 4 of this handbook for information on insurance.
Packing and Shipping	Indicate who will be responsible for packing the objects. Provide information on the method of shipping for sending and returning the loan. If a shipping company is used, include the name, address, and phone number. Indicate who will be responsible for shipping charges.
Loan Conditions	Indicate whether a facilities report is required. Include any other additional conditions. Attach a copy of the Conditions for Outgoing Loans (Form 10-127a).
Signature and Date Lines	Enter the name of the superintendent and the borrowing official. Both parties must sign and date the agreement. The repository chief or institution director must sign the agreement for repository loans.
Return Status (Partial or Complete)	Indicate whether the entire loan has been returned. If part of the loan has been returned, enter date of return for each object returned.
Extension Information	For extended loans, enter the new termination date.
Return Signature	Enter the name of the superintendent. The superintendent must sign and date the agreement when the entire loan is returned.
Sending and Returning the Loan Agreement	The superintendent signs two copies of the loan agreement and sends them to the borrower. The borrower signs and returns one copy to the park and keeps the other signed copy. The park does not release the objects until the signed agreement is received. On return of the entire loan, the superintendent signs and dates the original agreement and sends a copy to the borrower.

Figure. 5.2. Instructions for Completing and Sending the Outgoing Loan Agreement

US Department of the Interior
National Park Service

Outgoing Loan Agreement

Outgoing Loan No.

NPS Unit (Lender):

(Street/Box) Telephone:

(City/State/Zip) Fax Number:

Superintendant (please print):

Shipping Address (if different):

BORROWING INSTITUTION (Borrower):

(Department)

(Street/Box) Telephone:

(City, State, Zip, Country) Fax Number:

Responsible Official (Borrower): Title:

Shipping Address (if different):

NPS Status:

PURPOSE OF LOAN:

Credit Line:

OBJECTS IN LOAN:

INITIATION DATE **TERMINATION DATE:**

INSURANCE AND SHIPPING/PACKING:

Insurance Paid By:

Insurance Company: Policy No.:

Packer:

Shipping Paid By:

Method of Shipping: Outgoing: Return:

Form 10-127 Rev.
February 1998

Figure 5.3a. Outgoing Loan Agreement (Form 10-127 Rev.)

US Department of the Interior
National Park Service

Outgoing Loan Number

Outgoing Loan Agreement (Continued)

LOAN CONDITIONS:
Outgoing loans are subject to the same terms and conditions noted on the attached Conditions for Outgoing Loans.

Additional Loan Conditions:

SIGNATURES:

ON INITIATION OF THIS AGREEMENT: The undersigned borrower is an authorized agent of the borrowing institution. Signature indicates agreement to terms specified in this loan agreement and attached conditions.

PLEASE SIGN BOTH COPIES AND RETURN ORIGINAL TO THE NPS.

Name of Responsible Official (Borrowing Institution), Title (Please print)

Signature Date

Name of Superintendent (Lending NPS Unit) (Please print)

Signature Date

RETURN STATUS:

Extension Termination Date:

RETURN OF LOAN:
The undersigned is an authorized agent of the lender. Signature acknowledges receipt of all material in good condition or in condition as noted on this agreement or in attached object condition report(s). A signed copy is sent to the borrower to acknowledge the return of the loan.

Name of Superintendent (Lending NPS Unit) (Please print)

Signature Date

NPS Form 10-127 Rev.
February 1998

Figure 5.3b. Outgoing Loan Agreement (Continued) (Form 10-127 Rev.)

US Department of the Interior
National Park Service

Outgoing Loan Number

Conditions For Outgoing Loans

GENERAL

1. It is the Borrower's responsibility to become familiar with stipulations covering this transaction. Responsibility for meeting the terms agreed to in this loan agreement remains with the borrowing institution and authorized agent.

2. No loans will be made until all necessary documentation has been received by the lending park, and the Outgoing Loan Agreement has been signed by both parties.

3. The borrowing institution is not permitted to make third party loans. Such loan requests shall be treated as an independent outgoing loan and negotiated between the lending park and the second borrowing institution. Unless specifically agreed to in writing on the attached loan agreement, the borrowing institution is not permitted to make third party loans. Such loan requests shall be treated as an independent outgoing loan and negotiated between the lending park and the second borrowing institution.

4. Borrower agrees to incur all expenses relating to this loan unless otherwise noted.

5. Borrower agrees not to use the loaned museum objects/specimens/archival items (henceforth "loaned items") for commercial or other revenue-generating purposes without the prior written authorization of NPS.

6. If the loaned items are to be exhibited, cited, or illustrated in a publication, or otherwise made public, the credit line must cite the following elements and conform to any additional specifications in the loan agreement: "National Park Service," park name, control number (such as a catalog or negative number), object/specimen name, and original creator (if applicable, e.g. artist name). The NPS is not responsible for the quality of exhibits, publications, or interpretive or educational programs that may feature NPS loaned items.

7. The Borrower shall provide to Lender a copy, at no cost, of any publication or report featuring the loaned items.

8. The Borrower, in the event of a change of address, shall provide the NPS with written notification thereof within 15 days of such change.

9. Federal laws and policies governing NPS museum collections take precedence over state and local laws.

10. The borrower agrees to care for loaned items in a manner consistent with NPS policies and procedures as stated in *Director's Order #24: NPS Museum Collections Management* and in NPS *Museum Handbook* (http://www.nps.gov/policy/DOrders/DOrder24.html) (http://www.cr.nps.gov/museum/publications/index.htm).

COPYRIGHT AND PHOTOGRAPHY RESTRICTIONS

1. Loaned items are subject to restrictions outlined in the copyright law of the United States (Title 17, U.S. Code). Borrower will honor copyright restrictions as they apply to the loaned items and will ensure that the appropriate copyright releases are obtained.

2. Unless otherwise agreed to in writing, no reproductions are permitted by the Borrower except photographic copies for condition reports, documentation, damage, educational, and publicity purposes related to the stated purpose of this loan.

INSURANCE

1. All loaned items shall be continuously and fully insured at the Borrower's expense for the amount specified on the loan agreement, unless waived and so noted on the agreement. Insurance shall be wall-to-wall, and provide coverage against all risks of physical loss or damage from any external causes while in transit and on location for the entire duration of the loan. Borrower shall provide proof of insurance to the lending park. The NPS must be notified in writing at least 20 days prior to any cancellation or meaningful change in the Borrower's insurance policy. If additional coverage is taken by the Borrower, the lending park must receive from the Borrower a copy of the certificate of insurance naming the lending park as an additional insured.

2. Any lapses in coverage or any failure to secure insurance and/or any inactions by the Lender regarding notice will not release the Borrower from liability for loss or damage.

3. Dollar values provided are confidential and are for insurance purposes only. The NPS reserves the right to increase the amount of insurance coverage required on the loaned items, if reasonably justified.

4. If insurance is waived, the Borrower agrees to indemnify any and all loss or damage to the loaned items occurring during the course of the loan, except for loss or damage resulting from inherent vice, war, and nuclear incident.

5. Borrower agrees to waive all claims and recourse against the NPS for loss or damage to persons, museum collections, or loaned items arising from this agreement. Borrower agrees to defend, indemnify, and save harmless the NPS from all liability, loss, cost, or obligation on account or arising out of any injury to any person or property of any kind, from any cause whatsoever, in any way connected with Borrower's use of said property, including acceptance and redelivery thereof.

CONDITION, ALTERATION, AND CONSERVATION

1. Each loaned item is considered to be in good condition unless otherwise noted.

2. Loaned items may not be cleaned, repaired, retouched or altered in any way without the express permission of the Lender.

3. Loss, damage or deterioration must be reported to the lending park. If damage occurs, NPS staff will arrange any necessary conservation treatment. The Borrower or its insurance company is liable for all costs resulting from damage, including the cost of conservation, and for any reduction in value or replacement.

HANDLING AND CARE

1. All physical care (e.g., handling, storage, exhibition) should meet or exceed the standards set down in the NPS *Museum Handbook*, Part I.

2. Loss or damage, whether in transit or on the borrower's premises, and regardless of who may be responsible, must be reported immediately. Photographs and documents of the damage (e.g., condition report) with dates, names, and other details of the occurrence (e.g., damage reports) must be sent to the lending park within 5 working days of the loss or damage.

NPS Form 10-127a
January 2006

Figure 5.4a. Conditions for Outgoing Loans (Form 10-127a)

US Department of the Interior
National Park Service

Outgoing Loan Number

Conditions For Outgoing Loans (Continued)

3. The Borrower and all users of the loaned items have received the U.S. Department of the Interior (DOI) Notice of Potential Hazard in Museum Collections (DI-3320). If the Borrower provides access to the loaned items to users other than those identified in this loan agreement, the Borrower is responsible for providing this DOI notification to the users and returning acknowledgement of notification to the Lender.

SECURITY AND ENVIRONMENTAL CONTROLS

1. Borrower must provide, at all times, adequate security in order to protect loaned items against risk of damage, loss or deterioration due to theft, vandalism, fire, smoke, and water. Adequate protection against insects, vermin, fungi, mold and pollutants must be provided. Conditions should comply with museum standards and the NPS *Museum Handbook*, Part I.

2. Loaned items must be protected, at all times, against damage caused by exposure to direct sunlight, ultraviolet light, excessive humidity, or proximity to heating or cooling sources. Temperature and relative humidity levels should be monitored on a daily basis. Levels are controlled to minimize short-term fluctuations and to avoid harmful extremes. Conditions should comply with museum standards and the NPS *Museum Handbook*, Part I.

3. If these conditions cannot be met, the lending park must be advised in writing. The amended conditions should be attached to the loan agreement and noted in the additional conditions on the face of the attached agreement prior to the completion of the agreement.

PACKING AND SHIPPING

1. Packing and transportation must be by safe methods designated and approved in advance by the Lender and noted on the attached agreement. Borrower must comply with shipping and packing instructions provided by the Lender.

2. Lender will pack the loaned items and will provide packing materials for the loan. If required by the terms of the agreement, the Borrower will pay for packing materials.

3. Unpacking and repacking must be done by experienced personnel under competent supervision. The loan must be repacked in the same manner as received and with the same packing materials, if possible, unless otherwise mutually agreed upon by Lender and Borrower. All packing materials should be stored, if possible, during the loan period in a place fully conditioned to the same temperature and relative humidity as those under which the loan itself is stored or displayed. All packing materials that are to be reused must be protected from contamination by insects, mold, dust, airborne pollutants, and other sources.

ACCESS

1. Access to loaned items by individuals for purposes other than those identified on the attached agreement must receive prior approval by the Lender and must be supervised by the Borrower. Borrower agrees to provide access to loaned items only when all other options, such as photographs or reproductions, have been exhausted. Use of loaned items must be restricted to a supervised area. Researchers will be subject to the Lender's current user rules and restrictions. Borrower will be responsible for any misconduct by persons "using" loaned items.

2. Borrower must provide access to Lender's staff or representatives during regular hours of operations for the purposes of inspections, inventory, repacking, research and condition reporting.

3. Borrower is subject to NPS annual inventory procedures as noted in the NPS *Museum Handbook*, Part II. Either the Borrower will confirm Lender's inventory or will provide access to the Lender to conduct an inventory, as noted in the special conditions on the agreement.

REPOSITORY LOANS

1. Loans for storage and collections management ("repository" loans) may not exceed 20 years, renewable.

2. Items loaned to a repository for the purposes of collections management and/or storage will be cataloged according to the NPS *Museum Handbook*, Part II, and in accordance with requirements established by the lending park. Copies of all catalog records and electronic data will be sent to the lending park by the borrowing repository.

3. The Borrower will either respond to the Lender's requests for information about loaned items for the purposes of completing an annual inventory, or, if approved in advance by the Lender, include the loaned items in the Borrower's annual inventory of its collections and report on the results of the inventory to the Lender. Borrower's inventory must be equivalent to the inventory required by NPS *Director's Order #24.*

4. Unless specifically exempted in this Agreement, the Borrower will complete a Collections Management Report and the Checklist for Preservation and Protection of Museum collections as specified in NPS *Director's Order #24*.

5. Repository loans must remain at the designated repository until they are requested by the lending park or until such time as the repository is unable to care for the loan in accordance with the loan stipulations. The loan may be terminated by either party, by giving 3 months notice, or within 30 days if the lending park determines the loan stipulations are not being met. Should the Borrower be unable to continue care for the loaned items, the items must be returned to the lending NPS park or another designated repository approved by the Lender.

6. The conditions specific to repository loans take precedence when in conflict with other conditions in this Agreement. Otherwise, all conditions apply to repository loans.

EXTENSION AND RECALL

1. Any extensions of the loan period must be requested by the Borrower. The Lender will prepare extension documents to be completed and signed by the Borrower and received by the Lender at least 30 calendar days prior to the original loan expiration date shown on the attached agreement. All additional insurance will be extended by the Borrower and proof of insurance will be provided to the Lender by a copy of the certificate of insurance naming the NPS Lender as an additional insured and dated with the new termination date of the loan.

2. The Lender reserves the right to inspect or audit the loaned items at any time. Should the Lender desire to recall any of the loaned items for its own purposes, it may do so by giving at least 30 days notice to the Borrower. Loaned items may be withdrawn by the Lender without prior written notice to the Borrower if it is determined that they are receiving improper care.

3. Borrower agrees to give at least 30 days written notice to the Lender if electing to cancel this loan prior to the term of this loan agreement.

NPS Form 10-127a
January 2006

Figure 5.4b. Conditions for Outgoing Loans (Continued) (Form 10-127a)

US Department of the Interior
National Park Service

Page ____ of ____

LIST OF OBJECTS

Park Acronym _____ Number _____

CATALOG NUMBER	ACCESSION NUMBER	ITEM COUNT OR QUANTITY	OBJECT NAME	DESCRIPTION AND CONDITION	VALUE	COMMENT

NPS Form 10-417
July 1995

Figure 5.5. List of Objects (Form 10-417) [Optional]

US Department of the Interior
National Park Service

Object Condition Report

DOCUMENTATION:

Catalog Number:
Object Name:
Component Parts (list):
Photograph Numbers:

Accession Number:
Item Count:
Outgoing Loan Number:

CONDITION:
Describe structural and surface condition (e.g. tears, losses, cracks, chips, holes, foxing, abrasion, scratches, tape residues, mold, buckling, discoloration, stains, flakes, patina), and any other conditions, and note location:

CONDITION DESCRIBED BY:

Name (Please print) | Title (Please print)

Signature | Date

CONDITION ON RETURN OF OBJECT: ☐ Same as above ☐ Other (describe):

CONDITION DESCRIBED BY:

Name (Please print) | Title (Please print)

Signature | Date

NPS Form 10-637
July 1995

Figure 5.6. Object Condition Report (Form 10-637) [Optional]

Outgoing Loan Number _____ Termination Date _____

Park Name _____

OUTGOING LOAN FOLDER COVER SHEET

INSTRUCTIONS: This Outgoing Loan Folder Cover Sheet may be used whenever a park lends museum collections to other parks, repositories, or non-NPS institutions. Insert this in the outgoing loan folder.

A. TYPE OF LOAN

B. BORROWER

C. PURPOSE

Initiation Date _____

Termination Date _____

Extension Date _____

D. OUTGOING LOAN AGREEMENT DOCUMENTATION IN THIS FOLDER

- ☐ Outgoing Loan Agreement and List of Objects
- ☐ Correspondence relating to outgoing loan
- ☐ Insurance documents
- ☐ Shipping documents
- ☐ Packing documents
- ☐ Conservation records
- ☐ Restriction records relating to outgoing loan
- ☐ Photographs
- ☐ Facility Report
- ☐ Other (Specify):
- ☐ Loan extension request and documents

E. RETURN OF OUTGOING LOAN

☐ Loan Returned

Partial (date):

Complete (date):

☐ Comments

NPS Form 10-640 Rev. February 1998

Figure 5.7. Outgoing Loan Folder Cover Sheet (Form 10-640) [Optional]

US Department of the Interior
National Park Service

Outgoing Loan Extension

Outgoing Loan No.

NPS Unit (Lender):
(Street/Box) Telephone:

(City/State/Zip) Fax Number:

BORROWING INSTITUTION (Borrower):

(Department)
(Street/Box) Telephone:

(City, State, Zip, Country) Fax Number:
Responsible Official (Borrower): Title:

LOAN DATES:
Original initiation date of loan agreement:
Original termination date of loan agreement:
Length of extension requested:

OBJECTS IN LOAN:

EXTENSION REQUEST:
Borrower requests permission to extend the duration of the Outgoing Loan Agreement.

Extension Requested by: _____
Signature of Responsible Official (Borrowing Institution) Date

EXTENSION APPROVED OR DENIED:
Length of Extension granted: Extended termination date:

Extension granted by: _____
Signature of Superintendent (Lending NPS Unit) Date

☐ Extension not granted. Provide explanation:

PREVIOUS EXTENSIONS AND COMMENTS:
Previous Extensions:
Additional Conditions/Comments:

NPS Form 10-641
Feb 1998

Figure 5.8. Outgoing Loan Extension (Form 10-641) [Optional]

NPS Form 10-641
July 1995

Chapter 6: Deaccessioning

Page

A. Overview 6:1
What is deaccessioning? 6:1
Who must follow this chapter? 6:1

B. General Information on Deaccessions 6:1
What is the best deaccession policy? 6:1
What laws grant deaccessioning authority to the NPS? 6:1
What types of deaccessions are permitted? 6:2
What does the term "conveyance" mean? 6:3
Who determines which objects to deaccession? 6:3
Must I convert previous deaccessions to the new system in this chapter? 6:3
Where do I get the forms for deaccessioning? 6:3
Must I follow these procedures to deaccession all types of museum material? 6:3

C. Special Considerations for Deaccessions 6:3
May I deaccession hazardous objects or substances in a museum collection? 6:3
Should the park tell a donor about a deaccession? 6:4
Must I catalog objects before deaccessioning them? 6:4
What are some things to consider before deaccessioning museum objects? 6:4
May I reuse accession or catalog numbers from deaccessioned objects? 6:4
What can I do about non-museum property that has been accessioned into the museum collection by mistake? 6:5
May I accession objects expressly to use them in an exchange? 6:6
Do I deaccession nitrate negatives that have been reformatted? 6:6

D. Processing Deaccessions 6:7
Deaccession Requests 6:7
Consultation with the Regional/SO Curator 6:7
Deaccession Package 6:7
Collections Advisory Committee 6:8
Collections Advisory Committee Members 6:8
Collections Advisory Committee Procedures 6:9
Approval or Disapproval 6:10

E. Documenting Deaccessions 6:10
ANCS+ Deaccessions Associated Module 6:10
Catalog Data 6:11
Photographs 6:11
Justification 6:11
Informal Appraisals 6:11
Formal Appraisals 6:12
Appraisers 6:13
Deaccession Form 6:13
List of Objects 6:14
Legal Disposition Document 6:14

F. Tracking Deaccessions 6:15
Filing Disapproved Deaccession Documentation 6:15
Deaccession Number 6:15
Filing Approved Deaccession Documentation 6:15
Deaccession Book or Log System 6:16
Updating the Museum Records 6:17

G. Packing and Shipping Deaccessions 6:17
Packing 6:17

Shipping 6:18
Receipt for Property 6:18

H. Return to Rightful Owner (See Flow Chart Figure 6.1) 6:18
When would I return objects to the rightful owner? 6:18
What are the procedures for returning objects to the rightful owner? 6:18

I. Loss, Theft, Involuntary Destruction, Voluntary Destruction/Abandonment (See Flow Chart Figure 6.2) 6:19
What is loss, theft, or involuntary destruction? 6:19
What is voluntary destruction or abandonment? 6:19
What should I do when I discover a loss? 6:19
Where can I find Board of Survey Procedures? 6:20
Can the Board of Survey disapprove a deaccession? 6:20
What do I do with approved Board of Survey actions? 6:20
What if an object is recovered after being deaccessioned? 6:20
How do I update the museum records for recovered objects? 6:20
When can I use voluntary destruction or abandonment to deaccession an object? 6:21
Does the collections advisory committee review deaccessions that involve voluntary destruction or abandonment? 6:21
Are there special procedures for deaccessioning hazardous materials? 6:22
Are there special procedures for deaccessioning by abandonment? 6:22

J. Outside Scope of Collection (See Flow Charts Figures 6.3 and 6.4) 6:22
What types of objects are outside the park's Scope of Collections Statement (SOCS)? 6:22
How can I deaccession objects that are outside my park's SOCS? 6:23
Can I deaccession archeology collections as outside the park's SOCS? 6:23
May I deaccession archeological collections that include NAGPRA material? 6:23
May I deaccession archeology collections from land that has been deauthorized? 6:23
Can I deaccession natural history collections as outside the park's SOCS? 6:23
May I deaccession natural history collections from land that has been deauthorized? 6:24
What do I need to know about title and restriction verifications? 6:24
What is a transfer? 6:24
What is an exchange? 6:24
What is a conveyance (donation)? 6:25

K. Outside SOCS Requirements 6:25
What are the special requirements for deaccessions outside the park's SOCS? 6:25
What is the order of preference for deaccessioning objects that are outside a park's SOCS? 6:25
Why is there an order of preference for deaccessions? 6:26
What if there is more than one potential recipient? 6:26
How do I evaluate a potential recipient's qualifications? 6:26
Can a park ever deaccession objects out of the order of preference? 6:26
How do I determine whether other parks need the objects? 6:26
When must I publicly advertise a deaccession? 6:27
Where must I place the public notice? 6:27
What must I include in the public notice? 6:27
What happens after the notice has been on the WWW for forty-five days? 6:28

L. Outside SOCS Procedures 6:28
How do I find non-NPS recipients? 6:28
How do I document a transfer? 6:29
What are some special considerations for exchanges? 6:29
Can an exchange be unequal in monetary value? 6:29
How do I document an exchange? 6:30
What documents do I attach to the exchange agreement? 6:30
When do I post a World Wide Web notice of intent to exchange? 6:30
How do I document a conveyance (donation)? 6:30

When do I post a World Wide Web notice of intent to convey (donate)? 6:30
When can I use voluntary destruction or abandonment to deaccession museum objects?..... 6:31
What are some special considerations for voluntary destruction or abandonment? 6:31
How do I document voluntary destruction or abandonment? 6:31

M. Destructive Analysis 6:32
When do I deaccession objects under the destructive analysis category? 6:32
Who approves destructive analysis? 6:32
How do I document destructive analysis? 6:32
Where can I find information on destructive analysis? 6:32

N. Native American Graves Protection and Repatriation Act (See Flow Chart Figure 6.5) 6:32
What types of items are subject to NAGPRA? 6:32
Who can request repatriation? 6:33
How do I respond to requests for summary items? 6:33
How do I respond to requests for inventory items? 6:33
Who does the regional/SO curator consult about repatriations? 6:34
What do I include in the deaccession package? 6:34
What does the superintendent do with the deaccession package? 6:34
What happens to disapproved requests? 6:35
What happens to approved requests? 6:35
What is the Federal Register notice? 6:35
Are there time limits for responding to a repatriation request? 6:36
What documentation should I give to the recipient? 6:36

O. NPS Clearinghouse Services 6:37
Can the NPS Clearinghouse help parks with deaccessions? 6:37
How does the NPS Clearinghouse advertise objects for deaccession? 6:37
How do I send information to the Clearinghouse newsletter? 6:37
May I post information about potential deaccessions on the Curatorial Bulletin Board? 6:37
How do I publish notices on the Clearinghouse World Wide Web listing? 6:38

P. List of Figures 6:38

BASIC REQUIREMENTS FOR NPS DEACCESSIONS

Deaccession museum collections only under the following categories using the appropriate disposition documents that appear after each category.

- return to rightful owner (other than return of an incoming loan) – letter and Receipt for Property
- loss, theft, damage or involuntary destruction – Report of Survey
- voluntary destruction/abandonment – Report of Survey, Witness Statement
- outside Scope of Collection by transfer, exchange, conveyance (donation) or voluntary destruction/abandonment – Transfer of Property, Exchange Agreement, Conveyance (Donation) Agreement, Report of Survey
- destructive analysis – Memorandum of request
- NAGPRA compliance – Repatriation Agreement

Read the appropriate section of this chapter for the type of deaccession you are documenting. There are special requirements that you should be aware of for each deaccession type.

Get formal appraisals for all exchanges outside the DOI.

Place a 45-day public notice on the World Wide Web at <http://www.cr.nps.gov/csd>for all exchanges outside the federal government and all conveyances (donations).

Catalog all objects into ANCS+ before deaccessioning them.

Enter all deaccessions into ANCS+. Print the deaccession forms from ANCS+.

Complete a Deaccession Form (Form 10-643) for all deaccessions. Prepare a deaccession package for each deaccession. Include a justification for the deaccession, catalog records, a legal disposition document, and other documentation related to the deaccession.

A collections advisory committee must review all deaccessions outside the DOI and all deaccessions involving voluntary destruction or abandonment.

The superintendent must approve all deaccessions and sign all disposition documents.

Assign a deaccession number to each deaccession transaction.

Track deaccessions in the accession book or an optional deaccession book.

Store deaccession records in the accession folder or an optional deaccession folder.

Don't delete accession and catalog records for deaccessioned objects. Don't reuse these numbers.

CHAPTER 6: DEACCESSIONING

A. *Overview*

1. *What is deaccessioning?*

Deaccessioning is the process of permanently removing National Park Service (NPS) museum collections from a NPS unit's ownership (title) and custody. It should be a rare action. This chapter discusses the types of deaccessions that the NPS permits and explains NPS deaccessioning procedures.

2. *Who must follow this chapter?*

The staff person responsible for a NPS museum collection must follow this chapter to deaccession museum objects. These procedures ensure that NPS deaccession actions:

- meet the highest professional, legal, and ethical standards for accountability of museum collections
- withstand close public scrutiny
- maintain the public's trust
- protect park personnel or their relatives from allegations of unethical conduct, partiality, or conflict of interest

Procedures for returning incoming loans are excluded from this chapter. Refer to Chapter 2, Accessioning, in this handbook for procedures on the return of incoming loans.

B. General Information on Deaccessions

1. *What is the best deaccession policy?*

The best *deaccession* policy is a good *accession* policy. NPS museum procedures require you to accession only objects that are appropriate to the park's scope of collection. Refer to the NPS *Museum Handbook,* Part I (*MH-I*), Chapter 2, Scope of Museum Collections, for guidance on writing a Scope of Collection Statement (SOCS). By setting up a good accession policy, you can avoid lengthy or potentially questionable deaccessions.

2. *What laws grant deaccessioning authority to the NPS?*

Two laws specifically authorize NPS deaccessions:

- Museum Act of 1955, P.L. 84-127, 69 Stat. 242 (codified as amended at 16 U.S.C. §§ 18f to 18f-3 [Supp.1997]).
- Native American Graves Protection and Repatriation Act (NAGPRA), P.L. 101-601 (1990), (codified at 25 U.S.C. §§ 3001-3013 [Supp. 1997]).

Note: Refer to Appendix A in this handbook for the Museum Act of 1955, as amended.

3. *What types of deaccessions are permitted?*

The NPS is authorized by law to deaccession museum collections under these categories:

- return to rightful owner (other than return of an incoming loan)
- loss, theft, damage or involuntary destruction
- voluntary destruction/abandonment
- outside Scope of Collection by:
  - transfer to other NPS units
  - transfer of museum collections outside a park's SOCS and no longer needed for NPS museum purposes to qualified federal agencies dedicated to the preservation and interpretation of natural or cultural heritage and qualified to manage museum collections, including the Smithsonian Institution
  - exchange by accepting museum objects, museum collections, and other personal properties, and by granting in exchange museum property that is no longer needed or that may be held in duplicate, such exchanges to be made on a basis that is equitable and in the public interest, to:

    other NPS units (two transfers is a simpler method)

    other qualified federal agencies

    non-federal governmental entities

    private institutions and individuals
  - conveyance (donation) of museum collections outside the park's SOCS and no longer needed for NPS museum purposes to:

    private institutions exempt from federal taxation under section 501(c)(3) of the Internal Revenue Code of 1986, dedicated to the preservation and interpretation of natural or cultural heritage, and qualified to manage museum collections

    non-federal governmental entities, providing the recipients are dedicated to the preservation and interpretation of natural or cultural heritage and qualified to manage museum collections
  - voluntary destruction/abandonment of museum collections that have been determined to have no scientific, cultural, historic, educational, esthetic, or monetary value
- destructive analysis
- compliance with NAGPRA

You may deaccession museum collections by transfer, exchange, conveyance (donation), voluntary destruction, or destructive analysis only if the NPS owns the objects (clear title) and there are no restrictions on such an action in the documents transferring title to the NPS.

4. *What does the term "conveyance" mean?*

For NPS purposes, a conveyance is a donation, since the NPS can't receive money for museum objects. You only convey objects to entities outside the federal government.

5. *Who determines which objects to deaccession?*

As the staff person responsible for the museum collection, you must propose all potential deaccessions and recommend action to the superintendent.

The superintendent must set up a collections advisory committee to review all exchanges outside the Department of the Interior (DOI), transfers to non-DOI federal agencies, conveyances (donations), and voluntary destruction/abandonment.

The superintendent approves or disapproves all deaccessions.

Note: In accordance with 41 CFR-101-45.902-2, the regional director, or other authorized reviewing official who is not directly accountable for the property, must approve abandonment.

6. *Must I convert previous deaccessions to the new system in this chapter?*

No. You may convert previous deaccessions to the new system described in this chapter, but conversion is not required.

7. *Where do I get the forms for deaccessioning?*

Use ANCS+ to print blank or completed deaccession forms. Use acid-free paper to print the forms.

Acid-free paper is available from the Supply and Equipment Program of the Museum Management Program (MMP), National Center for Cultural Resources.

8. *Must I follow these procedures to deaccession all types of museum material?*

Yes. The law requires you to treat museum collections "in a careful and deliberate manner that protects the public interest." Refer to Section C.6 for information on removing non-museum property from the collection.

Refer to Section IV of Chapter 4 in this handbook for information on deaccessioning reproductions.

C. Special Considerations for Deaccessions

1. *May I deaccession hazardous objects or substances in a museum collection?*

Yes. Refer to the *MH-I*, Chapter 11, Curatorial Health and Safety Issues, Section D, for procedures on hazards in the collection. Follow the Report of Survey procedures in Section I of this chapter to deaccession these materials.

Nitrate negatives in Stages 3-5 of deterioration are hazardous materials. Deaccession them and dispose of them as an immediate threat through your hazardous materials coordinator. Refer to the MH-I, Appendix M: Nitrate and Cellulose Ester Film, for information on nitrate negatives.

2. *Should the park tell a donor about a deaccession?*

Although not legally required, it is a good practice to tell the source of accession (donor) or known heirs before starting a deaccession action. Because of potential tax liabilities defined by the Internal Revenue Service, you should not accession museum objects with the intent to deaccession them later.

Refer to Section C.7 of this chapter for information on tax liabilities.

3. *Must I catalog objects before deaccessioning them?*

Yes. You must catalog all objects proposed for deaccessioning. You must enter pre-Automated National Catalog System (ANCS+) manual catalog records into ANCS+ before deaccessioning them. Complete the registration data for objects that you deaccession due to loss, theft, or involuntary destruction (unless full catalog information is available).

4. *What are some things to consider before deaccessioning museum objects?*

Deaccession actions must:

- be consistent with relevant laws, and with current DOI and NPS policies
- consider the need to safeguard the federal government against loss of the scientific, associational, evidential, artifactual, informational and/or monetary value represented by the objects
- avoid real or apparent conflict of interest. Refer to 5 CFR 2635 and the related supplement, "Employee Responsibilities and Conduct" (43 CFR Part 20). Refer to the most current codes of ethics for curators and registrars published by the American Association of Museums.
- be supported by the catalog data and written justification

Deaccession actions should:

- keep the objects in public ownership whenever possible
- take into consideration any community requests for objects to stay in the museum, city or area, such as a local museum
- avoid the perception that the museum is deaccessioning objects in exchange for objects of lesser importance
- avoid the perception that the action is being made in accordance with current fads or fashions (for example, furniture of a certain period is no longer in high demand and so is deaccessioned)
- preserve the integrity of systematic collections

NPS employees and their relatives must not:

- acquire deaccessioned museum collections (or financial interest therein)
- appear to benefit personally in any way from a deaccession action and subsequent disposition

5. *May I reuse accession or catalog numbers from deaccessioned objects?*

No. Never reuse accession or catalog numbers from deaccessions. These numbers are permanently assigned to the objects in the deaccession.

6. *What can I do about non-museum property that has been accessioned into the museum collection by mistake?*

You must evaluate mistaken accessions on a case by case basis. Errors do occur, but you must correct them as appropriate to the circumstances. Seek the professional, written opinion of the members of the collections advisory committee. See Sections D.4 – D.6.

The mistakenly accessioned property must not fit the definition of museum property as defined in the glossary of the Cultural Resource Management Guideline.

Some examples of mistakenly accessioned non-museum property may include exhibit cases, exhibit mounts, and library books (except historic books such as those in Frederick Douglass's library).

Don't use the formal deaccessioning procedures in this chapter to deaccession non-museum property that has been accessioned in error. You don't need to catalog this material. Instead, use the following procedures:

- recommend the deaccession to the superintendent with a written justification that includes the documented opinions of the members of the collections advisory committee
- have the superintendent sign a document authorizing the transaction

For example, if you recommend transferring exhibit cases to the facility manager, the superintendent signs a transfer of property.

Document the action as follows in order to "close the books" on the mistaken accession:

- place a memo explaining the action and supporting opinions in the accession file and catalog folder, if one exists
- write "Accessioned in Error" in the remarks column of the accession book and sign and date the entry (as appropriate, enter catalog numbers)
- change the object status on the catalog record in ANCS+ to "Removed Non-Museum Property"
- note the mistake in the description field and the disposition in the location field on the catalog record, if a catalog record exists

Don't reuse the accession or catalog numbers.

7. *May I accession objects expressly to use them in an exchange?*

No. The NPS items used in an exchange must be outside the SOCS. A park may not acquire objects outside the SOCS. In addition, acquiring objects to use in an exchange gives the impression that the park is dealing in collections. There are also potential tax liabilities in doing this with donations.

Tax liabilities may relate to the:

- use to which a gift was put
- donor's intent in making the gift and knowledge about its use

If the park...	***Then...***
deaccessions donated objects within two years of the donation	the park must report the transaction to the Internal Revenue Service along with the donor's tax identification number on Form 8282, Donee Information Return
deaccessions donated objects more than two years after the donation	the donor still may be subject to penalties, but the park doesn't report the action to the Internal Revenue Service

With the superintendent's approval, a third party, such as the park's cooperating association, could assist the park with acquiring objects. For example, the association could acquire an object and exchange it for an object that the park wants. The association could then donate the object it acquired through the exchange to the park.

Note: The tax liabilities described above also apply to third party transactions.

8. *Do I deaccession nitrate negatives that have been reformatted?*

No. Don't deaccession nitrate negatives that have been reformatted.

You can destroy nitrate negatives at Stages 1-2 of deterioration if:

- the negatives have only informational or administrative value, *and*
- you have a high quality copy that has been inspected to current standards

Destruction of reformatted nitrate negatives is not a deaccession. Although you are destroying the negative, you still have the image, which will have the same accession and catalog number as the negative.

Refer to the *MH-I,* Appendix M, for information on nitrate negatives.

D. Processing Deaccessions

1. *Deaccession Requests*

You are responsible for processing deaccessions. The deaccession procedures outlined in this section are the same for all types of deaccessions. Actions specific to each deaccession type appear in Sections H-N.

You receive requests to deaccession items in the case of:

- return to rightful owner
- destructive analysis
- repatriation (NAGPRA)

You begin the deaccession process in the case of:

- loss, theft, damage or involuntary destruction
- objects outside the Scope of Collection Statement
- voluntary destruction/abandonment

2. *Consultation with the Regional/SO Curator*

Consultation with the regional/support office (SO) curator is recommended, but not required, for all deaccessions.

The regional/SO curator may consult with appropriate discipline specialists and recommend actions to you regarding the deaccession.

You should consult with the regional/SO curator about all NAGPRA requests.

3. *Deaccession Package*

For each proposed deaccession, prepare a deaccession package that includes all the documentation described in Section E. Prepare one deaccession package for each deaccession type and recipient. The package includes the following documentation:

- Deaccession Form, Form 10-643 (Figure 6.6)
- List of Objects, Form 10-417 (Figure 6.7) or equivalent
- justification for the deaccession (including documentation that the objects have been advertised throughout the NPS, if required)
- justification for disposition out of the order of preference (see Section K.2), if applicable
- catalog records and photographs
- appraisals (if required)
- legal disposition document

ANCS+ will print the deaccession form, list of objects, catalog records, and most disposition documents.

Forward the package to the superintendent for approval or disapproval (see Section C.7). The superintendent will forward the package to the collections advisory committee (see Sections C.4-C.6) for review. Some deaccessions require the committee's review, but the superintendent may choose to use the committee for all deaccessions.

4. *Collections Advisory Committee*

The superintendent must set up a collections advisory committee to review all deaccessions involving:

- transfer to another federal agency outside the DOI including the Smithsonian Institution
- conveyance (donation) to a private institution or non-federal governmental entity, as defined in section B.3
- exchange outside DOI (excluding exchange of natural history specimens)
- voluntary destruction/abandonment of museum objects

Note: The superintendent also may use the members of the collections advisory committee to review potential acquisitions. The committee may review other issues related to the museum collection, such as consumptive use requests.

The collections advisory committee reviews the appropriateness of the deaccession and its disposition. The law requires a systematic review that meets the highest standards of the museum profession. More importantly, a review committee composed of impartial and disinterested individuals provides for checks and balances. It protects the superintendent and park staff from possible accusations of partiality, self-dealing, or vested interest.

5. *Collections Advisory Committee Members*

The committee must include at least two members. One member must be a curator at or above the GS-11 level. The other members of the committee may not be under the supervision of the curator. If the park doesn't have a curator at or above the GS-11 level, the park must appoint a curator from another park or the support office.

Note: The members of the committee must be federal employees due to Federal Advisory Committee Act (FACA) considerations (41 CFR §§ 101-6.1004). On a case by case basis, the superintendent can request a non-federal specialist to review a deaccession transaction. The superintendent may ask the specialist to record his or her comments and recommendations on a specialist review form (Fig. 6:15), but the non-federal specialist cannot serve on the committee.

There is no maximum number of members for the committee. A committee

of three to five members is recommended. Possible sources for members are staff from the park, regional or support office, NPS cultural preservation and archeological centers, Denver Service Center, Harpers Ferry Center, other parks, and other government agencies. It is advisable to have one or more members from outside the park. Committee members should be chosen from the following list of specialists:

curator (a minimum of one at GS-11 or above)
archeologist
archives technician
archivist
biologist
conservator
cultural resource specialist
ethnographer
geologist
historical architect
historical landscape architect
historian
interpreter
museum specialist
museum technician
natural resource specialist
paleontologist

Note: Some parks may choose to use the members from their Section 106 (National Historic Preservation Act) review committee for the collections advisory committee.

The person responsible for the museum collection advises the superintendent as to which members of the committee should review a particular deaccession. A minimum of two members must review and make recommendations on a deaccession. The superintendent notifies committee members who are to review a particular deaccession and appoints a lead committee member. Committee members may consult with subject matter specialists who are not on the committee regarding specific actions.

6. *Collections Advisory Committee Procedures*

The collections advisory committee meets at regular intervals, or as needed. If all the committee members are not at the same location, meetings can be by phone or videoconference.

The committee operates under a documented set of procedures to make sure that all decisions are fair, open, and in the best interests of the public. Each committee member must record his or her comments and document any consultations with other specialists. See Figures 6.14 and 6.15 for a sample set of procedures and a review form.

Committee members may recommend for or against deaccession of all the objects. They may also recommend against deaccession of individual objects, while agreeing with the remainder of the proposal. The lead committee member attaches the comments of the committee members, and any non-federal specialists consulted during the review, to the deaccession package. The committee then returns the package to the superintendent.

7. *Approval or Disapproval*

The superintendent reviews the deaccession package and approves or disapproves the deaccession and disposition.

If the superintendent...	*Then...*
approves the deaccession	he or she signs the deaccession form and disposition action
approves or disapproves a deaccession contrary to one or more of the collections advisory committee member's recommendations	he or she must attach an explanation to the deaccession form
disapproves the deaccession	the action stops

The superintendent may approve exchanges outside the federal government and conveyances (donations) but must inform the intended recipient of the 45 day public notice requirement. See Section K.8-K.11.

The superintendent may disapprove deaccessioning individual objects within the package while approving the remaining objects for deaccession. You can remove the disapproved objects from a partially approved package and return the package to the superintendent for approval. You may resubmit a disapproved package when you have addressed the reasons for disapproval.

Note: The regional director, or other authorized reviewing official who is not directly accountable for the property, must approve abandonment. See 41 CFR-101-45.902-2.

E. Documenting Deaccessions

You are responsible for documenting all deaccessions following the procedures in this section. Documentation must be clear, adequately cross-referenced, and permanently maintained by the park. The deaccession documentation in this section is the same for all types of deaccessions. Documentation specific to each deaccession type appears in Sections H-N. Include this documentation in the deaccession package.

1. *ANCS+ Deaccessions Associated Module*

The Deaccessions associated module in ANCS+ allows you to document and track deaccessions. When you complete the appropriate fields in the program, the program completes and prints all the deaccession forms for you. It also updates the Object Status and Location fields on the catalog records for the deaccessioned objects. Refer to Section VII of Chapter 4 in the *ANCS+ User Manual.* Use of this module is essential for keeping your annual Collections Management Report (CMR) accurate.

2. *Catalog Data*

Catalog all objects proposed for deaccessioning. You must enter pre-ANCS, manual catalog records into ANCS+. Complete both registration and catalog data fields on the Museum Catalog Record (Form 10-254). Complete the registration data for objects that have been lost, stolen, or involuntarily destroyed unless full catalog data are available. Catalog data support the proposed deaccession action and aid in the disposition of the objects. Documentation on the museum catalog record must demonstrate:

- what the object is
- the intrinsic, cultural, and scientific significance of the object
- the monetary value of the object (if the object has no monetary value, list it as $00.00)

Refer to Sections E.5 and E.6 for information on appraisals.

You must keep catalog records for deaccessioned objects in your ANCS+ database. Don't delete these records. They are part of the paper trail for the deaccession.

3. *Photographs*

Where possible, photograph the object before completing the deaccession transaction. Keep the photograph as part of the permanent record for the object.

Photograph NAGPRA items that are determined to be culturally affiliated in consultation with the receiving party.

4. *Justification*

Concisely, justify in writing each deaccession transaction. The justification must clearly outline the details in support of the proposed action. The written justification for NAGPRA deaccessions must reference the data used to determine the NAGPRA categories.

The written justification for objects leaving the NPS must include documentation to show that:

- the park has advertised the objects throughout the NPS
- no other NPS sites are in need of the objects (or why the park denied NPS requests for the objects)

Note: The law states that you may deaccession objects to non-NPS recipients if the objects are no longer needed for NPS museum purposes. Advertising throughout the NPS is necessary to make sure that other parks don't need the objects for museum purposes.

If you propose a deaccession that is out of the order of preference, you must have a written jusitification. See Section K.2 for order of preference.

5. *Informal Appraisals*

Museum collections have scientific, associational, evidential, artifactual, informational and/or monetary value. You or outside specialists determine scientific and intrinsic value by examining the object and its documentation. You also must consider the object's association with the total collection. You may make an informal estimate of the monetary value of each NPS

object to be deaccessioned, as appropriate. This may be done by referencing:

- current values on the catalog record
- purchase price or appraisals made at the time of acquisition
- prices of similar objects paid at auctions, or recorded as paid in catalogs, trade journals, and similar publications

Enter the current value on the museum catalog record. Include the value of each object on the list of objects to be deaccessioned, if appropriate.

6. *Formal Appraisals*

The NPS requires formal appraisals only for exchanges outside the federal government. Get a minimum of one formal, written appraisal (sometimes referred to as "an arms-length appraisal") for objects below $20,000 in value. Get two appraisals for objects over $20,000 in value. You are required to get appraisals for the objects you deaccession as well as those you acquire through an exchange.

Appraisals are recommended, but not required, for:

- transfers to non-DOI federal agencies, including the Smithsonian Institution
- conveyances (donations) to private institutions and non-federal governmental entities, as defined in Section B.3

Use prudent and conservative judgement in deciding whether to appraise objects before deaccessioning. Appraisals are appropriate to all collections for which there is a market. Appraisals are less likely to be needed for certain scientific collections, such as botanical specimens. However, some scientific collections, such as geological and paleontological collections, have a well-established market.

Appraisals are a necessary and accepted museum practice to:

- make sure that the deaccession is credible
- make sure that an exchange is equitable
- maintain the public trust
- avoid any value-related conflict of interest or appearance of conflict of interest

Generally, the NPS unit pays the costs for appraisals.

Enter the current appraisal value on the museum catalog record. Enter the value on the list of objects to be deaccessioned.

A formal appraisal is generally not required for the exchange of natural history specimens. For certain specimens, such as paleontology specimens, an appraisal may be appropriate. Consult the regional/SO curator before exchanging natural history specimens.

7. *Appraisers*

In order to acquire the services of a qualified appraiser, refer to Section IX in Chapter 4 of this handbook. Get lists of appraisers from the regional/SO curator, the NPS Clearinghouse, or curators/archivists of similar collections. Chapter 4 in this handbook has contact information for the American Society of Appraisers.

File copies of appraisals in the appropriate accession folder(s) or the optional deaccession folder.

A qualified appraiser must complete all appraisals.

The appraiser must:

- justify the appraisal in writing and sign the statement
- determine the value objectively
- state in writing that he or she will not acquire title to or interest in, and has no immediate interest in, any of the appraised objects
- avoid any conflict of interest or appearance of conflict of interest. For example, an appraisal by the curator of the collection would have an appearance of conflict of interest. An appraisal by the support office curator involved in the deaccession might have an appearance of conflict of interest.
- have no vested interest in the outcome of the appraisal

8. *Deaccession Form*

You must complete a Deaccession Form, Form 10-643 (Figure 6.6) for each deaccession transaction. The deaccession form includes the following:

- the type of deaccession and disposition
- a detailed list of objects in the deaccession
- a list of attachments to the form
- a brief summary of the deaccession
- your recommendation and signature
- the collections advisory committee's recommendation, if appropriate
- the superintendent's approval and signature

The superintendent must sign the deaccession form showing approval of the deaccession and disposition type.

9. *List of Objects*

For deaccessions involving several objects, attach a List of Objects, Form 10-417 (Figure 6.7) to the deaccession form. You may create a park-specific list to use in place of the List of Objects, Form 10-417. The list, which serves as an inventory of objects in the deaccession, must include:

- catalog number
- accession number
- item count or quantity
- object name
- brief description and condition
- value (if appropriate)
- space for comment

10. *Legal Disposition Document*

The legal disposition document conveys control (possession and title) of a museum object. It must accompany the deaccession form. Disposition documents vary depending upon the type of deaccession transaction. A list of appropriate disposition documents for each deaccession type appears below.

Deaccession Type	***Disposition Document***
Return to Rightful Owner	Receipt for Property
Loss/Theft/Damage Involuntary Destruction	Report of Survey
Voluntary Destruction/ Abandonment	Report of Survey Witness Statement
Outside Scope of Collection	Exchange Agreement *or* Transfer of Property *or* Conveyance (Donation) Agreement
Destructive Analysis	Memorandum of request to superintendent
NAGPRA Compliance	Repatriation Agreement

The superintendent must sign the deaccession form and the appropriate disposition documents. The recipient must sign the receipt for property, exchange agreement, transfer of property, conveyance (donation) agreement, or repatriation agreement.

You should recommend a specific disposition for the object when preparing the deaccession package. However, the superintendent may approve objects for deaccession before a specific disposition has been determined. You must then get separate approval for the disposition.

F. Tracking Deaccessions

You must track all deaccessions following the procedures in this section.

The tracking information outlined in this section is the same for all types of deaccessions.

1. *Filing Disapproved Deaccession Documentation*

File the deaccession package for disapproved deaccessions in the accession folder or in a file folder for deaccession proposals. File disapproved deaccessions by date if placed in a separate file folder. Maintain these files as permanent records.

2. *Deaccession Number*

Give each approved deaccession a number. A deaccession number has two parts separated by a decimal point:

- D (for deaccession)
- deaccession transaction number (sequential transaction number, such as 3 for the third deaccession transaction)

For example, "D.3" means the third deaccession transaction.

Put the deaccession number in the upper right corner of all documents that relate to the deaccession.

Enter the deaccession number in the remarks column of the accession book. The number is a cross-reference to the deaccession package that you filed in the accession or deaccession folder.

3. *Filing Approved Deaccession Documentation*

Permanently maintain the original paperwork for each approved deaccession at the park. This paperwork documents the history of the deaccessioned objects.

File the deaccession package and all associated documentation in the accession folder or an **optional** deaccession folder, described below. Whatever folder you choose, use it consistently. If you anticipate a large number of deaccessions (more than 10 deaccession transactions), use of the optional deaccession folder is recommended. Refer to *MH-II*, Chapter 2 in this handbook for information on the accession folder.

Accession Folder

- File all original paperwork in the accession folder.
- If the deaccession involves multiple accessions, file the original

paperwork in the accession folder of the lowest accession number.

- File archival copies of the deaccession form and disposition document in each subsequent accession folder.

Deaccession Folder (optional)

- Store all original documents associated with the specific deaccession transaction in the folder. Mark the deaccession number in the upper left corner of the folder. Use permanent black ink.

- Insert the optional Deaccession Folder Cover Sheet, Form 10-644 (Figure 6.8).

- File the folder by deaccession number.

- Store the folder in a separate, marked section of your accession filing cabinet.

Note: If you use the deaccession folder, you may also want to place an archival copy of the deaccession form and disposition document in the accession folder.

4. *Deaccession Book or Log System*

Track deaccessions by using the ANCS+ Deaccessions associated module.

You may also use the **optional** Deaccession Book, Form 10-642 (Figure 6.9) or another form of log system to track deaccessions. The bound deaccession book is a sequential log of all deaccession transactions. Enter the following information for each deaccession:

- deaccession number

- deaccession date (the date the other party signs the disposition document). See Section E.10 for a list of disposition documents.

- brief description of items in the deaccession

- disposition (recipient name and address, for institutions include name of responsible official and department); describe disposition for deaccessions that have no recipient

- deaccession type

- accession and catalog numbers of the items in the deaccession (if there is not enough space, refer to a list in the folder)

- number of items in the deaccession (item count)

- remarks

Procedures for data changes and preservation and storage of the deaccession book are identical to those for the accession book. Refer to *MH-II*, Chapter 2, Accessioning, in this handbook.

Note: You can get deaccession books from the Museum Supply and

Equipment Program.

5. *Updating the Museum Records*

You must update both the electronic and paper accession records and electronic catalog records for all deaccessions.

All catalog records for deaccessioned objects must be in ANCS+.

Accession Records

- Enter the deaccession number in the remarks column of the accession book.
- Note deaccessions in the notes column on the list of objects attached to the accession receiving report.

Catalog Records

- ANCS+ will track the deaccession number automatically and enter "Deaccessioned" in the Location field.
- ANCS+ will enter the appropriate deaccession type in the Object Status field of the catalog record.
- ANCS+ will enter the fiscal year of the deaccession in the Status Year field of the catalog record.
- Change the Controlled Property field on the catalog record to N (no), if needed.
- Send copies of the updated electronic records to the National Catalog along with the annual electronic submission.

Other Documentation

- Note the deaccession on any other pertinent documentation, such as the catalog number log book.

Note: You must report the number of deaccessions for each year on your annual Collections Management Report (CMR).

G. Packing and Shipping Deaccessions

1. *Packing*

You are responsible for packing and shipping all deaccessioned objects.

You must pack all objects securely and adequately to make sure that objects aren't damaged in transit. Use professional packing and shipping companies if you lack the training, facilities, or materials to pack museum objects.

Pack and label containers according to the *MH-I*, Chapter 6, Handling, Packing and Shipping Museum Objects. If non-NPS staff do the packing, oversee the work. Enclose an inventory of objects and a return address in

each container. Include any special instructions for unpacking. Under separate cover send a copy of the inventory.

> ***Before packing, shipping, or delivering NAGPRA items, consult with the receiving tribe or lineal descendant to arrange the return of repatriated items. You are responsible for packing and shipping repatriated items. Pack and ship NAGPRA items following, where possible, the instructions of the receiving tribe or lineal descendant.***

2. *Shipping*

Ship the objects only if you have a signed disposition document (transfer of property, exchange agreement, repatriation agreement, conveyance agreement) from the recipient. It is customary for the receiving party to pay all shipping charges, including insurance, unless otherwise agreed to in writing before shipping. The NPS may pay for shipping repatriated items.

A shipping list is useful to the recipient and the shipping company. Don't put monetary values or historical information on shipping lists. You may use the U.S. postal system for objects that are sturdy and within the specified size limits. Use certified or registered mail with a return receipt requested. Don't use the postal system for fragile or highly valuable objects.

3. *Receipt for Property*

Use a receipt for property, or equivalent, with all deaccessions that involve the physical receipt of objects.

Send a Receipt for Property (DI-105) to the recipient under separate cover. The recipient signs the receipt and returns the original copy to you.

You may use a memo or electronic mail message in place of a receipt for property to acknowledge receipt of objects. The memo must provide all the information that is on the receipt for property. Place an acid-free copy of the message in the appropriate file.

H. Return to Rightful Owner (See Flow Chart Figure 6.1)

Refer to Sections D-G for processing, documenting, tracking, and packing and shipping deaccessions.

1. *When would I return objects to the rightful owner?*

On rare occasions, a park museum collection may have an object acquired from previous holders who were not the legal owners. In other cases, you may not have legal documentation of NPS title. You may receive a request to return the object to the rightful owner(s).

2. *What are the procedures for returning objects to the rightful owner?*

All requests for the return of museum objects must be in writing. You should consult with the regional/SO curator when you receive a request for return of a museum object. Document all conversations and actions taken, and file this information in the appropriate folder.

The justification to return an object must include a solicitor's written opinion or court order. The regional/SO curator can help you contact the region's solicitor. The superintendent must sign the correspondence conveying the object to the rightful owner.

The receiving party and the superintendent sign a Receipt for Property (DI-105) to document receipt by the rightful owner. Keep the original receipt for property and the original copy of the solicitor's opinion or court order. File them in the relevant deaccession or accession folder.

I. Loss, Theft, Involuntary Destruction, Voluntary Destruction/ Abandonment (See Flow Chart Figure 6.2)

Refer to Sections D-F for processing, documenting and tracking deaccessions.

1. *What is loss, theft, or involuntary destruction?*

A deaccession because of loss, theft or involuntary destruction involves "unintentional loss." It is not a purposeful deaccession. Objects in this category are:

- stolen and not recovered within 30 days
- consumed or effectively destroyed by fire, flood, or other disaster
- destroyed by biological or chemical factors
- missing and cannot be located within 30 days after a thorough search

Thoroughly review deaccessions in this category and make changes in collection management practices to prevent similar future occurrences.

2. *What is voluntary destruction or abandonment?*

A deaccession involving voluntary destruction or abandonment is an intentional deaccession. Objects in this category are:

- hazardous materials (refer to *MH-I*, Chapter 11, Curatorial Health and Safety and *Loss Control Management Guideline*), *or*
- involuntarily damaged beyond all treatment and determined to have no scientific, cultural, historic, educational, esthetic, or monetary value

Note: See Section L for information on voluntary destruction/abandonment for objects outside the park's SOCS.

3. *What should I do when I discover a loss?*

Follow the actions outlined in Section III of Chapter 4 in this handbook. A local NPS law enforcement officer will prepare a Case Incident Record (Form 10-343) or equivalent. You must submit a Report of Survey (DI-103) to the superintendent if the object is not found within 30 days.

The report of survey must include:

- a copy of the case incident record or equivalent
- any subsequent reports of investigation
- a photocopy of the catalog record that includes a description of the object
- a photograph of the object, if available

4. *Where can I find Board of Survey Procedures?*

Follow the Report of Survey procedures found in:

- 410 DM, Personal Property Management Regulations
- *Personal Property Management Handbook No. 44*, Section 8

5. *Can the Board of Survey disapprove a deaccession?*

Yes. If the superintendent or the Board of Survey disapproves the Report of Survey, the deaccession action stops. The deaccession documentation remains in the accession file or deaccession proposal file as a permanent record. Disapproval may be due to:

- insufficient verification of loss
- inadequate search
- disagreement as to the degree of damage

You may propose the same objects for deaccession at a later date if you give enough justification.

Note: The superintendent cannot overturn the findings of a Board of Survey. However, in the case of voluntary destruction/abandonment, the superintendent may decide not to send the action to the Board of Survey. The objects then remain in the collection.

6. *What do I do with approved Board of Survey actions?*

You will receive a copy of all reports, findings and recommendations from the Board of Survey. File this documentation in the appropriate accession or deaccession folder and proceed with the deaccession.

7. *What if an object is recovered after being deaccessioned?*

Follow these procedures if a stolen or lost object is later returned to the park's possession:

- Document the circumstances of the recovery in the accession and/or deaccession folders.
- Update all pertinent museum documentation as described in Section I.8 below.

8. *How do I update the museum records for recovered objects?*

You are responsible for updating museum records when an object is recovered.

Deaccession Documents

- If you recover all the objects in the deaccession, mark the deaccession form and the Report of Survey "Void." Have the superintendent sign and date these documents next to the "Void." In ANCS+, enter "VOID" in the Notes field in the Deaccessions associated module.

- If only some of the objects were recovered, note which objects were recovered on the list of objects. Don't void the deaccession form or the Report of Survey. In ANCS+, note which objects were recovered in the Notes field in the Deaccessions associated module.

- Note the recovery in the remarks column of the deaccession book, if the park is using one. In ANCS+, note the recovery in the Notes field in the Deaccessions associated module.

Accession Documents

- Note the recovery in the remarks column of the accession book. Note the recovery on the list of objects attached to the accession receiving report.

Catalog Records

- Remove "Deaccessioned" from the Location field on the catalog record.
- Update the Object Status and Status Year fields on the catalog record.
- Add a note about the deaccession and return in the Description field on the catalog record.
- Enter the deaccession number in the Other Numbers field on the catalog record.
- Send electronic copies of the updated catalog records to the National Catalog along with the annual submission.

Other Documentation

- Note the recovery on any other pertinent documentation, such as the catalog number log book.

9. *When can I use voluntary destruction or abandonment to deaccession an object?*

In extremely rare instances, you may request the voluntary destruction or abandonment of an object. Use the Report of Survey procedures described in this section. The object must be one of the following:

- a hazardous material, *or*
- involuntarily damaged beyond all treatment and determined to have no scientific, cultural, historic, educational, esthetic or monetary value

Note: Generally, worn out reproductions and objects consumed through approved consumptive use fall under this category.

10. *Does the collections advisory committee review deaccessions that involve voluntary destruction or abandonment?*

Yes. The collections advisory committee members (see Section D.4-D.6) must review deaccessions that involve voluntary destruction or abandonment. The superintendent must attest to the destruction or abandonment in a memorandum. The memo must have:

- the date, place, and method of destruction or abandonment
- the catalog number(s) of the object(s) that were destroyed or abandoned

Follow Board of Survey procedures (see Section I.4) for witnessing and documenting destruction and abandonment.

11. *Are there special procedures for*

Yes. The safety officer must be involved in all deaccessions involving hazardous materials. Refer to *MH-I*, Chapter 11, Curatorial Health and

deaccessioning hazardous materials?

Safety and *Loss Control Management Guideline*.

If. . .	***Then. . .***
hazardous materials are an immediate threat	you can destroy or dispose of them immediately without committee review
hazardous materials are not an immediate threat	follow regular procedures, including committee review

12. *Are there special procedures for deaccessioning by abandonment?*

Yes. Abandonment consists of relinquishing title to and possession of an object without vesting it in another institution or person. When the NPS abandons an object it must have no intention of reclaiming it.

Abandonment is a very rare action. The regional director, or other authorized reviewing official who is not directly accountable for the property, must approve abandonment. See 41 CFR-101-45.902-2.

Refer to Section L.10-L.12 for additional information on abandonment.

J. Outside Scope of Collection (See Flow Charts Figures 6.3 and 6.4)

Refer to Sections D-G for processing, documenting, tracking and packing and shipping deaccessions.

1. *What types of objects are outside the park's Scope of Collections Statement (SOCS)?*

Objects in this category are not relevant to the mission and purpose of the park. Carefully consider the park's SOCS before making this determination. You should not deaccession objects that are original to the site and within the SOCS.

You must use extreme caution when deaccessioning objects in this category. The objects must:

- be clearly outside the time, area, and subject limits defined in the SOCS, *or*
- greatly exceed the number of objects of that type needed in the collection for research, interpretation, and exhibition

The park must have a current, approved Scope of Collection Statement to deaccession in this category. Refer to the MH-I, Chapter 2, for information on writing a scope of collection statement.

2. *How can I deaccession objects that are outside my park's SOCS?*

If objects are outside the park's SOCS, you may deaccession the objects by:

- transfer within the NPS or to other qualified federal agencies, including the Smithsonian Institution (see Sections J.9 and L.2)
- exchange with other NPS units, other qualified federal agencies, non-federal governmental entities, private institutions or individuals (see Sections J.10 and L.3-L.6)
- conveyance (donation) to private institutions or non-federal governmental entities, as defined in Section B.3 (see Sections J.11 and L.7)
- voluntary destruction or abandonment (see Sections L.10-L.12)

3. *Can I deaccession archeology collections as outside the park's SOCS?*

No. By NPS policy, archeological and natural history collections and associated records acquired as a result of ***systematic investigations*** within the park boundary:

- cannot be deaccessioned under this category
- must be maintained intact as part of the park's resources, and therefore cannot be outside the Scope of Collection Statement

Refer to the *Cultural Resource Management Guideline*, Chapter 9.

The only exceptions to this policy are NAGPRA-related items, and collections from land that was subsequently deauthorized.

4. *May I deaccession archeological collections that include NAGPRA material?*

Yes. If appropriate, NAGPRA items may be deaccessioned pursuant to the Native American Graves Protection and Repatriation Act (25 U.S.C. §§ 3001-3013). See the NAGPRA procedures in Section N of this chapter. The deaccession is a NAGPRA deaccession. It's not an outside SOCS deaccession.

5. *May I deaccession archeology collections from land that has been deauthorized?*

Yes. If park land has been deauthorized, the park may deaccession archeology collections from the deauthorized land to a qualified recipient. The collections must remain in the public trust, and the transaction must be consistent with any applicable guidance in 36 CFR 79 and 36 CFR 2.

Refer to Appendix A in this handbook for information about deaccessioning objects recovered under the Antiquities Act.

6. *Can I deaccession natural history collections as outside the park's SOCS?*

No. Natural history specimens in a NPS museum collection in compliance with the Code of Federal Regulations (36 CFR 2.5g) cannot be:

- outside the Scope of Collection Statement
- deaccessioned in this category

Refer to Section VI of Chapter 4 in this handbook and the *Cultural Resource Management Guideline*, Chapter 9.

7. *May I deaccession natural history collections from*

Yes. If park land has been deauthorized, the park may deaccession natural history collections from the deauthorized land to a qualified recipient. The

land that has been deauthorized?

collection must remain in the public trust, and the transaction must be consistent with any applicable requirements in 36 CFR 2.

8. *What do I need to know about title and restriction verifications?*

Before transferring, exchanging, or conveying (donating) objects, you must verify in writing that:

- the park legally owns (has title to) the objects proposed for deaccessioning
- the objects are not subject to ownership (title) or disposition restrictions that may prevent deaccessioning

For example, a restriction may require that objects must permanently remain at the park. In such a case, you must either keep the objects or petition a court of law to have the restriction removed.

Place the written verification in the deaccession package.

9. *What is a transfer?*

A transfer conveys title and control of a museum object from one NPS collection to another federal museum collection. You may transfer objects to other federal agencies that have programs to preserve and interpret cultural or natural heritage. Transfers between parks or other agencies within DOI don't require the review of the collections advisory committee.

Transfers to other federal agencies outside DOI require the review of the collections advisory committee. See Sections D.4-D.6.

10. *What is an exchange?*

In an exchange, the NPS conveys title and control of a museum object to another party. The NPS receives an object owned by the other party in return.

You must accession the objects received in the exchange into the museum collection. You may exchange with:

- another park (however, doing two transfers is simpler)
- another federal agency
- a non-federal governmental entity
- a private institution or an individual.

Exchanges between parks and within DOI don't require the review of the collections advisory committee.

All exchanges outside the DOI require the review of the collections advisory committee. See Sections D.4-D.6.

Note: The NPS requires formal appraisals for exchanges outside the federal government (see Section E.6).

11. *What is a conveyance (donation)?*

A conveyance (donation) transfers title and control of museum objects to private institutions and non-federal governmental entities. The recipient institution must be:

- dedicated to the preservation and interpretation of natural or cultural heritage
- qualified to manage the objects prior to any conveyance (donation)

In addition, private institutions must be exempt from federal taxation under section 501(c)(3) of the Internal Revenue Code of 1986.

All conveyances (donations) require the review of the collections advisory committee. See Sections D.4-D.6.

K. Outside SOCS Requirements

You must follow the requirements in this section to deaccession objects that are outside the park's SOCS.

1. *What are the special requirements for deaccessions outside the park's SOCS?*

The special requirements for deaccessioning objects that are outside the park's SOCS include:

- following the order of preference for recipients
- advertising objects throughout the NPS
- using the collections advisory committee to recommend deaccessions outside the DOI and voluntary destruction/abandonment (see Sections D.4-D.6)
- getting formal appraisals for all exchanges outside the DOI (see Section E.6)
- placing a 45-day public notice on the World Wide Web for all exchanges outside the federal government and all conveyances (donations)

2. *What is the order of preference for deaccessioning objects that are outside a park's SOCS?*

You must follow the order of preference below when deaccessioning objects that are outside the park's SOCS.

- transfer to another NPS park or center
- exchange with qualified federal agencies
- transfer to qualified federal agencies
- exchange with private institutions or non-federal governmental entities that meet the criteria of Section J.11
- conveyance (donation) to private institutions or non-federal governmental entities that meet the criteria of J.11
- exchange with individuals or entities other than those listed above

- voluntary destruction or abandonment

The exchange of objects with private individuals and non-educational or non-cultural institutions is not recommended. According to NPS procedures and generally accepted museum practice, such exchanges should occur <u>only</u> if the exchange is explicitly justified in writing and no other alternatives are available.

3. *Why is there an order of preference for deaccessions?*

The order of preference is based on:

- maintaining federal government interest
- keeping the collections in the public trust
- protecting NPS interest (or "investment")

4. *What if there is more than one potential recipient?*

If more than one recipient is available, choose the option that offers the greatest:

- benefit to the park and the NPS
- ability to care for the objects
- ability to preserve the objects in the public sector
- likelihood for public benefit, such as research and exhibit
- consistency with the mission and scope of collections of the recipient

5. *How do I evaluate a potential recipient's qualifications?*

You may have to evaluate a potential recipient's qualifications to receive and properly care for museum collections. To demonstrate their qualifications, potential recipients may provide:

- 501(c)3 tax exempt determination (see Section B.3)
- American Association of Museums (AAM) accreditation
- mission statement demonstrating dedication to natural or cultural preservation and interpretation
- Museum Assessment Program (MAP) or Conservation Assessment Program (CAP) survey
- facility report demonstrating preservation and protection capability

6. *Can a park ever deaccession objects out of the order of preference?*

Yes. With written justification, the superintendent can deaccession objects out of the order of preference. The reason for this action must be well justified.

7. *How do I determine whether other parks need the objects?*

You should not transfer, exchange or convey (donate) objects outside the NPS, or voluntarily destroy objects, if the objects are appropriate to and needed by other parks in the system.

You must determine whether you can transfer or exchange objects proposed for deaccessioning within the Service. Consult with:

- the regional/SO curator
- other parks
- the NPS Clearinghouse, Museum Management Program, National Center for Cultural Resources (see Section O of this chapter)
- the Harpers Ferry Center Department of Historic Furnishings, if appropriate

Contact any interested parks or advertise the objects throughout the Service. It is sufficient to advertise on the Curatorial Bulletin Board in cc:Mail or in the *Clearinghouse Classifieds* newsletter.

Allow at least thirty days from the date of publication for parks to respond to the advertisement. Document all responses. Include documentation in the deaccession package to show that:

- you have circulated the information about the objects throughout the Service
- no park wants the objects (or why the park denied NPS requests for the objects)

8. *When must I publicly advertise a deaccession?*

The park must publish a public notice of intent to deaccession objects to an intended recipient before:

- exchanging objects outside the federal government
- conveying (donating) objects

9. *Where must I place the public notice?*

The park must publish the notice in the Clearinghouse listing on the NPS Museum Management Program World Wide Web site. Refer to Section O for submission procedures.

Note: If you advertised on the World Wide Web for non-NPS recipients, this will be the second time you advertise on the Web.

The NPS will use the AAM newsletter *Aviso* and the American Association for State and Local History (AASLH) newsletter *History News* to publicize the World Wide Web posting. The park must allow at least forty-five days from the date of publication for institutions to register a request or protest.

10. *What must I include in the public notice?*

The notice must include:

- the intent to convey (donate) or exchange objects
- the intended recipient
- a list of the objects that includes the park name, object name, brief

description, material, artist/maker, date, and catalog number

- information on how to contact the park, such as a person to contact and phone number

11. *What happens after the notice has been on the WWW for forty-five days?*

If. . .	*Then. . .*
the park receives no requests or protests over the deaccession within 45 days of publication,	the superintendent signs the deaccession form and the exchange agreement or conveyance (donation) agreement and deaccessions the objects.
the published notice produces requests or protests from other institutions or individuals,	the superintendent consults the collections advisory committee, as appropriate, and determines the recipient.

The superintendent determines the recipient based on the recipient's superior ability to preserve and protect the objects and make them available to the public. The superintendent may request evidence to this effect from the potential recipients (see Section K.5).

L. Outside SOCS Procedures

1. *How do I find non-NPS recipients?*

If other parks don't need the objects, explore the other dispositions in the order of preference in Section K.2. Use all reasonably available means to contact institutions that may be in a position to make an exchange.

To locate potential non-NPS recipients, the park may advertise in whatever way it can best reach potentially interested parties, including:

- the Clearinghouse listing on the NPS Museum Management Program World Wide Web site (see Section O for submission procedures)
- the AAM newsletter *Aviso* or other professional newsletters (the park must pay the costs of advertising)
- regional or local publications or listings, if appropriate

The notice should include:

- the intent to deaccession objects
- a list of the objects
- information on how to contact the park, such as a person to contact and phone number

Allow at least forty-five days from the date of publication for response. A longer period of time may be needed for complex transactions. The park and the potential recipient can negotiate for additional time.

Note: You will have to advertise a second time on the World Wide Web if

you find a recipient and intend to exchange objects outside the federal government or convey (donate) objects. See Sections K.8-K.11.

2. *How do I document a transfer?*

Use a Transfer of Property, DI-104 (Figure 6.10) to legally document a transfer. ANCS+ will print a completed transfer. Include a statement on the transfer to verify that the NPS owns the objects. The statement should note that there are no ownership or disposition restrictions on the objects.

Example of a title verification statement: The NPS certifies that it holds free and clear title to the subject property. The NPS may dispose of the property in any manner that it determines is appropriate and lawful.

For transfers within the NPS, the superintendents of both parks must sign the transfer. For transfers to other DOI bureaus or federal agencies, the park superintendent and the appropriate bureau or agency accountable officer must sign the transfer.

Keep the original documentation and give the recipient archival quality copies of the pertinent accession and catalog documentation. Give non-NPS recipients copies of only the documentation essential to future management of the object.

3. *What are some special considerations for exchanges?*

Before conducting an exchange, you must make sure that:

- the exchange is fair, justified, and in the public interest
- every effort has been made to keep museum objects in the public sector
- the objects received from the exchange fit the SOCS and are of a quality appropriate for the NPS museum collections
- there is a need for the objects received from the exchange and the park can adequately care for them

Consult the regional/SO curator before exchanging natural history specimens. Don't exchange type or voucher specimens.

4. *Can an exchange be unequal in monetary value?*

Yes. Objects in an exchange should be approximately equal in monetary value. However, it is sometimes appropriate to exchange NPS objects for objects of lesser monetary value. This situation might occur when the NPS has a great need for the objects and has been unable to get them elsewhere. You must fully describe such circumstances in the justification. Exchanging NPS objects for objects of greater value is also acceptable.

You must get formal, written appraisals for exchanges outside the federal government. You must get appraisals for both the objects you deaccession and the objects you acquire through an exchange. Get a minimum of one appraisal for objects below $20,000 in value. Get two appraisals for objects over $20,000 in value. See Section E.6.

5. *How do I document an exchange?*

You must document an exchange with a written legal agreement. You can print an exchange agreement from ANCS+. The superintendent and the bureau or agency accountable officer or owner sign the exchange agreement. See Figure

6.11 for a sample exchange agreement. You may create your own exchange agreement, but it must include the introduction and sections 1-9 of the sample exchange agreement.

6. *What documents do I attach to the exchange agreement?*

Attach these documents to the exchange agreement:

- a list of the non-NPS objects to be acquired
- a list of the NPS objects to be exchanged
- the required appraisals for exchanges outside the federal government (see Section E.6)
- a written and signed proof of ownership statement from the other party

Include a justification to show why the exchange is in the best interest of the NPS and the general public. Include a statement on the exchange agreement to verify that the NPS owns the objects and that there are no ownership or disposition restrictions on the objects. (See example statement in Section L.2.) Make every effort to acquire the copyrights for the materials you acquire in an exchange, especially if they are held by the current property owner. Document any and all restrictions clearly and spell out when such restrictions expire.

Refer to Chapter 2 in this handbook and the NPS *Museum Handbook*, Part III (*MH-III*), Chapter 2, Legal Issues, for information on copyrights.

Keep the original documentation and give the recipient archival quality copies of the pertinent accession and catalog documentation. Give non-NPS recipients copies of only the documentation essential to future management of the object.

7. *When do I post a World Wide Web notice of intent to exchange?*

If you are doing an exchange outside the federal government, you must post a 45-day notice of intent to exchange on the World Wide Web. Post the notice when you have found a recipient. Refer to Sections K.8-K.11 and Section O for additional information about the notice.

8. *How do I document a conveyance (donation)?*

Use a Conveyance (Donation) Agreement, Form 10-99 (Figure 6.13) to legally document the conveyance (donation) of museum objects to a private institution or non-federal governmental entity. You can print a completed conveyance (donation) agreement from ANCS+.

The superintendent signs for the park. The responsible official signs for the institution.

Keep the original documentation and give the recipient archival quality copies of the pertinent accession and catalog documentation. Give the institution copies of only the documentation essential to future manaagement of the object.

9. *When do I post a World Wide Web notice of intent to convey (donate)?*

All conveyances (donations) require a 45-day notice on the World Wide Web. Post the notice when you have found a recipient. Refer to Secitons K.8-K.11 and Section O for additional information about the notice.

10. *When can I use voluntary destruction or abandonment to deaccession museum objects?*

Before destroying or abandoning museum objects you must determine that they have no scientific, cultural, historic, educational, esthetic, or monetary value.

Generally, if you can't deaccession the objects through any other way, you can propose destruction or abandonment. The justification for this type of deaccession must include the steps you took to determine that the objects have

no value.

The NPS may not destroy or abandon objects that are outside a park's Scope of Collection Statement unless all other disposition methods have failed.

The collections advisory committee members must review all actions to destroy or abandon museum objects. The superintendent must approve and request destruction. In accordance with 41 CFR-101-45.902-2, the regional director, or other authorized reviewing official who is not directly accountable for the property, must approve abandonment.

11. *What are some special considerations for voluntary destruction or abandonment?*

Abandonment is a very rare action. Abandon objects only when destruction is not feasible. For example, a large piece of badly rusted mining equipment may be too large to move.

If the park abandons museum objects, the superintendent should take some type of mitigating action. For example, the park could place an explanatory sign by abandoned property. Such actions will counter potential public perception that the park is not properly caring for its resources.

As part of the destruction process, objects may be reduced to scrap, destroyed, or cannibalized and the remainder destroyed. Cannibalized parts are designated expendable personal property. They may be used for park maintenance providing that the use has no scientific, cultural, historical, educational, interpretive or esthetic purpose. For example, nuts and bolts may be cannibalized from a disintegrated wooden crate that has been approved for destruction. The park maintenance division may reuse the nuts and bolts. The wooden scraps are burned.

The superintendent, considering the recommendations of the collections advisory committee, may request a particular destruction process. The Board of Survey must recommend the process.

12. *How do I document voluntary destruction or abandonment?*

Follow the Board of Survey procedures in Section I of this chapter and the Personal Property Handbook No. 44.

Note: Section I of this chapter has information on voluntary destruction/ abandonment for objects within the park's SOCS. This is a different type of deaccession from voluntary destruction/abandonment of objects outside the park's SOCS. The Board of Survey procedures for both types of deaccession are the same.

M. Destructive Analysis

Refer to Sections D-F for processing, documenting, and tracking deaccessions.

1. *When do I deaccession objects under the destructive analysis category?*

Deaccession objects in this category only when the entire object is destroyed in analysis.

2. *Who approves destructive analysis?*

The superintendent may approve destructive analysis for research purposes for cultural resource collections when the object is common. The superintendent may approve destructive analysis for research purposes for natural resource collections when:

- the request is based on a professional research design that clearly documents the scientific need for the use of destructive analysis
- the specimen doesn't represent an extinct species or a type or voucher specimen

The regional director must approve all requests for destructive analysis that involve rare or significant objects, specimens, and archival items. The regional/SO curator should review such requests and arrange for review by appropriate discipline specialists.

3. *How do I document destructive analysis?*

Follow the Board of Survey procedures in Section I of this chapter and the *Personal Property Management Handbook No. 44*.

4. *Where can I find information on destructive analysis?*

For guidelines on destructive analysis, refer to:

- Section V of Chapter 4 in this handbook
- *Cultural Resource Management Guideline,* Chapter 9

N. Native American Graves Protection and Repatriation Act (See Flow Chart Figure 6.5)

Refer to Sections D-G for processing, documenting, tracking, and packing and shipping deaccessions.

The NPS may deaccession museum collections in compliance with the Native American Graves Protection and Repatriation Act (NAGPRA) of 1990 [25 U.S.C. §§ 3001-3013].

1. *What types of items are subject to NAGPRA?*

Lineal descendants, Indian tribes, Native Hawaiian organizations and Alaska Native villages and corporations may request the repatriation of certain:

- human remains
- associated funerary objects
- unassociated funerary objects
- sacred objects

- objects of cultural patrimony

To determine which items are eligible for deaccessioning by repatriation, refer to:

- definitions of NAGPRA categories outlined in the statute (items *must* fit the definitions to be considered for repatriation)

- *Cultural Resource Management Guideline*, Appendix R: NAGPRA Compliance

2. *Who can request repatriation?*

The request for repatriation must be from a lineal descendant or an official representative of an Indian tribe, Native Hawaiian organization or Alaska Native village or corporation. You must receive this request in writing or document it in writing.

3. *How do I respond to requests for summary items?*

Summaries are written descriptions of collections that may have unassociated funerary objects, sacred objects, or objects of cultural patrimony. Parks prepared summaries in compliance with NAGPRA. The NPS sent summaries to tribes, Native Hawaiian organizations, and Alaska Native villages and corporations in 1993.

Requests for summary items must include evidence supporting the claim.

On receiving a request for repatriation, you should notify and consult with the regional/SO curator. See Section N.5. Give the regional/SO curator the available documentation that includes:

- a copy of the request for repatriation

- copies of accession and catalog records

- completed affiliation data that:

  - identifies and supports the claim of the lineal descendant, Indian tribe, Native Hawaiian organization, or Alaska Native village or corporation with whom the items are culturally affiliated

  - includes information on how the cultural affiliation was determined

  - includes a list of consultations conducted with relevant Indian tribes, Native Hawaiian organizations or Alaska Native villages or corporations

4. *How do I respond to requests for inventory items?*

Inventories are item-by-item descriptions of human remains and associated funerary objects. The NPS completed inventories of human remains and associated funerary objects by November 16, 1995.

When you receive a repatriation request for an inventory item from the culturally affiliated tribe(s), you should notify the regional/SO curator.

Prepare the deaccession package as noted in Section N.6. For inventory items:

- the regional/SO staff have already recommended a cultural affiliation

- the superintendent has already approved cultural affiliation

5. *Who does the regional/SO curator consult about repatriations?*

The regional/SO curator should consult with the regional/SO archeologist, ethnographer, NAGPRA coordinator, or NAGPRA committee. These staff make recommendations concerning the repatriation. Record their recommendations in the Notes field of the ANCS+ Deaccessions associated module.

6. *What do I include in the deaccession package?*

You prepare the deaccession package. In addition to the documentation listed in Section E.3, the package must contain:

- the request for repatriation or documentation of the request
- completed cultural affiliation data as described in Section N.3
- a repatriation agreement or equivalent (see optional sample, Figure 6:12)
- the regional/SO recommendation, as appropriate

Make a recommendation to approve or disapprove the repatriation request. You can print a repatriation agreement from ANCS+. You then forward the deaccession package to the superintendent.

Note: You can't recommend against repatriating inventory items.

7. *What does the superintendent do with the deaccession package?*

The superintendent must:

- review the park and regional/SO recommendations, as appropriate
- approve or disapprove the repatriation of summary items (the superintendent can approve all or selected items for repatriation)
- approve repatriation of inventory items
- prepare a written response to the requester

By including items in the NAGPRA inventory, the superintendent has approved repatriation of those items to the culturally affiliated tribes. The superintendent can't disapprove repatriation of items listed in the NAGPRA inventory.

8. *What happens to disapproved requests?*

The superintendent may disapprove the repatriation on the grounds that:

- the items do not fit NAGPRA definitions
- the individual or group making the claim doesn't have standing to make such a claim (is not on the list of recognized tribes maintained by the National NAGPRA Program for the purposes of implementing NAGPRA)
- no relationship of shared group identity can be traced between the present-day Indian tribe and the affiliated cultural group associated with the item
- there is insufficient documentation to support the claim

The superintendent must notify the requester of this decision in writing. See Section F.1 on filing disapproved deaccessions. The individual or tribe can appeal decisions to the NAGPRA Review Committee. Refer to the *Cultural Resource Management Guideline*, Appendix R: NAGPRA Compliance.

Note: A Web-based database provides NAGPRA contacts for the federally recognized tribes. The Bureau of Indian Affairs web site at <http://www.cr.doi.gov/bia/tribes/entry.html> provides access to the database.

9. *What happens to approved requests?*

The superintendent may approve the repatriation but must inform the requester of the 30-day Federal Register notice requirement. See Section N.10. All approved repatriations must identify the federally recognized tribe in the Affiliated Tribes field of the ANCS+ NAGPRA supplemental record.

After the 30-day Federal Register notice and the resolution of any claim disputes:

- the superintendent signs the deaccession form and repatriation agreement
- the recipient(s) signs the repatriation agreement and receives the repatriated items

10. *What is the Federal Register notice?*

The Federal Register notice is a NAGPRA requirement.

Repatriation cannot take place until at least thirty days after a notice of intent to repatriate has been published in the Federal Register.

If the superintendent approves the request for repatriation, he or she sends:

- a notice regarding the proposed repatriation of museum items to the Manager, Archeology and Ethnography Program, National Center for Cultural Resources, for publication in the Federal Register

To make sure that no counter claims have been received, contact the regional/SO curator or NPS NAGPRA coordinator.

If. . .	*Then. . .*
no additional claims are received within 30 days of publication,	the park repatriates the items.
the published notice produces additional claims,	the claimants settle the dispute, and the park repatriates the items.
the claimants don't settle the dispute,	the NAGPRA Review Committee reviews and resolves the dispute. Repatriation cannot occur until the committee resolves the dispute.

All the NAGPRA notices of repatriation published in the Federal Register and inventory completion appear on the web at <http://www.cr.nps.gov/nagpra/>.

Note: The NAGPRA Review Committee is a statutorily established panel of seven private citizens. The committee is charged with facilitating the resolution of NAGPRA-related disputes nationwide.

11. *Are there time limits for responding to a repatriation request?*

Yes. The requested repatriation is to take place within 90 days of the initial request if:

- the objects meet the NAGPRA definitions (refer to the NPS NAGPRA consultation guidelines in the *Cultural Resource Management Guideline*, Appendix R: NAGPRA Compliance), *and*
- appropriate supporting documentation is available, *and*
- the proposed repatriation is approved

12. *What documentation should I give to the recipient?*

Keep the original documentation and give the recipient archival quality copies of the pertinent accession and catalog documentation.

Send a copy of the deaccession form or repatriation agreement to the central NAGPRA file maintained by the Museum Management Program, National Center for Cultural Resources. This copy is for informational purposes only. Send it to Museum Management Program, National Park Service, 1849 C Street, NW, Room NC230, Washington, DC 20240, Attn: Chief Curator.

O. NPS Clearinghouse Services

1. Can the NPS Clearinghouse help parks with deaccessions?

Yes. The NPS Clearinghouse, administered by the Museum Management Program, National Center for Cultural Resources, can help parks with deaccessions by:

- giving advice on deaccession procedures and assistance in preparing deaccession transactions
- helping you to locate potential recipients for museum objects that are outside your park's Scope of Collection Statement
- advertising objects throughout the NPS and to non-NPS institutions
- giving advice on appraisals and lists of appraisers

2. *How does the NPS Clearinghouse advertise objects for deaccession?*

The NPS Clearinghouse uses various means to advertise objects outside a park's Scope of Collection Statement. These include the *Clearinghouse Classifieds* newsletter and a World Wide Web listing.

By advertising through the Clearinghouse, you can determine whether objects are needed by other parks before deaccessioning them outside the NPS. The Clearinghouse newsletter also allows you to advertise to many non-NPS subscribers.

Use the Clearinghouse World Wide Web listing to advertise for non-NPS recipients. See Section L.1. You must use this listing to advertise your intent to exchange or convey (donate) outside the federal government. See Sections K.8-K.11.

Note: The NPS Clearinghouse doesn't accept physical custody of museum objects.

3. *How do I send information to the Clearinghouse newsletter?*

Send information to the NPS Clearinghouse newsletter (*Clearinghouse Classifieds*) to advertise for NPS and non-NPS recipients.

Send information to: NPS Clearinghouse
Bombshelter, Filmore Street
Harpers Ferry, WV 25425
Phone: 304-535-6204
Fax: 304-535-6203

Send electronic copy to: WASO National Catalog Office

The *Clearinghouse Classifieds* is published twice a year. Advertisements are free.

4. *May I post information about potential deaccessions on the Curatorial Bulletin Board?*

Yes. You may post information directly on the Curatorial Bulletin Board in cc:Mail to advertise for NPS recipients.

5. *How do I publish notices on the Clearinghouse World Wide Web listing?*

Send electronic submissions in an attached file, using the current NPS software, via cc:Mail to "Clearinghouse-WWW". Refer to the appropriate sections below for what to include in the notice. The NPS Museum Management Program World Wide Web site is at <http://www.cr.nps.gov/csd/>.

For publishing notices to advertise for NPS recipients, see Section L.1.

For publishing a notice of intent to deaccession objects by conveyance (donation) or exchange outside the federal government, see Sections K.8-K.11.

P. List of Figures

	Figure 6.1	Flow Chart for Deaccessioning - Return to Rightful Owner
	Figure 6.2	Flow Chart for Deaccessioning - Loss, Theft, Damage or Involuntary Destruction, and Voluntary Destruction/Abandonment
	Figure 6.3	Flow Chart for Deaccessioning - Outside Scope of Collection Statement - Transfer and Exchange
	Figure 6.4	Flow Chart for Deaccessioning - Outside Scope of Collection Statement - Conveyance (Donation) and Voluntary Destruction/Abandonment
	Figure 6.5	Flow Chart for Deaccessioning - Native American Graves Protection and Repatriation Act
+*	Figure 6.6	Deaccession Form (Form 10-643)
+	Figure 6.7	List of Objects (Form 10-417), [Optional]
+	Figure 6.8	Deaccession Folder Cover Sheet (Form 10-644), [Optional]
	Figure 6.9	Deaccession Book (Form 10-642), [Optional]
+*	Figure 6.10	Transfer of Property (DI-104)
+	Figure 6.11 a-b	Exchange Agreement (Sample)
+	Figure 6.12 a-b	Repatriation Agreement (Sample)
+*	Figure 6.13	Conveyance (Donation) Agreement (Form 10-99)
	Figure 6.14	Collections Advisory Committee Procedures (Sample)
+	Figure 6.15	Specialist Review Form (Sample)

\+ Print these forms from ANCS+.

* You must use the Deaccession Form (Form 10-643) for all deaccessions. You must use the Transfer of Property (DI-104) for all transfers between federal entities. You must use the Conveyance (Donation) Agreement (Form 10-99) for all conveyances (donations).

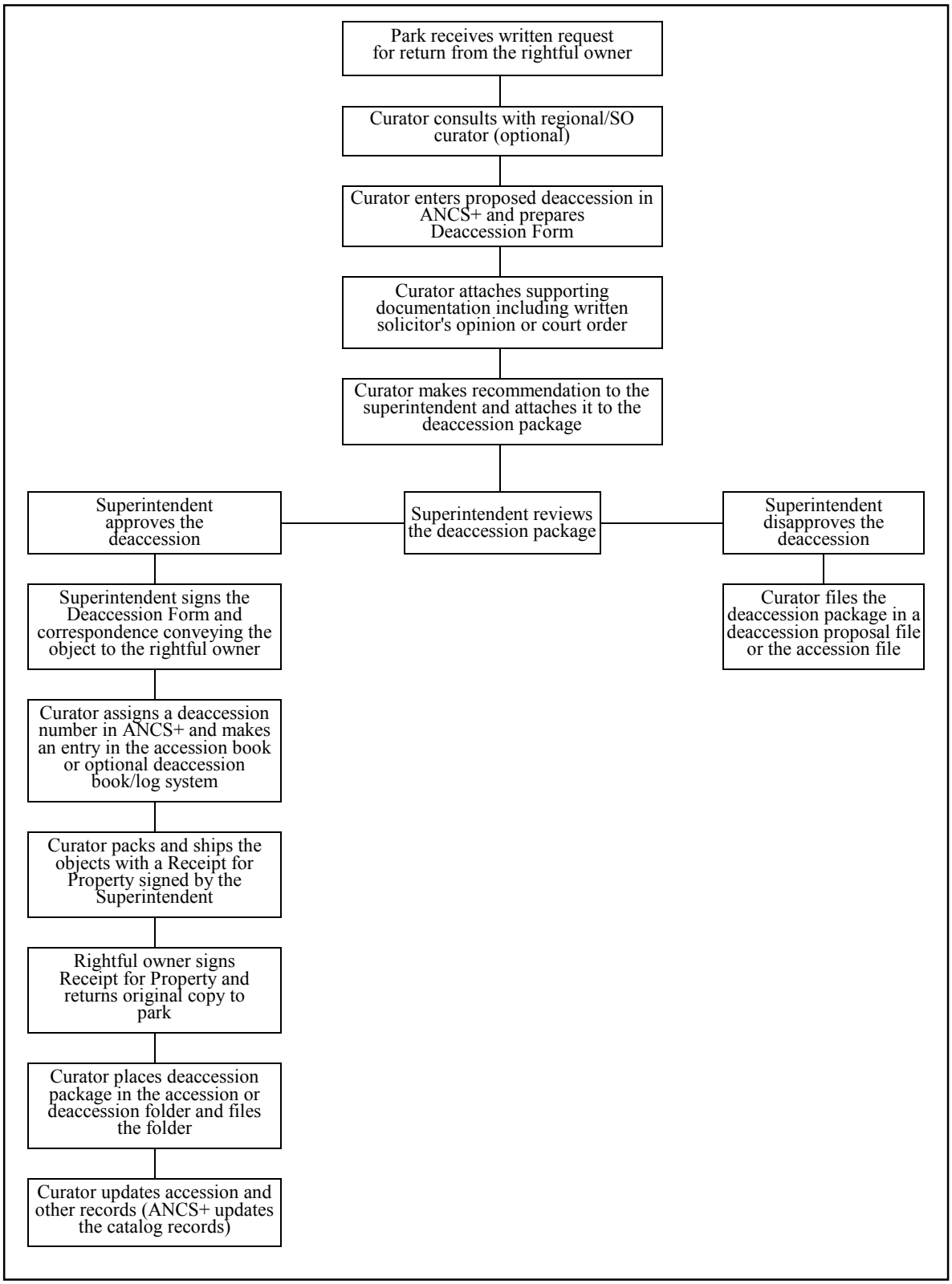

Figure 6.1. Flow Chart for Deaccessioning: Return to Rightful Owner

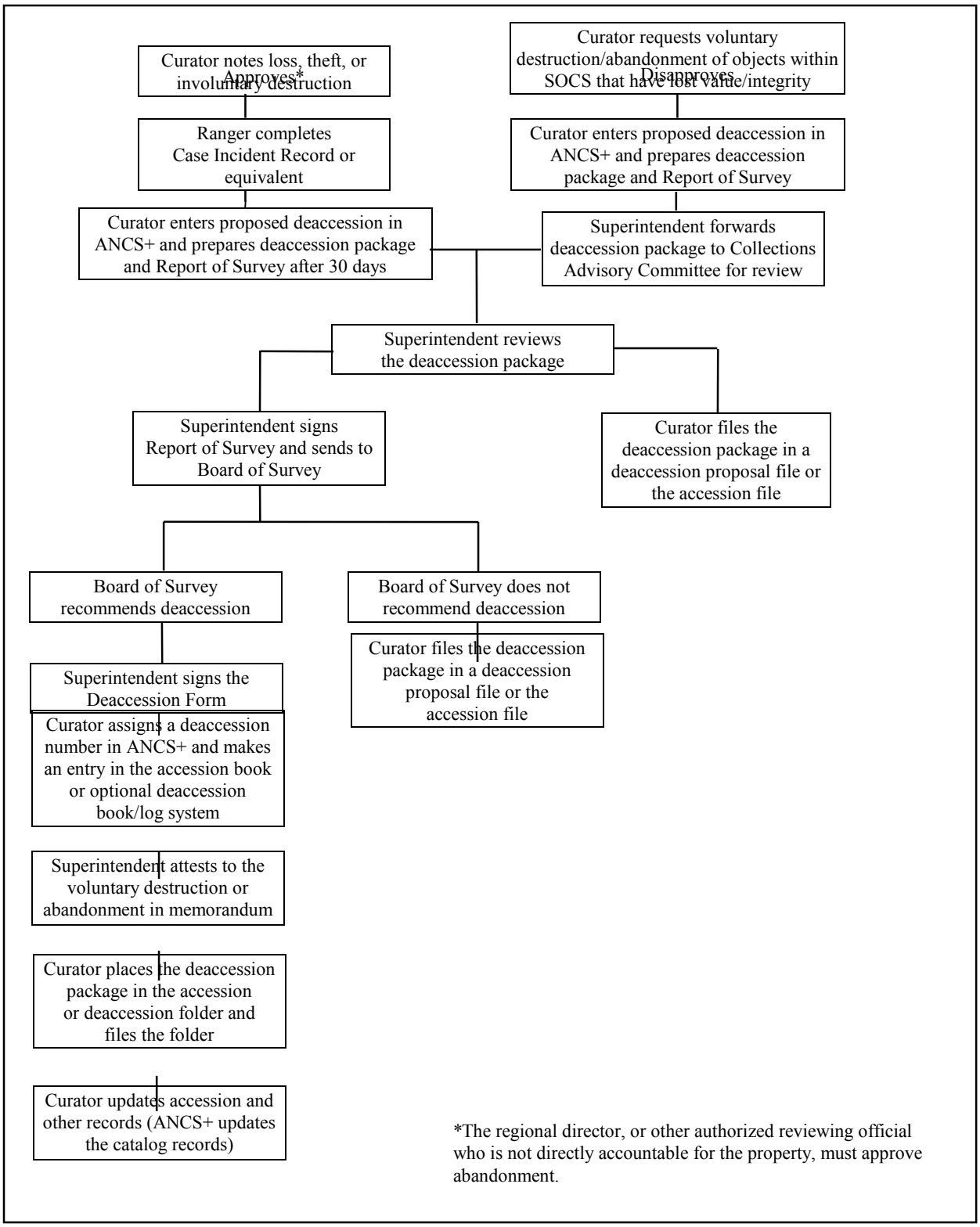

Figure 6.2. Flow Chart for Deaccessioning: Loss, Theft, Involuntary Destruction, and Voluntary Destruction/Abandonment

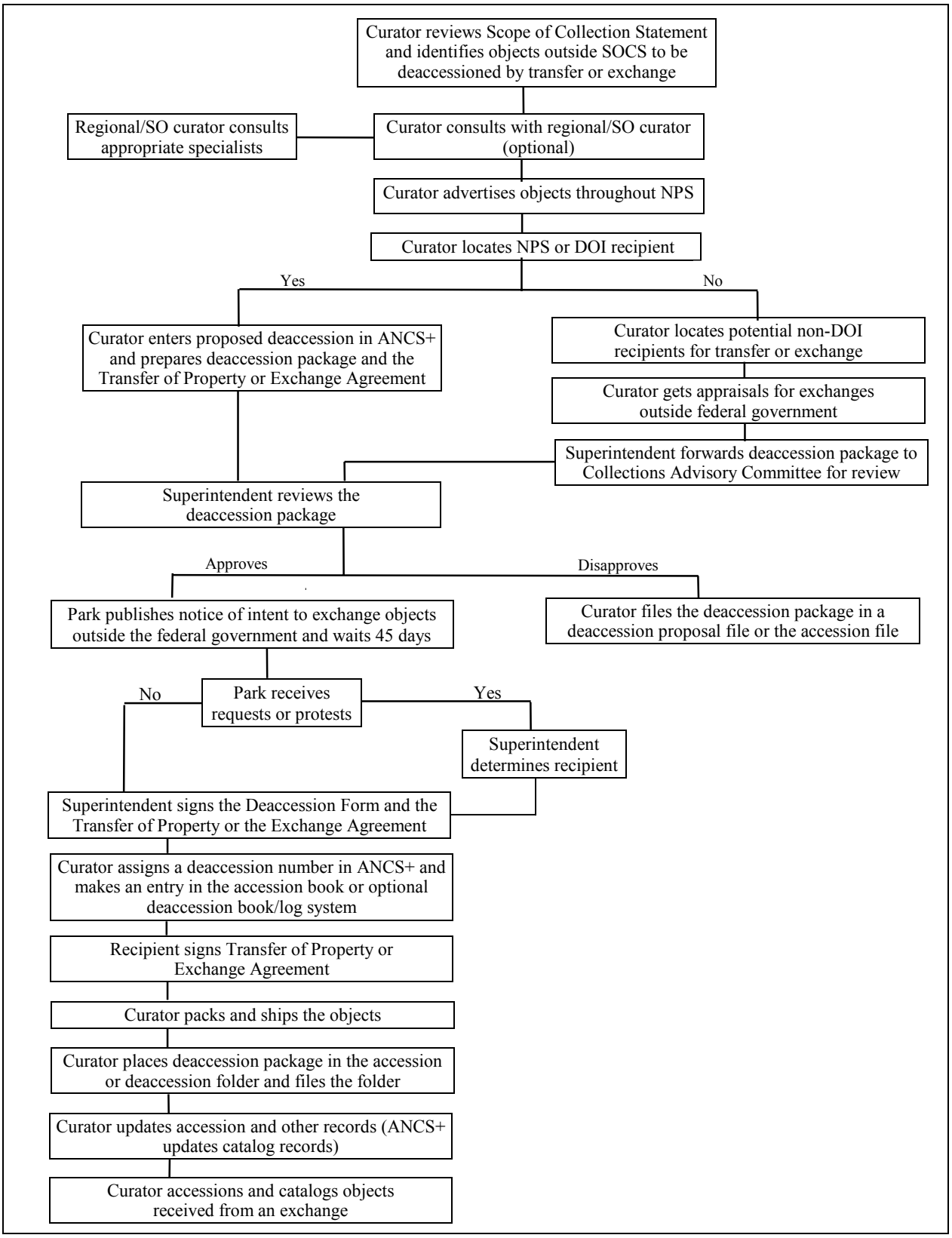

Figure 6.3. Flow Chart for Deaccessioning: Outside Scope of Collection Statement Transfer and Exchange

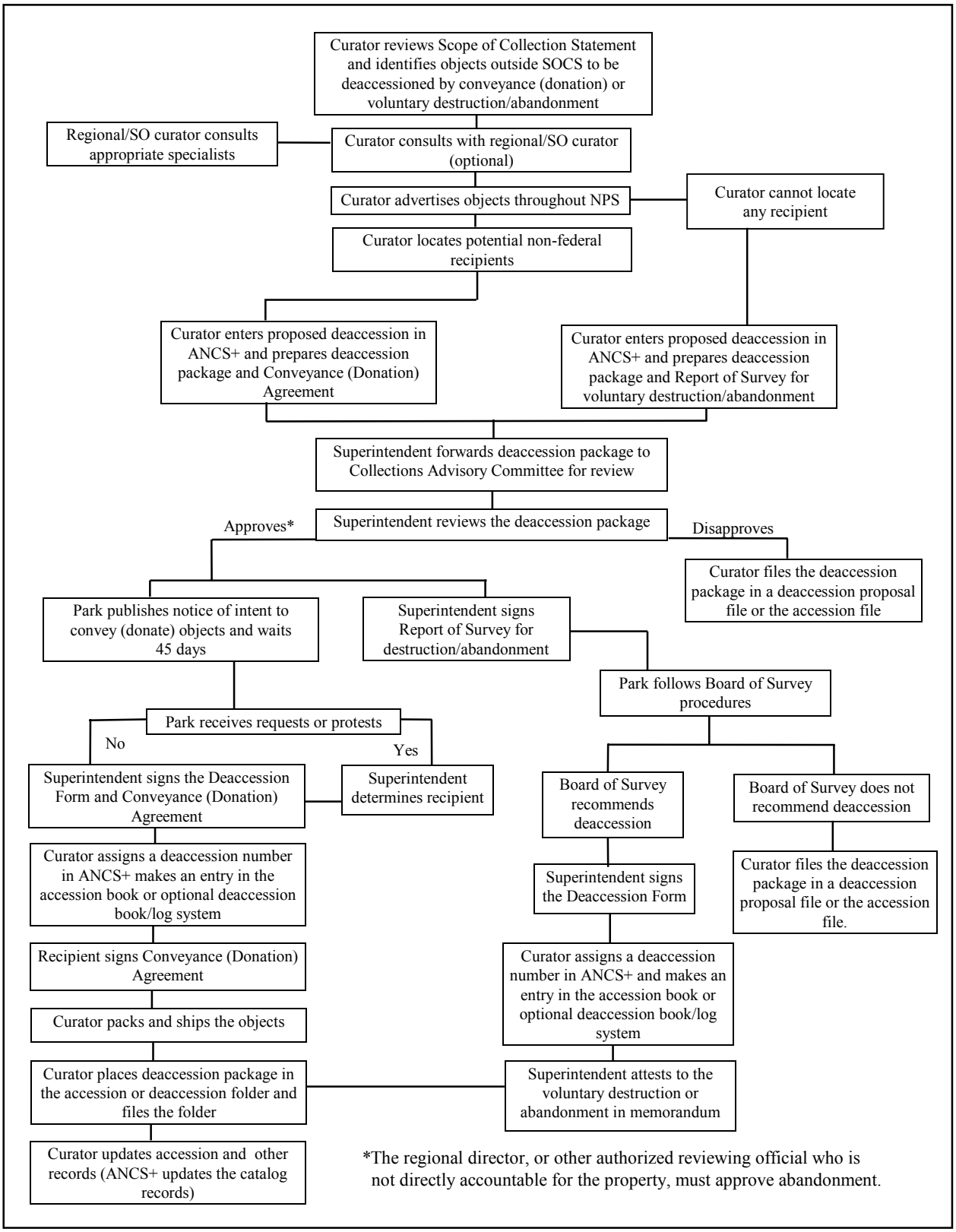

Figure 6.4. Flow Chart for Deaccessioning: Outside Scope of Collection Statement Conveyance (Donation) and Voluntary Destruction/Abandonment

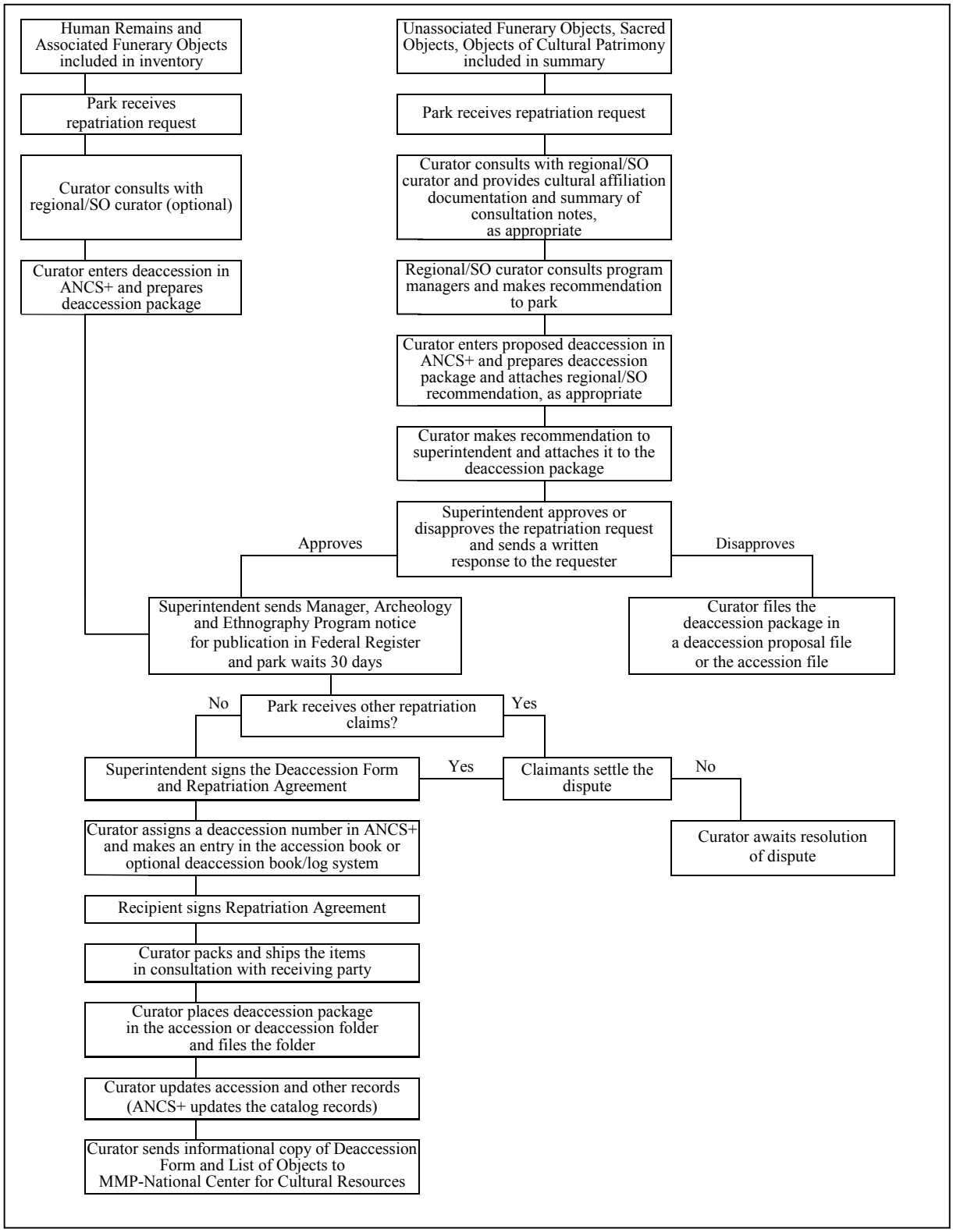

Figure 6.5. Flow Chart for Deaccessioning: Native American Graves Protection and Repatriation Act

US Department of the Interior
National Park Service

Deaccession Form

Deaccession Number

Park Name

DEACCESSION TYPE:

DISPOSITION OF OBJECTS OUTSIDE SOC:

OBJECTS IN DEACCESSION: Number of Objects: _____ Value _____

(Attach List of Objects, or for a few objects, list required information here)

DISPOSITION DOCUMENT (attached):

ATTACHMENTS:

NOTES ON DEACCESSION:

CURATORIAL REVIEW AND RECOMMENDATION:

Deaccession Recommended: (if no, attach explanation)
Disposition Recommended: (if no, attach explanation)

Curator: _____
Print Name Signature Date

COLLECTIONS ADVISORY COMMITTEE MEMBER REVIEW AND RECOMMENDATION

☐ See attached Collections Advisory Committee Member Review (required for non-DOI transfers, conveyances, non-DOI exchanges, voluntary destruction)

APPROVAL:

Deaccession Approved: (if no, attach explanation)
Disposition Approved: (if no, attach explanation)

Attach explanation if decision is contrary to one or more committee member recommendations. Attach written approval from non-accountable reviewing official for abandonment.

Superintendent: _____
Print Name Signature Date

NPS Form 10-643 Rev.
Feb 1998

Figure 6.6. Deaccession Form (Form 10-643)

US Department of the Interior
National Park Service

LIST OF OBJECTS

Page ____ of ____

Park Acronym _____ Number _____

CATALOG NUMBER	ACCESSION NUMBER	ITEM COUNT OR QUANTITY	OBJECT NAME	DESCRIPTION AND CONDITION	VALUE	COMMENT

NPS Form 10-417
July 1995

Figure 6.7. List of Objects (Form 10-417) [Optional]

Deaccession Number _____ Park Name _____

DEACCESSION FOLDER COVER SHEET

INSTRUCTIONS: This Deaccession Folder cover sheet may be used whenever a park deaccessions museum collections. Insert this in the deaccession folder.

A. DEACCESSION INFORMATION IN FOLDER

- ☐ Deaccession Form
- ☐ List of Objects
- ☐ Justifications
- ☐ Collections Advisory Committee Member Comments
- ☐ Superintendent Comments
- ☐ Support Office Curator Comments
- ☐ Regional Director Comments

B. DEACCESSION TYPE

- ☐ Return to Rightful Owner
- ☐ Loss, Theft, or Involuntary Destruction
- ☐ Voluntary Destruction/Abandonment
- ☐ Outside Scope of Collection
- ☐ Destructive Analysis
- ☐ NAGPRA Compliance

C. DISPOSITION DOCUMENT

- ☐ Receipt for Property
- ☐ Report of Survey
- ☐ Witness Statement for Voluntary Destruction/Abandonment
- ☐ Exchange Agreement
- ☐ Transfer of Property
- ☐ Memorandum (for Destructive Analysis)
- ☐ Repatriation Agreement
- ☐ Conveyance Agreement

INDICATE LOCATION OF THE FOLLOWING:	Accession Folder	Catalog Folder	Deaccession Folder
1. Correspondence relating to deaccession			
2. Case Incident Record			
3. Research Notes			
4. Appraisals			
5. Photographs			
6. Shipping Documents			
7. Documentation of abandonment or destruction			
8. NAGPRA Consultation Notes			
9. NAGPRA Cultural Affiliation Documentation			
10. Solicitor's Opinion/Court Order			
11. Other			

NPS Form 10-644 Rev.
February 1998

Figure 6.8. Deaccession Folder Cover Sheet (Form 10-644) [Optional]

DEACCESSION BOOK

Deaccession Number	Deaccession Date	Description	Disposition (Name and Address)	Deaccession Type	Accession Numbers	Catalog Numbers	Number of Items	Remarks

Figure 6.9. Deaccession Book (Form 10-642) [Optional]

DI-104
(Rev. 6/88)

UNITED STATES DEPARTMENT OF THE INTERIOR **TRANSFER OF PROPERTY**	Page _____ of _____ Report No. Date

Transfer From: (Organization and Complete Address)	Transfer To: (Organization and Complete Address)

Appropriation and Accounting Data:

ITEM NO.	QUANTITY OR PROPERTY ID NO.	ITEM DESCRIPTION *(Include model & serial number)*	ORIGINAL ACQUISITION COST (OAC)	CONDITION CODE

SHIPPING AND RECEIVING INFORMATION

Date Shipped:	Date Received:
Authorized Signature:	Authorized Signature:
Official Title:	Official Title:

Adjustment to property records (Property Official Signature):	Date Completed	Financial Official Signature (if Required):	Date Completed

U.S. Government Printing Office 1988 673-017/96039

Figure 6.10. Transfer of Property (DI-104)

US Department of the Interior
National Park Service

_____
Deaccession Number

Exchange Agreement

In accordance with the authority granted to the Secretary of the Interior by the Museum Act of 1955 (16 USC, Sect. 18 [f]), and in consideration of the mutual promises set forth in this Agreement, the National Park Service and _____ (other party) enter into this agreement for the exchange of museum objects.

1. _____ (NPS Unit) hereby becomes the owner of the objects listed on the first attached inventory (Attachment 1 of this Agreement). _____ (other party) hereby becomes the owner of the objects listed on the second attached inventory (Attachment 2 of this Agreement).

2. _____ (other party) represents and warrants that he/she/they will possess clear title, free of all liens, claims, and encumbrances of any kind, to the objects listed in Attachment 1 at the time the exchange takes place. If at the time the exchange is to occur _____ (other party) is unable to present the objects listed on Attachment 1 and proof of ownership for the said objects he/she/they is/are exchanging, the National Park Service is under no obligation to complete the exchange.

3. _____ (other party) represents and warrants that the objects listed on Attachment 1 were secured in compliance with all applicable International, Federal and State laws. Documentation evidencing the source of acquisition of the objects listed on Attachment 1 will be attached to this Agreement at the time the exchange takes place (Attachment 3).

4. _____ (other party) represents and warrants that the objects listed in Attachment 1 have been authenticated and appraised in writing, at market value, by at least one objective appraiser within six months previous to the date of this agreement. Copies of the appraisals for the NPS and non-NPS items are attached to this Agreement (Attachment 4).

5. _____ (other party) represents and warrants that he/she/they is/are the sole owner(s) of all rights in the objects listed on Attachment 1. _____ (other party) hereby assigns in _____ (NPS unit) all of _____ (other party) common law and statutory copyrights to the objects listed in Attachment 1. _____ (other party) agrees to indemnify _____ (NPS unit) against any claims, damages, losses, or expenses of any kind that _____ (NPS unit) may suffer as a result of any infringement or alleged infringement of the copyrights to _____ (NPS unit).

6. Title to the objects exchanged under this agreement shall pass when the objects have been delivered pursuant to the terms of this Agreement and the parties have inspected the objects and found them to be in a satisfactory condition and are as represented in this Agreement. Inspections of the objects shall occur on the date of delivery.

7. As provided by 41 U.S.C. §§ 22, no member of or delegate to Congress, or Resident Commissioner shall be admitted to any share or part of this Agreement or to any benefit that might arise therefrom; but this provision shall not be construed to extend to this Agreement if made with a corporation for its general benefit.

8. No NPS employee or members of a NPS employee's immediate family shall be admitted to any share or part of this Agreement or to any benefits that may arise therefrom.

9. The exchange of all firearms must be in compliance with all state and local law enforcement regulations related to the acquisition of firearms. Upon consummation of this Agreement, the National Park Service shall not be liable for any action related to the use of firearms described within the Agreement.

10. The National Park Service will pay all costs of transporting and insuring the objects listed on Attachment 2 to _____ (address).

Figure 6.11a. Exchange Agreement (Sample)

US Department of the Interior
National Park Service

_____
Deaccession Number

Exchange Agreement (Continued)

11. The parties agree that the physical transfer of all objects covered by this Agreement will occur on or before _____ (date) and that time is of the essence to this Agreement. If _____ (other party) fails to deliver the objects listed on Attachment 1 to the agreed-upon place of delivery by the date given in this paragraph, the National Park Service may, at its option, terminate this Agreement, recover any objects which it may have delivered pursuant to this Agreement and sue for damages for undue delay of the performance of this Agreement or for specific performance of this Agreement. _____ (NPS unit) remedies hereunder are not exclusive and _____ (NPS unit) retains the right to pursue any and all legal remedies available to it for the breach of this Agreement.

12. Catalog information on all NPS objects incorporated under this Agreement is included by reference to the NPS catalog number listed on Attachment 2.

For the NATIONAL PARK SERVICE (Receiving):

Recommended: _____
(Park Curator) (Date)

Approved: _____
(Superintendent) (Date)

For the other PARTY

Name: _____

Approved: _____
(Date)

Approved: _____
(Date)

Address: _____

_____

_____

Telephone: _____ FAX: _____

Figure 6.11b. Exchange Agreement (Continued) (Sample)

US Department of the Interior
National Park Service

Page 1 of 2

_____
Deaccession Number

Repatriation Agreement

The Native American Graves Protection and Repatriation Act of 1990 (NAGPRA) provides definitions and procedures for the repatriation of certain Native American human remains and cultural items, as defined in 25 U.S.C. 3001-3013, in the possession of federal agencies and museums that receive federal funds to lineal descendants, Indian tribes, and native Hawaiian organizations; and

The representatives of the National Park Service _____[NPS unit] have engaged in consultation with representatives of _____[The TRIBE] to determine the applicability of these definitions and procedures to objects currently in the possession of the National Park Service _____[NPS unit].

The National Park Service _____ [NPS unit] and _____ [The TRIBE] do hereby agree to the following:

1. That _____ [The TRIBE] is recognized as eligible for the special programs and service provided by the United States to Indians because of their status as Indians, and thus has status to make a claim for repatriation under NAGPRA;

2. That all cultural items described on the attached list meet the criteria outlined in the Native American Graves Protection and Repatriation Act of 1990 (25 USC 3001-3013) and 43 CFR 10.2 (b), such that:

   a. all *human remains* are of Native American ancestry and do not include remains or portions of remains freely given by the individual from whose body they were obtained;

   b. all *funerary objects* are known or reasonably believed to have been placed intentionally at the time of death or later with or near individual human remains;

   c. all *sacred objects* are specific objects needed by traditional Native American religious leaders for the current practice of traditional Native American religions by their present-day adherents;

   d. all *objects of cultural patrimony* have ongoing historical, traditional, or cultural importance central to _____ [The TRIBE], rather than to an individual tribal member and, as such, may not be alienated, appropriated, or conveyed by an individual Tribal member; and such object shall have been considered inalienable at the time the object was separated from _____ [The TRIBE];

3. That all cultural items described on the attached inventory were produced or used by an identifiable earlier group;

4. That evidence exists of a shared group identity that can be reasonably traced between _____ [The TRIBE] and the earlier group;

5. That a Notice of Inventory Completion concerning the human remains or associated funerary objects, or a Notice of Intent to Repatriate concerning unidentified funerary objects, sacred objects or objects of cultural patrimony described on the attached list has been published in the *Federal Register*. In the time since that publication [at least thirty days] neither the National Park Service _____ [NPS unit] nor _____ [The TRIBE] has become aware of any competing claim;

6. That, effective on the date of execution of this Repatriation Agreement, the National Park Service _____ [NPS unit] transfers to _____ [The TRIBE] all responsibility associated with the items described on the attached inventory.

7. That this Repatriation Agreement releases the National Park Service from any future claims by _____ [The TRIBE] regarding the objects described on the attached inventory.

Figure 6.12a. Repatriation Agreement (Sample)

US Department of the Interior
National Park Service

Deaccession Number

Repatriation Agreement (Continued)

Signatures

This agreement shall become binding upon its execution by the authorized representative of each party. Each party warrants that it has the requisite authority to execute, deliver, and consummate the transactions contemplated by this agreement.

For the NATIONAL PARK SERVICE:

Recommended:

Curator — Signature — Date

S0 Curator [Please print] — Signature — Date

S0 Archeologist [Please print] — Signature — Date

S0 Ethnographer [Please print] — Signature — Date

Approved:

Superintendent [Please print] — Signature — Date

NPS Unit: _____

Address: _____

Telephone: _____ FAX: _____

For the TRIBE:

Approved:

Official Representative or Lineal Descendant [Please print] — Signature — Date

Title — Tribe/Organization

Address: _____

Telephone: _____ FAX: _____

Follow-up Contact: _____ Telephone: _____
Name [Please print]

FAX: _____

Figure 6.12b. Repatriation Agreement (Continued) (Sample)

US Department of the Interior
National Park Service

_____
Deaccession Number

Conveyance Agreement

Conveyance To:

Name:

Address:
(Box Number or Street)

(City, State, Zip)

Telephone: FAX Number:

The National Park Service hereby unconditionally conveys to the above recipient, for the recipient's unrestricted use, the item(s) listed below. The National Park Service relinquishes any and all claims to the item(s) listed below.

The National Park Service certifies that the National Park Service holds free and clear title and associated rights, including copyright, to the subject property and that the National Park Service may dispose of the subject property in any manner that it may determine.

Description (or see attached list):

Park Name:
Park Address:
(Box Number or Street)
(City, State, Zip) FAX Number:

Superintendent: _____ _____ Date: _____
Print Name Signature

The recipient certifies that the recipient is a (check one): Date: _____

☐ private institution exempt from Federal taxation under sections 501(c)(3) of the Internal Revenue Code of 1986 dedicated to the preservation and interpretation of natural or cultural heritage and qualified to manage museum collections

☐ non-Federal government entity, dedicated to the preservation and interpretation of natural or cultural heritage and qualified to manage museum collections

The recipient hereby acknowledges receipt of and accepts the above museum property.

Accepted By: _____
(Name and Title of Responsible Official, Please Print)

Signature of Responsible Official: _____ Date: _____

NPS Form 10-99
February 1998

Figure 6.13. Conveyance Agreement (Form 10-99)

US Department of the Interior
National Park Service

_____
Deaccession Number

Collections Advisory Committee Procedures

Committee Purpose

In keeping with National Park Service policies for preserving and protecting cultural and natural resources, __(park name)__ has established a collections advisory committee to review the following types of deaccessions from the park's museum collection:

- transfers to non-DOI federal agencies
- conveyances (donations)
- exchanges outside DOI (excluding exchange of natural history specimens)
- voluntary destruction/abandonment of museum objects

The committee will advise the superintendent regarding the appropriateness of deaccessions and dispositions. The committee will be guided by the NPS policies and procedures set forth in the *Museum Handbook*, Part II, Chapter 6, Deaccessioning. Establishment of this committee should ensure that the above deaccession transactions are fair, open, and in the best interests of the public.

Committee Structure

Policy requires that the collections advisory committee at __(park name)__ will consist of a minimum of two members. One member will be a curator at or above the GS-11 level. The other members of the committee will not be under the supervision of the curator. No maximum number of members is required on the committee. Members may be from outside the park, but all members must be federal employees. The superintendent will choose other members of the committee from park or center resource and interpretation specialists. Individuals who aren't federal employees may be consulted on a case by case basis, as necessary.

The superintendent will select which members of the committee will review a particular deaccession and appoint a lead committee member. The size of the committee may vary, depending on the subject matter and the complexity of the deaccession(s), but each review must involve the curator (GS-11 or higher) and one other member.

Committee Members

The collections advisory committee at __(park name)__ will consist of the following specialists:
Curator (Lead)
Archeologist
Chief Interpreter
Cultural Resource Specialist

Committee Procedures

The committee meets as needed. The lead committee member distributes copies of the deaccession package(s) to other members, including non-federal individuals who aren't on the committee. The lead committee member schedules the meeting and documents the meeting (date, location, names of attending members). He or she attaches each committee member's review comments, and the comments of non-federal specialists, to the deaccession package and forwards it to the superintendent.

Each member receives a copy of the deaccession package(s) for review prior to the meeting. Members should be familiar with Chapter 6, Deaccessioning, in the *Museum Handbook*, Part II. Committee members may consult with subject matter specialists who are not on the committee regarding specific actions. Each committee member must record his or her comments on the review form and document any consultations with other specialists. The lead committee member forwards the comments to the superintendent.

_____ _____
Superintendent Date

Figure 6.14. Collections Advisory Committee Procedures (Sample)

US Department of the Interior
National Park Service

Specialist Review

Deaccession Number

Your comments here (or attached) show that you have reviewed the proposed deaccession for conformity with the laws authorizing NPS deaccessions and the deaccessioning guidelines in the Museum Handbook, Part II, Chapter 6, Deaccessioning, and have given your best professional advice about this transaction

Description of Proposed Deaccession:

Deaccession Type:

Disposition Type:

Comments (attach additional comments if necessary):

Deaccession Recommended: Yes _____ No _____

Disposition Recommended: Yes _____ No _____

Name: _____ Title: _____

_____ _____
Signature Date

Figure 6.15. Specialist Review Form (Sample)

Appendix A: Mandates and Standards for NPS Museum Collections

Page

A. Overview A:1

B. Laws, Regulations, and Conventions – NPS Cultural Collections A:1
Laws related to NPS cultural collections A:1
Regulations related to NPS cultural collections A:4
International conventions related to NPS cultural collections A:5
Contacts for laws, regulations, and conventions – NPS cultural collections A:6

C. Laws, Regulations, and Conventions – NPS Natural History Collections A:6
Laws related to NPS natural history collections A:6
Regulations related to NPS natural history collections A:8
International conventions related to NPS natural history collections A:8
Contacts for laws, regulations, and conventions – NPS natural history collections A:9

D. Policies and Standards A:9
Governmentwide and departmental policies and standards related to NPS museum collections A:9
NPS management policies for museum collections A:10
NPS Director's Orders and guidance for museum collections A:14

E. List of Figures A:17

APPENDIX A: MANDATES AND STANDARDS FOR NPS MUSEUM COLLECTIONS MANAGEMENT

A. Overview

In this appendix you will find information on:

- appropriate laws, regulations, and conventions related to NPS museum collections
- governmentwide and departmental standards related to NPS museum collections
- NPS management policies and servicewide standards for museum collections
- mandates and policies for NPS integrated pest management programs

B. Laws, Regulations, and Conventions – NPS Cultural Collections

1. *Laws related to NPS cultural collections*

These laws provide the legal mandates for NPS management of museum collections.

- Act for the Preservation of American Antiquities, June 8, l906 ("The Antiquities Act") (16 USC 431-433):
  - authorizes the President to declare national monuments to protect sites and objects
  - authorizes federal departments to grant permits for survey and excavation and to enforce protection of archeological sites and objects under their jurisdiction
  - requires that excavated materials be permanently preserved in public museums
- Organic Act of 1916 (16 USC 1 et seq.):
  - authorizes the creation of the National Park Service
  - states that the mission of the NPS is "...to conserve the scenery and the natural and historic objects...therein and to provide for the enjoyment of the same in such a manner and by such means as will leave them unimpaired for the enjoyment of future generations"
- Historic Sites Act of 1935 (16 USC 461-467) authorizes the Secretary of the Interior through NPS:
  - to preserve and maintain objects of national historical or archeological significance
  - to establish and maintain museums
- Museum Properties Management Act of 1955, as amended (16 USC, Sect. 18 [f]) authorizes the Secretary of the Interior through NPS:

- to acquire collections through donation, bequest, and purchase and through transfer from other federal agencies

- to exchange collections

- to accept and make loans of museum collections

- to deaccession collections by transfer to qualified federal agencies, conveyance (donation) to qualified tax exempt private institutions and non-federal governmental agencies, and destruction

See Figure A.1 for the complete text of this law.

- Reservoir Salvage Act of 1960, as amended (16 USC 469 - 469C):

  provides for the recovery and preservation of "historical and archeological data (including relics and specimens)" that might be lost or destroyed as a result of the construction of dams and reservoirs.

- Archeological and Historic Preservation Act of 1974 (16 USC 469-469C):

  extends the application of the Reservoir Salvage Act of 1960 to recover and preserve "historical and archeological data (including relics and specimens)" that might be lost or destroyed as a result of any federal construction project or federally-licensed activity or program.

- National Historic Preservation Act of 1966, as amended (16 USC 470 - 470t, Sect. 110):

  directs the Secretary of the Interior to issue regulations that ensure that significant prehistoric and historic artifacts, and associated records, subject to Section 110 of this Act, the Reservoir Salvage Act (as amended), and the Archaeological Resources Protection Act are deposited in an institution with adequate long-term curatorial capabilities.

- Archaeological Resources Protection Act of 1979 (ARPA) (16 USC 470aa-mm):

  - defines archeological resources as any material remains of human life or activities that are at least 100 years of age, and which are capable of providing scientific or humanistic understandings of past human behavior, cultural adaptation, and related topics through the application of scientific or scholarly techniques

  - requires that a permit be obtained before conducting archeological studies on public and Indian lands

  - requires that information on the nature and location of resources on public and Indian lands remain confidential if its release may harm the resources

  - establishes civil and criminal penalties for the excavation, removal, or damage of resources on public and Indian lands without a permit (materials lawfully acquired prior to the passage of the law are not subject to the penalties)

- requires that materials excavated from public lands and Indian lands and associated records be preserved in a suitable repository

- gives the Secretary of the Interior authority to issue regulations for the proper curation of federally-owned and administered archeological collections

- American Indian Religious Freedom Act of 1978 (42 USC 1996):

  - reaffirms the constitutional right of "freedom to believe, express, and exercise the traditional religions of the American Indian, Eskimo, Aleut, and Native Hawaiians, including but not limited to access to sites, use, and possession of sacred objects, and the freedom to worship through ceremonials and traditional rites"

- Native American Graves Protection and Repatriation Act of 1990 (NAGPRA) (25 USC 3001-13):

  - states that lineal descendants or culturally affiliated Indian tribes or Native Hawaiian Organizations may claim ownership or control of Native American human remains, funerary objects, sacred objects, and objects of cultural patrimony that are excavated or discovered on federal or tribal lands after passage of the law

  - establishes criminal penalties for trafficking in remains or objects obtained in violation of the law

  - requires federal agencies and museums that receive federal funding to inventory Native American human remains and associated funerary objects in their possession or control and identify their cultural and geographical affiliations within 5 years

  - requires federal agencies and museums that receive federal funding to prepare summaries of information about Native American unassociated funerary objects, sacred objects, or objects of cultural patrimony within 3 years

  Note: The inventories and summaries provide for repatriation of items when lineal descendants or Native American groups request it.

- National Parks Omnibus Management Act of 1998 (16 USC 5937) Sec. 5937:

  - establishes the confidentially of sensitive information regarding certain types of museum objects and other resources

  - mandates a program of inventory and monitoring for NPS resources

  - allows the withholding of information (in response to a Freedom of Information Act request) on the nature and specific location of resources (specimens) that are endangered, threatened, rare, or commercially valuable, mineral or paleontological, and of objects of cultural patrimony

2. *Regulations related to NPS cultural collections*

The following regulations include major requirements for NPS museum collections management. Many other regulations may apply in specific situations.

- 43 CFR Part 3 "Preservation of American Antiquities" (implementing regulations for the Antiquities Act):

  - authorizes federal land managers to seize materials recovered illegally from archeological resources located on federal lands

  - directs federal land managers to dispose of seized materials by depositing them in the proper national depository or by other means

  - requires that every collection recovered under the Antiquities Act be preserved in the public museum designated in the Antiquities Act permit, and be accessible to the public

  - states that the Secretary of the Smithsonian Institution must approve in writing the removal (deaccession) of an Antiquities Act collection

  - mandates that deaccessioned Antiquities Act collections must be transferred to another public museum

  - requires that an Antiquities Act collection revert to the national collections whenever a museum holding such collections ceases to exist

- 43 CFR Part 7 "Protection of Archeological Resources: Uniform Regulations":

  - requires that repositories proposed by ARPA permit applicants to certify in writing their willingness to assume curatorial responsibility for the collections

  - requires that, for resources located on public lands, repositories must certify that they will safeguard and preserve the collections as property of the United States

  - requires that ARPA permit applicants certify that, not later than 90 days after the final report is submitted to the federal land manager, the collections will be delivered to the repository named in the ARPA permit

  - requires that federal land managers specify in ARPA permits the name of the repository in which collections are to be deposited

  - states that archeological resources excavated or removed from public lands remain the property of the United States

  - states that archeological resources excavated or removed from Indian lands remain the property of the Indian or Indian tribe having rights of ownership over such resources

  - authorizes the Secretary of the Interior to issue regulations for the curation of federally-owned and administered collections. In the absence of such regulations Federal land managers are authorized to provide for the exchange of collections among suitable repositories

  - restates the confidentiality requirement specified in ARPA

- 36 CFR Part 79 "Curation of Federally-Owned and Administered Archeological Collections":

- states the responsibilities of federal agencies to manage and preserve collections

- identifies methods for federal agencies to use to secure and fund curatorial services

- states terms and conditions for federal agencies to include in contracts, memoranda, agreements, and other written instruments with repositories for curatorial services

- establishes standards for federal agencies to use to determine when a repository has the capability to provide long-term curatorial services

- provides guidelines for collections use

- specifies procedures and guidelines for conducting periodic inspections and inventories of collections

3. *International Conventions related to NPS cultural collections*

The following international convention applies to NPS cultural collections.

- 1970 UNESCO Convention on the Means of Prohibiting and Preventing the Illicit Import, Export, and Transfer of Ownership of Cultural Property (implemented in the United States by P.L. 97-446 in 1983, 19 USC 260l). Signatory nations agree to work to prevent the import of and trade in archeological and ethnographic materials (when requested) and in stolen cultural collections. This convention:

  - was ratified by the United States and 90 other nations by 2000.

  - provides protection for archeological and ethnographic materials when the home nation requests that other signatories not import these materials. (As of 2000, Bolivia, Cambodia, Canada, Cyprus, El Salvador, Guatemala, Mali, and Peru have had such requests approved.)

  - provides protection for stolen property, including cultural and natural history collections, that have been taken from a museum or public institution (including churches, monuments, and archeological sites) To be covered, the materials must have been previously inventoried as part of the institution's collection.

  - exempts objects imported for temporary exhibits

  Note: The United States and France are the only major art-importing countries to sign the convention to date; Canada, Korea, and Australia are also signatories. It is enforced in the United States by the Customs Service.

4. *Contacts for laws, regulations, and conventions – NPS cultural collections*

Direct questions relevant to laws and regulations about cultural collections to the regional/support office (SO) curator, the regional archeologist, historian, archivist, and ethnographer.

For information on the 1970 UNESCO Convention on the Means of Prohibiting and Preventing the Illicit Import, Export, and Transfer of Ownership of Cultural Property, contact:

Cultural Property Advisory Committee
United States Department of State

SA 44, Room 247
Washington, DC 20547
Telephone: 202-619-6612
Fax: 202-619-5177
Email: culprop@usia.gov
http://exchanges.state.gov/education/culprop

C. Laws, Regulations, and Conventions – NPS Natural History Collections

1. *Laws related to NPS natural history collections*

These laws relate to NPS natural history collections.

- Lacey Act of 1900 (18 USC 43-44):

  - makes the violation of any state, federal, or foreign wildlife law a federal offense

  - places stipulations on the importing and labeling of wildlife and their parts

  - poses complex problems for museums in relation to the acquisition and deaccession of wildlife materials and the sale of wildlife materials in museum shops because it is hard to prove the legal history of such pieces

  - requires proof of intentional violation for enforcement, but ignorance of the relevant state, federal, or foreign statutes is not excusable.

  Note: The Black Bass Act of 1930 (16 USC 851) added fish to the list of wildlife under the Lacey Act.

- Migratory Bird Treaty Act of 1918 (16 USC 703-711):

  - protects birds flying between the United States and Canada, Mexico, and Japan

  - covers all wild, native birds not legally hunted by state law

  - clarifies that some non-native species may be covered by state law and, therefore, by the Lacey Act

  - makes it illegal to kill, capture, collect, possess, buy, sell, ship, import, or export listed species including their parts, nests, and eggs

  - allows museums and non-commercial institutions to get permits for legal possession, collection, and transportation of objects, but permits impose extensive record-keeping requirements

  - states that only museums and other specified institutions can purchase any protected bird or part thereof, and the seller must possess a federal permit for a legal sale

- Bald Eagle Protection Act of 1940 (16 USC 668a), amended in 1962 to include golden eagles:

  - prohibits taking, buying, selling, trading, possession, importation or exportation of eagles or their parts, nests, eggs, or products made of

them

- authorizes permits for taking, possessing, and transporting eagles and their parts for scientific, exhibition, and Native American religious purposes

- exempts possession and transportation of eagles held prior to the law

- requires permits for any materials acquired by museums after the law was established

- Marine Mammal Protection Act of 1972 (16 USC 1361-1407):

  - places a moratorium on the killing of marine mammals by United States citizens

  - restricts the possession, sale, purchase, importation, or transportation of the animals and their products and parts

  - requires permits for exhibiting marine mammals and their parts and for holding them in storage.

  - allows Native peoples to use such parts for the manufacture and sale of handcrafts as long as the sale is handled by a licensed dealer

  - exempts museums from permit requirements for pre-Act materials or to purchase legitimate handcrafts, although they should consider getting permits for all other marine mammal materials.

- Endangered Species Act of 1973, as amended (16 USC 1531-1543):

  - prohibits harassing, harming, or killing listed species

  - prohibits the purchase, sale, or use of listed species or parts thereof in the course of an interstate commercial activity. Intra-state transactions are allowed if pre-Act ownership can be proven.

  - doesn't apply to fossils and objects greater than 100 years old, but age must be verified

  - requires park museums to have a permit to purchase more recent objects that contain parts of endangered or threatened species

  - allows gifts of endangered or threatened specimens to museums if there is proof of pre-Act ownership and if the objects have not been offered for sale since the date of this law.

  - allows loans or gifts between educational institutions. In such instances permits are not required, even if the objects cross state lines.

2. *Regulations related to NPS natural history collections*

The following regulations apply to NPS museum collections.

- 36 CFR, Section 2.5 (Revision effective April 30, 1984), "Research Specimens" Section 2.5(g) states: "Specimen collection permits shall contain the following conditions:

  - Specimens placed in displays or collections will bear official National Park Service museum labels and their catalog numbers will

be registered in the National Park Service National Catalog.

- Specimens and data derived from consumed specimens will be made available to the public and reports and publications resulting from a research specimen collection permit shall be filed with the superintendent."

Note: A revision to 36 CFR 2.5 is in progress.

- 50 CFR, Sections 17.11 and 17.12, "Endangered and Threatened Wildlife and Plants." These annually revised sections provide lists of names of all the species of wildlife and plants determined to be endangered or threatened.

3. *International conventions related to NPS natural history collections*

The following international convention applies to NPS natural history collections.

- Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES):

  - protects endangered species of plants and animals by regulating imports and exports

  - was ratified by the United States in 1974, and by 150 other nations by 2000

  - allows for certificates of exemption for the import or export of items acquired before CITES, and for non-commercial exchange between institutions

  - is enforced in the United States by the Fish and Wildlife Service

  - includes three appendices that protect materials of varying degrees of scarcity:

    Appendix I. Species are in danger of extinction and there is no commercial trade in them. Any international transport of these materials requires permits from both the exporting and importing nations.

    Appendix II. Species require strict regulation to prevent the danger of extinction and/or look like Appendix I species. Permits for international transport are issued by the exporting nation, and are allowed for any purpose not detrimental to the species.

    Appendix III. Species are protected only within their native countries. They require permits for export even if they are plentiful elsewhere.

4. *Contacts for laws, regulations, and conventions – NPS natural history collections*

Direct questions relevant to the Endangered Species Act, and other laws and regulations about natural history collections to the regional/support office curator and the regional chief of natural resources management (or equivalent).

For information on CITES and other wildlife laws, including procedures and applications for getting permits to have endangered or threatened wildlife and plants in a park's museum collection, contact:

U.S. Department of the Interior
Fish and Wildlife Service
Office of Management Authority
4401 North Fairfax Drive, Room 700
Arlington, VA 22203

Tel: 703-358-2104
<http://international.fws.gov/global/cities.html

CITES Secretariat
15 chemin des Anemones
1219 Chatelaine-Geneva
Switzerland

<http://www.cites.org>

D. Policies and Standards

1. *Governmentwide and departmental policies and standards related to NPS museum collections*

The following governmentwide and departmental policies and standards apply to NPS museum collections:

- 41 CFR 101 Federal Property Management Regulations (FPMR) prescribes regulations, policies, procedures, and delegations of authority about the management of federal property.

- Interior Property Management Regulations, *Departmental Manual* Part 410, Personal Property Management (Subpart 114-60):

  - prescribes policies, procedures, and responsibilities governing the receipt, accountability, record-keeping, management, and survey of personal property in the Department of the Interior (DOI)

  - applies to all personal property acquired by all DOI bureaus and offices

  - ensures the safeguarding of government property against waste, fraud, and abuse

  - references the management of museum collections, noting exceptions to normal property procedures. These references are summarized in Figure A.2.

- *Departmental Manual* Part 411, Museum Property Management, Chapters 1-3:

  - defines the types of museum property

  - establishes organizational responsibilities, policies, and standards for the preservation, protection, and documentation of museum property

  - establishes organizational responsibilities for developing plans to implement these policies and standards

  - identifies mandatory procedures, reports, and data

- *Departmental Manual* Part 517, Chapter 1, Pesticide Use Policy,

outlines the pesticide use policy of the Department of the Interior. It is the policy of the Department:

"To use pesticides only after full consideration of alternatives - based on competent analyses of environmental effects, safety, specificity, effectiveness, and costs. The full range of alternatives including chemical, biological, and physical methods, and no action will be considered. When it is determined that a pesticide must be used in order to meet important management goals, the least hazardous material that will meet such goals will be chosen."

2. *NPS management policies for museum collections*

Excerpts from NPS *Management Policies* (1988) that are specifically relevant to museum objects are as follows (chapter and page references appear in parentheses). This section will be updated when the revised *Management Policies* is issued (anticipated fall 2000).

Chapter 5 - Cultural Resource Management

Inventories (Page 5:1)

"The following cultural resource inventories will be maintained for the national park system: …(3) a National Catalog of Museum Objects encompassing all cultural and natural history objects in NPS collections."

Preservation of Data and Collections and Protection of Research Potential (Page 5:3)

"Field data, objects, specimens, and features of structures retrieved for preservation during cultural resource research and treatment projects, together with associated records and reports, will be managed within the park museum collection. Where practical, the features of sites and structures will be left in place."

Treatment of Museum Objects (Pages 5:9-10)

"Preservation. A museum object will be preserved in its present condition through ongoing preventive conservation if (1) that condition is satisfactory for exhibit or research, or (2) another treatment is warranted but cannot be accomplished until some future time. Interventional measures will be taken when preventive conservation measures are insufficient to reduce deterioration to a tolerable level, or when the object is so fragile as to be endangered under any circumstances. Intervention will be minimized to reduce the possibility of compromising the object's integrity.

Restoration. A museum object may be restored to an earlier appearance if (1) restoration is required for exhibit or research purposes, (2) sufficient data exist to permit restoration with minimal conjecture, and (3) restoration will not modify the object's known original character. Restoration will be accomplished using the techniques and materials that least modify the object and in such manner that the materials will be removable at a later time with minimal adverse effect. Restored areas will be distinguishable from original material and documented. Restoration will take into account the possible importance of preserving signs of wear, damage, former maintenance, and other historical and scientific evidence.

Reproduction. Museum objects needed for interpretive presentations will be reproduced for such use when the originals are unavailable or would be subject to undue deterioration or loss. The National Park Service will observe copyright laws with respect to reproduction."

Acquisition, Management, and Disposition of Museum Objects (Page 5:10)

"Objects and related documentation essential to achieving the purposes and objectives of the parks will be acquired and maintained in accordance with approved Scope of Collection Statements for each park. Archeological objects systematically collected within a park and natural history specimens systematically collected within a park for exhibit or permanent retention will be managed as part of the museum collection. Museum collection management and care will be addressed at all appropriate levels of planning.

Museum objects will be acquired and disposed of in conformance with legal authorizations and current NPS curatorial procedures. The National Park Service will acquire only collections having legal and ethical pedigrees, and each park will maintain complete and current accession records to establish the basis for legal custody of the objects in its possession. Museum catalog records will be prepared by each park to record basic property management data and other documentary information for museum objects. Objects will be inventoried in accordance with current procedures."

Historic Furnishings (Page 5:10)

"When the historic furnishings of a structure are present in their original arrangement, they will not be moved or replaced unless required for their protection or preservation, or unless the structure is designated for another use in an approved planning document. A structure may be refurnished in whole or in part if (1) its history is significantly related to a primary park theme, (2) refurnishing is the best way to interpret that history to the public, and (3) sufficient evidence of furniture design and placement exists to refurnish with minimal conjecture. Reproductions will be used only when prototypes exist to ensure the accurate re-recreation of historic pieces."

Archives and Manuscripts (Pages 5:10-11)

"Archival and manuscript collections are considered museum property and will be managed in ways that preserve them intact for the future while providing current access.

When an archival collection not owned by the National Park Service falls within a park's approved Scope of Collection Statement, every reasonable effort will be made to acquire it if (1) an appropriate storage facility will be provided by the Park Service or a cooperating institution, (2) the facility will be staffed by at least one archivist,

curator, librarian, or other person experienced in caring for documentary materials, and (3) the collection will be made available to serious researchers under conditions that maximize both preservation and use and ensure security against theft and vandalism.

Parks will retain notes or copies of records significant to their administrative histories when they periodically ship their official records to federal record centers."

Fire Detection and Suppression (Page 5:14)

"When warranted by the significance of a historic structure or of the museum objects in a nonhistoric structure, adequate fire detection, warning, and suppression systems will be installed. Fire-fighting personnel will be advised of any peculiarities or dangers inherent in a structure and any objects to be given priority for protection or rescue. Park personnel will receive training in fire prevention and suppression with hand-held extinguishers at historic structures and museums, and designated personnel will be trained to respond to all emergencies involving museum collections.

Smoking will not be permitted in spaces housing museum collections or in historic structures other than those adapted for modern residential and administrative uses."

Pest Management (Page 5:14)

"The National Park Service will follow the integrated pest management approach in addressing pest problems related to cultural resources. All feasible nonchemical methods will be exhausted before resorting to the use of chemicals. Any use of pesticides for cultural resources will conform to the NPS pesticide use policy."

Chapter 4 - Natural Resource Management

Natural Resource Collections (Page 4:4)

"Natural resource collections include nonliving and living specimens and associated field records. If placed in exhibits or retained in permanent collections, nonliving specimens and their associated field records will be cataloged into a park's museum collection. Management standards for such collections are specified in the *Cultural Resource Management Guideline* and the *Museum Handbook*."

Integrated Pest Management Procedures (Page 4:13)

Integrated pest management (IPM) procedures will be used to determine when to control pests and whether to use mechanical, physical, chemical, cultural, or biological means….

The choice to use a chemical pesticide will be based on a review by regional and Washington office coordinators of all other available options and a determination that these options are either not acceptable or not feasible; cost or staffing considerations alone will not be adequate justification for use of chemical control agents. Chemical pesticides that are not specifically exempt from reporting (regardless of who the applicator is) will be used only with prior approval by the

Director on an annual basis. The application of such pesticides is subject to the Federal Insecticide, Fungicide, and Rodenticide Act (7 USC 136 et seq.), Department of the Interior policies and procedures (DM 517),…Environmental Protection Agency regulations in 40 CFR, and Occupational Safety and Health Administration regulations."

Paleontologic Resource Management (Page 4:19)

"Management actions will be taken to prevent illegal collecting and may be taken to prevent damage from natural processes such as erosion. Protection may include construction of shelters over specimens for interpretation in situ, stabilization in the field, or collection, preparation, and placement of specimens in museum collections. The localities and geologic settings of specimens will be adequately documented when specimens are collected."

Chapter 7 - Interpretation and Education

Interpretation and Native Americans (Page 7:5)

"The National Park Service will not exhibit native American disinterred skeletal or mummified human remains or photographs or replicas of them. There will be no display of grave goods or other objects if native Americans who are culturally associated with them object to such exhibit. Associated native American tribes and groups will be consulted to determine the religious status of any object, the sacred nature of which is suspected but not confirmed, before it is exhibited or before any action is taken."

Chapter 8 - Use of the Parks

Research and Collection Activities (Pages 8:15-16)

"Research activities by non-NPS personnel that, in the superintendent's judgment, might disturb resources or visitors or that require the waiver of any regulation may be allowed in parks only pursuant to the terms and conditions of an appropriate permit. Scientific collecting activities that involve the removal of plants, animals, minerals, or archeological, historical, or paleontological objects will be allowed only if they are (1) proposed in conjunction with authorized research activities and (2) authorized and conducted in accordance with all applicable legislation, regulations, and guidelines…."

Chapter 9 - Park Facilities

Curatorial Facilities (Page 9:15)

"Park curatorial facilities should be adapted to the needs of each park. They may share space in visitor centers or administrative office buildings or be housed in completely separate buildings; however, incorporation with maintenance facilities should be avoided because of the heightened danger of fire, chemical spills, and similar accidents. Curatorial facilities will meet the collection's special requirements for security, fire suppression, and environmental controls."

Chapter 10 - Concessions Management

Merchandise and Handcrafts (Pages 10.8-9)

> "Concessioners may not sell merchandise that violates conservation principles. The sale of original prehistoric or historic archeological artifacts or vertebrate paleontologic specimens is prohibited. Clearly labeled replicas of such artifacts and specimens may be sold."

3. *NPS Director's Orders and guidance for museum collections*

Director's Orders supplement the NPS *Management Policies*. All Director's Orders are on the Web at <http://www.nps.gov/refdesk/DOorders/>.

Director's Order #28: Cultural Resource Management

Director's Order #28: Cultural Resource Management, is implemented through Release No. 5 of the *Cultural Resource Management Guideline* (1997). The *Cultural Resource Management Guideline* gives guidance on how to apply policies and standards. The *Cultural Resource Management Guideline* applies to museum objects and archival and manuscript collections that are housed in parks, archeological and preservation centers, and other NPS organizational units. Excerpts from this guideline follow:

Research

- Each park has an approved stand-alone Scope of Collection Statement defining the purpose and prescribing limits and use of its museum collection.

- Every museum object is accessioned as soon as it is in NPS custody and cataloged promptly thereafter. Paper museum records and ANCS+ magnetic media are kept in secure fire-resistant storage.

- All materials resulting from systematic research projects associated with an accession are housed at the same repository, except when on temporary loan for specific use elsewhere. Within that repository, objects and records composing an accession may be stored or filed separately from related objects and records to the extent required for security, fire protection, enhanced or reduced access, preservation, fiscal control, or exhibition.

- Each park has consulted with affected Native Americans on any acquisitions that involve human remains and associated funerary objects, unassociated funerary objects, sacred objects, or objects of cultural patrimony.

- Archival and manuscript collections are surveyed, appraised, accessioned, cataloged, rehoused, arranged, and described according to procedures and guidelines contained in the *Museum Handbook*, Part II, Appendix D.

- Archival and manuscript collections are arranged and described by or under the guidance of an archivist in accordance with professional standards and procedures. A preliminary finding aid is produced as described in the *Museum Handbook*, Part II, Appendix D.

- Museum objects not relevant to a park according to its SOCS are deaccessioned as permitted by current NPS procedures.

- Archeological objects and natural history specimens systematically collected within a park are deaccessioned only if lost or so deteriorated that they no longer have scientific value.

- Objects and archival and manuscript collections in a park's museum collection are made available to qualified researchers who can demonstrate a need to use them. Access is permitted under conditions

designed to ensure the security and preservation of the materials, including adequate staff supervision. Copyright is respected in accordance with guidance in the *Museum Handbook*, Part I, Chapter 2; the *Museum Handbook*, Part II, Chapter 2 and Appendix D.

- Each outgoing loan is documented by an outgoing loan agreement. All loaned museum objects are cataloged unless loaned to NPS repositories for collections management and storage purposes. Conditions for preserving, handling, and shipping and an itemized list of museum objects are included in a loan agreement.

Planning

- Plans for park management, development, exhibits, interpretation, and research address the proper documentation, protection, preservation, and use of objects.

- Each park and center has a collection management plan to guide proper management and care of its museum collection and a separate collection storage plan if necessary.

- Each park and center has one or more collection condition surveys to detect problems with the condition of museum objects and determine conservation treatment priorities.

- Proposals for environmental control measures in historic structures are based on data from environmental monitoring for at least one year.

- Each park ensures that the cataloging and curation of objects, specimens, and associated records recovered from archeological and scientific projects are accomplished.

- Each park ensures that approved museum plans and reports are entered in the Cultural Resources Management Bibliography (CRBIB).

Stewardship

- Each park and center has identified threats to the security and protection of its museum collection and has taken appropriate measures to deal with them, including emergency planning.

- Each park and center has implemented a preventive conservation program whereby museum objects are exhibited, handled, and stored with sensitivity to their specific environmental needs and vulnerabilities and are regularly inspected for evidence of deterioration.

- Preservation and use of museum objects accords with Director's Order #24: NPS Museum Collections Management; the *Museum Handbook*, Part I; and National Archives and Records Administration standards.

- Conservation treatment required to stabilize or restore museum objects entails the least intervention necessary to satisfy treatment goals.

- Inventories of museum objects and status reports on collections are completed and submitted in accordance with current NPS museum property procedures and other administrative requirements.

- Any use of museum objects likely to damage them or hasten their

deterioration is undertaken only after careful review and approval.

Director's Order #24: NPS Museum Collections Management

Director's Order #24: NPS Museum Collections Management, gives requirements for managing park museum collections. It is supplemented by the *Museum Handbook*, Parts I-III. Director's Order #24 is reprinted in full in Figure A.3.

E. List of Figures

Figure A.1. Museum Properties Act of 1955 as Amended November 12, 1996

Figure A.2. References to Museum Collections Management in Interior Property Management Regulations

Figure A.3. Director's Order #24: NPS Museum Collections Management

16 USC Sec. 18f Management of museum properties

The purpose of this section and sections 18f-2 and 18f-3 of this title shall be to increase the public benefits from museums established within the individual areas administered by the Secretary of the Interior through the National Park Service as a means of informing the public concerning the areas and preserving valuable objects and relics relating thereto. The Secretary of the Interior, notwithstanding other provisions or limitations of law, may perform the following functions in such manner as he shall consider to be in the public interest:

(a) Donations and bequests—Accept donations and bequests of money or other personal property, and hold, use, expend, and administer the same for purposes of this section and sections 18f-2 and 18f-3 of this title;
(b) Purchases—Purchase museum objects, museum collections, and other personal properties at prices he considers to be reasonable;
(c) Exchanges—Make exchanges by accepting museum objects, museum collections, and other personal properties, and by granting in exchange therefore museum property under the administrative jurisdiction of the Secretary which is no longer needed or which may be held in duplicate among the museum properties administered by the Secretary, such exchanges to be consummated on a basis which the Secretary considers to be equitable and in the public interest;
(d) Accepting loans of museum objects—Accept the loan of museum objects, museum collections, and other personal properties and pay transportation costs incidental thereto, such loans to be accepted upon terms and conditions which he shall consider necessary; and
(e) Making loans of museum objects—Loan to responsible public or private organizations, institutions, or agencies, without cost to the United States, such museum objects, museum collections, and other personal property as he shall consider advisable, such loans to be made upon terms and conditions which he shall consider necessary to protect the public interest in such properties.

Sec. 18f-1. [Does not apply to the National Park Service.]

Sec. 18f-2. Additional functions

(a) Museum objects and collections—In addition to the functions specified in section 18f of this title, the Secretary of the Interior may perform the following functions in such manner as he shall consider to be in the public interest:

(1) Transfer museum objects and museum collections that the Secretary determines are no longer needed for museum purposes to qualified Federal agencies, including the Smithsonian Institution, that have programs to preserve and interpret cultural or natural heritage, and accept the transfer of museum objects and museum collections for the purposes of this section and sections 18f and 18f-3 of this title from any other Federal agency, without reimbursement. The head of any other Federal agency may transfer, without reimbursement, museum objects and museum collections directly to the administrative jurisdiction of the Secretary of the Interior for the purpose of this section and sections 18f and 18f-3 of this title.

(2) Convey museum objects and museum collections that the Secretary determines are no longer needed for museum purposes, without monetary consideration but subject to such terms and conditions as the Secretary deems necessary, to private institutions exempt from Federal taxation under section 501(c)(3) of title 26 and to non-Federal governmental entities if the Secretary determines that the recipient is dedicated to the preservation and interpretation of natural or cultural heritage and is qualified to manage the property, prior to any conveyance under this subsection.

(3) Destroy or cause to be destroyed museum objects and museum collections that the Secretary determines to have no scientific, cultural, historic, educational, esthetic, or monetary value.

(b) Review and approval—The Secretary shall ensure that museum collections are treated in a careful and deliberate manner that protects the public interest. Prior to taking any action under subsection (a) of this section, the Secretary shall establish a systematic review and approval process, including consultation with appropriate experts, that meets the highest standards of the museum profession for all actions taken under this section.

Sec. 18f-3. Application and definitions

(a) Application—Authorities in this section and sections 18f and 18f-2 of this title shall be available to the Secretary of the Interior with regard to museum objects and museum collections that were under the administrative jurisdiction of the Secretary for the purposes of the National Park System before November 12, 1996, as well as those museum objects and museum collections that may be acquired on or after November 12, 1996.

(b) Definitions—For the purposes of this section and sections 18f and 18f-2 of this title, the terms “museum objects” and “museum collections” mean objects that are eligible to be or are made part of a museum, library, or archive collection through a formal procedure, such as accessioning. Such objects are usually movable and include but are not limited to prehistoric and historic artifacts, works of art, books, documents, photographs, and natural history specimens.

Figure A.1. Museum Properties Act of 1955 as amended November 12, 1996

114-60.100(b)	All museum property is accountable with no dollar threshold.
114-60.100(e)	Museum property is not capitalized.
114-60.100(n)	Definition of museum property
114-60.100(bb)	Sensitive property shall, at a minimum, include firearms…
114-60.200(a)	(1)…museum property will not be controlled in a general ledger control account. All items in a museum collection will be controlled through accessioning and cataloging.
114-60.401(c)	All museum property is controlled through accessioning and cataloging, regardless of value.
114-60.503(e)	An Accession Receiving Report will be used to document receipt of museum property.
114-60.601(b)	Because permanent marking of museum property is potentially damaging, items of museum collections are exempted from the marking requirements of this subpart. Bureaus and offices having museum collections will develop and implement procedures: (NPS procedures are outlined in the NPS *Museum Handbook*, Part II).
114-60.802-1(a)	A Certificate on Unserviceable Property will not be issued for…museum property.
114-60.811-2(f)	Examples of property irregularities include…loss or theft of a firearm or weapon.

Figure A.2. References to Museum Collections Management in Interior Property Management Regulations, *Departmental Manual* Part 410, Personal Property Management (Subpart 114-60)

Figure A.3. Director's Order #24: NPS Museum Collections Management

National Park Service

DIRECTOR'S ORDER #24: NPS MUSEUM COLLECTIONS MANAGEMENT

Approved: /s/ Robert Stanton (original on file)
Director, National Park Service

Effective Date: August 21, 2000
Sunset Date: August 21, 2004

This Director's Order supplements NPS *Management Policies* and, augmented by procedures in the *Museum Handbook*, supercedes Special Directives 80-1, "Guidance for Meeting NPS Preservation and Protection Standards for Museum Collections"; 87-3, "Conservation of Archeological Resources," as it pertains to museum collections; 91-4, "Ensuring that Natural Resource Projects Fund the Curation of Collections"; 94-6, "Ensuring that Projects Generating Museum Collections Fund Cataloging and Basic Preservation"; 93-2, "Preserving NPS Cellulose Nitrate Film Collections"; and Staff Directive 87-1, "NPS Clearinghouse Procedures and Requirements Regarding Disposal and Acquisition of Excess and Needed Museum Objects."

1. Background and Purpose

The National Park Service is custodian in perpetuity of irreplaceable and priceless museum collections that include objects, specimens, and archival and manuscript materials (textual, electronic, and audio-visual documents), representing cultural and natural resources in the United States, including but not limited to the disciplines of archeology, biology, ethnology, geology, history, and paleontology. NPS museum collections are part of the natural and cultural heritage of the country and are collected, preserved, and interpreted for public benefit.

NPS museum collections inform and enhance every aspect of park work, from resource management and interpretation, to research and public accountability. Featured in exhibits, interpretive programs, films, and print and electronic publications, NPS museum collections are key resources for educators, students, researchers, park managers, park neighbors, and the general public. Accessibility of museum collections is a prime component of museum management.

The NPS *Management Policies* lay the foundation by which the NPS meets its responsibilities toward these museum collections. This Director's Order provides further policy guidance, standards, and requirements for preserving, protecting, documenting, and providing access to, and use of, NPS museum collections.

2. Authority for this Director's Order

Authority for issuing this Director's Order is found in 16 U.S.C. 1 through 4, and delegations of authority contained in Part 245 of the Department of the Interior Manual. Additional key related authorities are found in the Antiquities Act of 1906 (16 U.S.C. 431-433), the Historic Sites Act of 1935 (16 U.S.C. 461-467), the Management of Museum Properties Act of 1955, as amended (16 U.S.C. 18f), the Archaeological Resources Protection Act of 1979 (16 U.S.C. 470aa-mm), the Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. 3001), and the Departmental Manual 411 DM, Managing Museum Property.

3. Objectives

The objectives of this Director's Order, in conjunction with the accompanying Level 3 *Museum Handbook*, are to:

- Ensure that NPS managers and staff have information on the standards and actions for successfully and ethically complying with NPS *Management Policies* on museum collections.

- Provide a means of measuring and evaluating progress in preserving, protecting, documenting, accessing, and using museum collections.

4. Responsibilities

4.1 Associate Director, Cultural Resource Stewardship and Partnerships

The Associate Director, Cultural Resource Stewardship and Partnerships, with the assistance of the Chief Curator, has the following responsibilities:

4.1.1 Code of Ethics: Follow the Code of Ethics for the museum management program.

4.1.2 *Museum Handbook*: Develop, issue, and periodically update a *Museum Handbook* containing the information park managers need to know to comply with laws, departmental and Service-wide policies, regulations, professional standards, and a code of ethics applicable to museum collections management. Include in the *Museum Handbook*, as a supplement to this Director's Order, specific guidance for collecting, preserving, protecting (including security and fire protection), documenting, accessing, and using museum collections, clearly distinguishing between those actions that are mandatory requirements and those that are discretionary. Cite those laws, policies, and regulations in relevant sections.

4.1.3 Strategic Plans: Develop strategic plans and goals to improve and maintain the management of NPS museum collections Service-wide, consistent with the Government Performance and Results Act of 1993 (31 USC 1115).

4.1.4 National Catalog: Maintain for management and public benefit a National Catalog of Museum Objects, consisting of electronic and paper catalog records, with accession and catalog data for all parks. Develop and maintain an automated collections management program (the Automated National Catalog System [ANCS+ and its successor]) for use by parks, centers, and offices Service-wide, as well as the general public.

4.1.5 Report Requirements and Analysis: Identify reports that are required annually, or at other times, to further museum collections management. Reporting requirements will be kept to the minimum necessary. Maintain, analyze, and report on data submitted by parks, centers, and regions, including: the Collections Management Report, the NPS Checklist for Preservation and Protection of Museum Collections; funding distributions and accomplishments; and other required reports and surveys.

4.1.6 Annual Inventory: Review regional certifications of annual inventories, and take any necessary corrective action.

4.1.7 Museum Supplies, Equipment, and Technologies: Research products and facilitate park and center acquisition and use of appropriate supplies, forms, equipment, and technologies for management of museum collections.

4.1.8 Service-wide Initiatives: Develop and coordinate Service-wide initiatives and funding to improve museum management.

4.1.9 Technical Information: Publicize and disseminate technical information on museum management, including conservation and archival collections management.

4.1.10 Information Access: Develop and maintain access to Service-wide information on NPS museum collections through various media (for example, ANCS+ and World Wide Web).

4.1.11 Professional Qualifications and Training: Evaluate Service-wide professional competencies and training needs in museum management, and develop strategies, guidelines, and curricula to meet those needs. Coordinate training to address new technologies, programs, and initiatives.

4.1.12 Plan Review: Review draft park plans that receive Washington Office review, such as General Management Plans, for appropriate coverage of museum management.

4.1.13 Technical Assistance: Provide technical assistance and advice to park and center managers regarding acquiring, preserving, protecting, documenting, accessing, and using museum collections. Provide this assistance and advice at the request of regions.

4.2 Regional Directors and WASO Associate Directors with Museum Collections Responsibility

Regional directors (assisted by regional museum support staff), and WASO associate directors accountable for museum collections, have the following responsibilities:

4.2.1 Code of Ethics: Follow the Code of Ethics for the museum management program.

4.2.2 Plan and Performance Review: Use the strategic and annual performance planning processes, the park planning process, and the performance management system to ensure that superintendents and center managers meet their responsibilities to manage museum collections according to this directive. Review park plans for appropriate coverage of museum collections management, and to ensure consistency with NPS requirements.

4.2.3 Technical Assistance: Provide technical assistance to parks and centers to assist them in meeting NPS museum management requirements, and in providing for access and use of collections.

4.2.4 Staffing and Training: Evaluate museum management staffing and training needs, and develop and provide training to park and center staff. Regional directors will alert the Associate Director, Cultural Resource Stewardship and Partnerships, about regional training needs that may apply Service-wide.

4.2.5 Plans, Priorities, and Reports: Develop plans and set priorities (including funding priorities) for managing museum collections based on all approved planning documents and information provided through Service-wide reports and requirements, including the Collections Management Report, NPS Checklist for Preservation and Protection of Museum Collections, and Automated Inventory Program. Review reports to ensure that parks and centers meet reporting requirements.

4.2.6 Annual Inventory Certification: Annually certify to the Associate Director, Cultural Resource Stewardship and Partnerships, Attention: Chief Curator, no later than September 30 each fiscal year, that parks and centers have completed their annual inventories. Review park and center annual inventories and take any necessary corrective actions. Establish a regular schedule for parks in the region to submit the inventories.

4.2.7 Destructive Analysis and Consumptive Use: After careful review, if the benefits can be clearly shown to outweigh the resulting or potential damage or loss, approve destructive analysis of rare or highly significant objects, specimens, and archival items, and any consumptive use of museum collections.

4.2.8 Unconditional Gifts: Grant exceptions to the unconditional gift policy on a rare, and case-by-case basis.

4.3 Park Superintendents and Center Managers

Park superintendents, center managers, and others who manage collections (with the assistance of museum management staff) have the following responsibilities:

4.3.1 Code of Ethics: Follow the Code of Ethics for the museum management program.

4.3.2 Standards: Meet museum management standards in the NPS *Museum Handbook* (Parts I-III) for:

- acquiring, preserving, protecting, documenting (including accessioning, cataloging, lending, deaccessioning), accessing, and using museum collections; and
- completing actions specific to archival and manuscript collections (appraising, arranging, describing, producing finding aids, and providing reference and duplication services).

4.3.3 Procedures: Follow procedures in the *Museum Handbook*.

4.3.4 Ongoing and Corrective Actions: Provide ongoing funding for recurring museum management functions and take appropriate action to correct identified preservation, protection, documentation, and access and use deficiencies, including programming for funding to correct such deficiencies. Complete Project Management Information System (PMIS) and Resource Management Plan (RMP) project statements that identify all preservation, protection, documentation, access and use needs.

4.3.5 Staffing and Training: Evaluate and address museum management staffing and training needs according to established personnel qualifications standards and Service-wide professional competencies.

4.3.6 Scope of Collection: Approve and keep current a Scope of Collection Statement to identify the scope of collecting activities and define the purpose of the collection. Ensure acquisitions are consistent with the Scope of Collection Statement. Deaccession objects inconsistent with the Scope of Collection Statement.

4.3.7 Collection Management Plan: Approve, keep current, and implement a Collection Management Plan to:

- evaluate issues of preserving, protecting (including security and fire protection), documenting, accessing and using collections;
- address issues specific to archival and manuscript collections (appraising, arranging, describing, producing finding aids, and providing reference and duplication services); and
- propose a strategy to address the issues, including staffing and cost estimates.

4.3.8 Housekeeping Plan: Approve, keep current, and implement a Housekeeping Plan for every space that houses museum collections, to ensure that housekeeping routines are sensitive to museum collections preservation needs.

4.3.9 Integrated Pest Management: Approve, keep current, and implement an Integrated Pest Management Plan that addresses the museum collections.

4.3.10 Emergency Operation: Approve, keep current, and implement a Museum Collections Emergency Operations Plan, as part of the park's Emergency Operations Plan, that identifies museum collection vulnerabilities to events (such as fire, earthquakes, and floods), and identifies responses that will protect resources without endangering human health and safety. Ensure staff is practiced and prepared for emergency response.

4.3.11 Job Hazard Analysis: Complete a Job Hazard Analysis (JHA) for all museum jobs that have an associated history of injury, illness, or death; or that require the use of personal protection equipment, such as respirators; or that involve activities that are clearly dangerous, such as handling collections with mold, working with toxic or flammable chemicals, or operating heavy machinery.

4.3.12 Collection Condition: Monitor and record information about the environment in spaces housing collections and manage the environment to maximize preservation. Complete Collection Condition Surveys, as needed, to assess conditions in spaces housing museum collections, to record the condition of objects or groups of objects, and to determine treatment needs and priorities. Incorporate survey data in ANCS+ and in accession or catalog files.

4.3.13 Accession and Catalog Records: Accession collections upon acquisition to establish basic accountability. Catalog the collections immediately following acquisition, or program to catalog them in the near future. Survey, appraise, rehouse, arrange, and describe archival and manuscript collections and prepare

finding aids. Develop park archival duplication and reference procedures. Have PMIS statements in place to address eliminating any archival processing backlog.

4.3.14 Accession and Catalog Backup: Maintain a complete current backup of all electronic accession and catalog records at a location that is not vulnerable to the same catastrophic events as the computer workstation. Submit a complete annual backup to the National Catalog in Harpers Ferry, West Virginia.

4.3.15 Unconditional Gifts: Accept only unconditional gifts and bequests, and, where possible, obtain applicable copyrights and releases with acquisitions. Obtain regional director's approval for rare exceptions, on a case-by-case basis.

4.3.16 Project-generated Collections: Require project budgets to include funding for the basic management of collections that are project-generated. Collections management includes cataloging; labeling; conservation examination and treatment (including specimen preparation); initial storage of objects and specimens; and organization and storage of project documentation, including appraisal, arrangement, description, finding aid production, and appropriate archival housing.

- Before starting, permitting, or contracting a project, specify in writing in the task directive, proposal, agreement, permit, or contract, the parties responsible, the designated NPS or non-NPS repository, the collections management tasks, and a time schedule for completion.
- Fund subsequent ongoing maintenance costs of collections management from the operating base of the responsible park, center, or other repository.
- If project-generated collections cannot be accommodated in available storage space, and new storage space construction is necessary, program to construct new space to accommodate the expanded collection. If interim storage is needed, specify in the project task directive the location of that storage, and state that it must meet NPS standards. Identify the funding source for interim storage.

4.3.17 Systematic Collections: Add collections made through systematic research to the museum collection. House those associated with a single accession at the same repository to facilitate research and use. As appropriate, lend these collections for exhibit, research, conservation, and other approved uses. Superintendents may authorize housing of collections from the same accession at different repositories if by so doing preservation, research, and use will be improved.

4.3.18 Collections Management Report: Annually complete the automated Collections Management Report (CMR), using ANCS+. The report provides information on accessions, deaccessions, cataloging, backlogs of objects to be cataloged, use of museum collections, and total collection size. The report must include all collections, whether kept in park facilities, other NPS facilities, or in non-NPS repositories. Submit the CMR using ANCS+.

4.3.19 Annual Inventory: Conduct an annual collection inventory on a regular schedule using the Automated Inventory Program (AIP) in ANCS+ and reconcile the results with existing accession and catalog records. Take any necessary corrective action.

4.3.20 Checklist: Keep the NPS Checklist for Preservation and Protection of Museum Collections (Checklist) up-to-date in the Automated Checklist Program (ACP) in ANCS+. The Checklist records information on preservation and protection
conditions in parks and centers, identifies deficiencies, and provides estimated costs to correct deficiencies.

4.3.21 Treatment Documentation: Document treatment of collections, and record that information in ANCS+ and retain reports and documentation in accession or catalog files.

4.3.22 Cellulose Nitrate and Cellulose Ester Film: Identify cellulose nitrate and cellulose ester film, and take steps to preserve the visual information contained by duplicating the images onto safety film. After inspecting the copies, evaluate and either deaccession and destroy or provide for long-term storage of the original film according to the criteria in *Museum Handbook*, Part I, Appendix M, "Management of Cellulose Nitrate and Ester Film."

4.3.23 Access and Use: Promote access to cataloged collections for research and interpretive purposes through a variety of means and media, such as exhibits, interpretive programs, loans, publications, film and television, the World Wide Web, archival finding aid production and distribution, and posting of finding aids and repository-level guides for archival and manuscript collections in the National Union Catalog of Manuscript Collections (NUCMC).

- Ensure that access and use are consistent with the laws and NPS policies pertaining to Freedom of Information Act disclosures, copyright, privacy, publicity, obscenity and pornography, defamation, and resource protection.
- Document access and use with a researcher logbook, signed access policy statement, researcher registration, copyright and privacy restriction statement, and duplication forms.

4.3.24 Consultation: Consult with affiliated groups in managing collections, including Native American groups when managing collections subject to the Native American Graves Protection and Repatriation Act.

4.3.25 Preservation vs. Destructive Use: Manage objects to preserve their condition, including using reproductions when originals may be damaged by use. Authorize in writing destructive analysis of collections, except for rare or highly significant objects, specimens, and archival materials. Obtain regional director approval for destructive analysis of rare or highly significant objects, specimens, and archival materials and for any consumptive use of collections.

4.3.26 Exhibits: Exhibit collections according to an approved exhibit plan, accompanied by maintenance instructions. Ensure that all exhibits meet the standards in the NPS Checklist for Preservation and Protection of Museum Collections.

4.3.27 Objects in Historic Structures: Document furnishings that are exhibited in their associated historic structures with an approved Historic Furnishings Report. Consider the preservation requirements of both objects and historic structures when objects are on exhibit or in storage in historic structures.

4.3.28 Exhibit of Human Remains: Never exhibit Native American human remains or photographs, drawings or renderings, or casts of the remains. Exhibit non-Native-American human remains and photographs, drawings or renderings, or casts of the remains only in consultation with traditionally associated groups.

4.3.29 CRBIB: Ensure that approved museum plans are entered in the Cultural Resource Management Bibliography (CRBIB).

5. Submissions and Deadlines

5.1 Collections Management Report: Parks and centers will submit the CMR for the previous fiscal year by **November 1** simultaneously to the Regional Director, Attention: Regional Curator, and to the Museum Management Program (MMP), National Center for Cultural Resources. The MMP will prepare this information for the strategic planning and annual reporting processes and compile and distribute cluster, regional, and Service-wide reports.

Parks and MMP use CMR data to report on Strategic Plan Goal Ia6 in compliance with the Government Performance and Results Act.

5.2 Checklist: Parks and centers will update their Checklist in the ACP by **November 1** to show changes as of the end of the previous fiscal year. Parks and centers will submit their Checklist data using the ACP simultaneously to the Regional Director, Attention: Regional Curator, and to the MMP. The MMP will compile and distribute cluster, regional, and Service-wide reports.

Parks and MMP use Checklist data to report on Strategic Plan Goal Ib2D in compliance with the Government Performance and Results Act.

5.3 Annual Inventory: Parks and centers will annually submit the inventory generated using the AIP to the regional director, according to a schedule that the region approves. The regional director will certify the completion of the inventories to the Associate Director, Cultural Resource Stewardship and Partnerships, Attention: Chief Curator, no later than **September 30** each fiscal year.

5.4 National Catalog Submissions: Parks and centers will annually submit to the National Catalog complete electronic backups of their ANCS+ accession and catalog records, identifying new or modified records. The submission for the previous fiscal year is due in **November, December, or January,** according to the schedule established in the *Museum Handbook*, Part II. The National Catalog will print and store archival paper copies of the catalog records. The National Catalog will print and send paper copies of catalog records to parks and centers upon request.

--- End of Director's Order ---

Appendix B: Cataloging Costs

Page

A. Estimating Cataloging Costs B:1
How do I estimate the cost to catalog objects? B:1
What variables affect cataloging costs? B:1
How do I interpret the data in Figure B.1? B:2

B. Funding Cataloging Costs B:2
Where can I get funds to catalog recent acquisitions? B:2
Where can I get funds to catalog the backlog? B:3
Where can I get funds to recatalog the collections? B:3

C. Applying For and Spending Cataloging Funds B:3
How can I apply for cataloging funds? B:3
What are some things to remember when applying for cataloging funds? B:3
What are some things to remember when spending funds for cataloging? B:3

D. List of Figures B:5

APPENDIX B: CATALOGING COSTS

A. Estimating Cataloging Costs

1. *How do I estimate the cost to catalog objects?*

If you…	*Then…*
have cost data from a comparable cataloging project	use that data and adjust the variables to accommodate the new project
lack comparable cost data	contact other parks that have similar collections and ask for their cost data, then adjust the variables for your situation
are uncertain about the costs	use the regional or Servicewide average in Figure B.1, Recent Cataloging Costs

Figure B.1 charts provide high, low, and average cataloging costs. The charts also include costs by discipline and region, as well as Servicewide costs, for recent fiscal years.

Note: Do not use regional costs data that seems to be out of line compared with other regions' costs for that discipline. Cost data can be skewed when only a few objects are cataloged.

Approach the question of cataloging costs from two angles. Determine a rough estimate of the cost and determine the cost per item. Base cataloging cost estimates on:

- how long the work will take
- how the work will be accomplished
- the level of personnel needed to do the work
- additional costs, such as travel, materials, overhead, computer equipment, and benefits

After you determine the overall cost, divide the cost by the number of items to determine the cost per item. Use the cost per item to compare with the costs of past projects or the costs in Figure B.1. Make adjustments as appropriate.

2. *What variables affect cataloging costs?*

Costs for cataloging vary and depend on many factors, including the:

- expertise and skills of the staff or the contractor who will do the work
- size of the collection (for example, larger collections tend to have lower costs because of economies of scale)
- type or discipline of the material you are cataloging (for example, ethnology tends to have higher costs; archeology has relatively lower

costs)

- type or discipline of the material you are cataloging (for example, ethnology tends to have higher costs; archeology has relatively lower costs)
- complexity of the collection (for example, a collection of unorganized personal papers will take longer to catalog than a collection of organizational files that are neatly filed in original order)
- amount of lot cataloging (for example, material that you lot catalog would have lower costs than items you catalog individually)
- condition of the collection (for example, maps might need to be relaxed and unrolled before cataloging)
- amount of documentation that is needed (for example, history objects may require identification and dating; natural history specimens may already have labels that include identification)
- overhead charged by contractors and other service providers
- costs for computer equipment
- costs for materials, such as archival supplies, that are essential to the cataloging process
- travel costs, if travel is required to accomplish the cataloging

3. *How do I interpret the data in Figure B.1?*

For each discipline in each region, the charts provide a high, low, and average cost for cataloging an object. The charts also show how many objects were cataloged at that cost. Remember that there are economies of scale. Projects with few objects tend to have higher than average costs. Projects with many objects tend to have lower than average costs.

B. Funding Cataloging Costs

1. *Where can I get funds to catalog recent acquisitions?*

Projects that generate collections must fund the cataloging, preservation, and preparation of those collections for storage. Project funds may be from archeological or natural resource projects, exhibit development, historic furnishings implementation projects, historic structure stabilization projects, or other sources.

- catalog other acquisitions, such as gifts, with:
- base funds
- Cultural Resources Preservation and Protection (CRPP) funds, *or*
- Natural Resources Preservation and Protection (NRPP) Funds

2. *Where can I get funds to catalog the backlog?*

Catalog collections that are part of a pre-1987 uncataloged backlog with:

- park base funds
- Backlog Cataloging funds, *or*
- CRPP funds

Catalog post-1987 backlogs using:

- park base funds, *or*
- CRPP funds

3. *Where can I get funds to recatalog the collections?*

Park base and CRPP funds are good sources for recataloging.

C. Applyinf For and Spending Cataloging Funds

1. *How can I apply for cataloging funds?*

The Associate Director, Cultural Resource Stewardship and Partnerships, makes an annual call in late summer for cultural resources projects to be funded by CRPP and Backlog Cataloging. The Associate Director, Natural Resource Stewardship and Science, makes an annual call for NRPP projects. Contact the regional/support office (SO) curator for guidance in seeking funding.

2. *What are some things to remember when applying for cataloging funds?*

When you apply for cataloging funds, make sure:

- your project meets the criteria for the fund source
- your park submitted a Collections Management Report (CMR, Form 10-94) last year (see Section VIII of Chapter 4 in this handbook)
- the data on the CMR are consistent with your proposal (for example, the park has a backlog of 5,000, and you are proposing to catalog 2,500)
- the project will enter the catalog data in the Automated National Catalog System (ANCS+) or its successor
- you identify the project in the park's Resource Management Plan and Project Management Information System (PMIS)
- archives to be cataloged are archives that belong in the museum collection and **are not official records** (see Appendix D in this handbook)

3. *What are some things to remember when spending funds for cataloging?*

When you spend funds for cataloging museum collections, make sure:

- you spend the funds and accomplish the work as proposed, or submit a revision to the fund manager after consultation with the regional/SO curator

- you submit an accomplishment report to the fund manager at the end of the fiscal year
- you submit the catalog data on disk to the National Catalog (see Chapter 3 in this handbook)

D. List of Figures

Figure B.1a Recent Cataloging Costs (FY 1997)
Figure B.1b Recent Cataloging Costs (FY 1998)
Figure B.1c Recent Cataloging Costs (FY 1999)

REGION		ARCHEOLOGY		ETHNOLOGY		HISTORY		ARCHIVES		BIOLOGY		PALEONTOLOGY		GEOLOGY	
		COST/ OBJECT	TOTAL OBJECTS	COST/ OBJECT	TOTAL OBJECTS	COST/ OBJECT	TOTAL OBJECTS	COST/ OBJECT	TOTAL OBJECTS	COST/ OBJECT	TOTAL OBJECTS	COST/ OBJECT	TOTAL OBJECTS	COST/ OBJECT	TOTAL OBJECTS
AK	HI	N/A	N/A	N/A	N/A	12.97	239	2.99	4,382	N/A	N/A	N/A	N/A	N/A	N/A
	LOW	N/A	N/A	N/A	N/A	6.52	23	0.58	13,111	N/A	N/A	N/A	N/A	N/A	N/A
	AVG	N/A	N/A	N/A	N/A	12.40	262	1.19	17,493	N/A	N/A	N/A	N/A	N/A	N/A
IM	HI	1.03	11,682	N/A	N/A	4.52	5,527	1.74	14,345	N/A	N/A	N/A	N/A	N/A	N/A
	LOW	0.71	32,285	N/A	N/A	4.52	5,527	0.71	2,786	N/A	N/A	N/A	N/A	N/A	N/A
	AVG	0.82	50,086	N/A	N/A	4.52	5,527	1.25	63,059	N/A	N/A	N/A	N/A	N/A	N/A
MW	HI	7.26	23	7.22	9	9.41	186	3.41	293	52.83	53	N/A	N/A	N/A	N/A
	LOW	1.36	15,007	7.22	9	2.52	413	0.36	24,814	7.24	746	N/A	N/A	N/A	N/A
	AVG	1.69	44,034	7.22	9	5.81	4,383	0.95	56,233	10.26	799	N/A	N/A	N/A	N/A
NC	HI	N/A	N/A	N/A	N/A	6.50	1,140	N/A	N/A	6.52	158	N/A	N/A	N/A	N/A
	LOW	N/A	N/A	N/A	N/A	6.50	1,140	N/A	N/A	3.82	500	N/A	N/A	N/A	N/A
	AVG	N/A	N/A	N/A	N/A	6.50	1,140	N/A	N/A	4.47	658	N/A	N/A	N/A	N/A
NE	HI	3.10	20,000	N/A	N/A	10.55	4,169	3.97	37,780	0.60	250	N/A	N/A	N/A	N/A
	LOW	1.02	10,834	N/A	N/A	0.07	3,000	0.36	131,680	0.60	250	N/A	N/A	N/A	N/A
	AVG	2.60	51,440	N/A	N/A	7.56	11,541	1.21	194,160	0.60	250	N/A	N/A	N/A	N/A
PW	HI	8.19	103	N/A	N/A	10.00	9	2.50	4	5.47	597	9.23	363	10.00	1
	LOW	0.48	92,979	N/A	N/A	1.30	2,804	0.22	160,800	1.55	322	9.23	363	3.21	156
	AVG	0.64	96,569	N/A	N/A	1.33	2,813	0.27	166,804	2.48	3,228	9.23	363	4.19	528
SE	HI	9.27	433	N/A	N/A	24.00	25	2.76	2,366	8.74	1,761	N/A	N/A	3.00	2
	LOW	6.07	11,744	N/A	N/A	8.02	499	1.10	14,596	8.74	1,761	N/A	N/A	3.00	2
	AVG	6.18	12,177	N/A	N/A	8.57	5,392	1.33	16,962	8.74	1,761	N/A	N/A	3.00	2
TOTAL	AVG HI	2.45	32,241	7.22	9	7.26	11,295	3.16	65,166	8.03	2,819	9.23	363	5.33	3
	AVG LOW	1.05	162,849	7.22	9	3.09	13,406	0.34	347,787	6.52	3,579	9.23	363	3.20	158
	AVG	1.52	254,311	7.22	9	6.38	31,058	0.90	515,411	5.18	6,696	9.23	363	4.18	530

Figure B.1a. Recent Cataloging Costs (FY 1997)

Figure B.1b. Recent Cataloging Costs (FY 1998)

REGION		ARCHEOLOGY		ETHNOLOGY		HISTORY		ARCHIVES		BIOLOGY		PALEONTOLOGY		GEOLOGY	
		COST/ OBJECT	TOTAL OBJECTS	COST/ OBJECT	TOTAL OBJECTS	COST/ OBJECT	TOTAL OBJECTS	COST/ OBJECT	TOTAL OBJECTS	COST/ OBJECT	TOTAL OBJECTS	COST/ OBJECT	TOTAL OBJECTS	COST/ OBJECT	TOTAL OBJECTS
AK	HI	6.23	868	N/A	N/A	2.81	625	1.09	13,280	N/A	N/A	N/A	N/A	N/A	N/A
	LOW	6.23	868	N/A	N/A	2.81	625	1.09	13,280	N/A	N/A	N/A	N/A	N/A	N/A
	AVG	6.23	868	N/A	N/A	2.81	625	1.09	13,280	N/A	N/A	N/A	N/A	N/A	N/A
IM	HI	3.11	5,308	N/A	N/A	N/A	N/A	2.52	11,902	3.28	326	N/A	N/A	N/A	N/A
	LOW	.20	2,982	N/A	N/A	N/A	N/A	1.10	15,703	2.37	982	N/A	N/A	N/A	N/A
	AVG	1.66	8,290	N/A	N/A	N/A	N/A	1.81	27,605	2.83	1,308	N/A	N/A	N/A	N/A
MW	HI	1.72	12,017	3.88	59	15.01	358	15.85	631	11.51	279	.51	973	N/A	N/A
	LOW	1.72	12,017	3.88	59	3.50	2	.32	15,162	5.85	694	.51	973	N/A	N/A
	AVG	1.72	12,017	3.88	59	6.63	1,923	4.11	88,588	7.77	1,057	.51	973	N/A	N/A
NC	HI	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	LOW	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	AVG	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
NE	HI	3.07	20,185	N/A	N/A	14.01	3,386	.88	10,694	N/A	N/A	N/A	N/A	N/A	N/A
	LOW	3.07	20,185	N/A	N/A	14.01	3,386	.41	119,089	N/A	N/A	N/A	N/A	N/A	N/A
	AVG	3.07	20,185	N/A	N/A	14.01	3,386	.62	286,983	N/A	N/A	N/A	N/A	N/A	N/A
PW	HI	5.84	450	N/A	N/A	5.84	1	N/A	N/A	5.84	43	5.84	2,846	N/A	N/A
	LOW	5.84	450	N/A	N/A	2.87	1,569	N/A	N/A	5.84	43	5.84	2,846	N/A	N/A
	AVG	5.84	450	N/A	N/A	4.35	1,570	N/A	N/A	5.84	43	5.84	2,846	N/A	N/A
SE	HI	3.88	515	N/A	N/A	10.00	26	6.71	1,192	2.48	6,609	N/A	N/A	N/A	N/A
	LOW	1.63	3618	N/A	N/A	10.00	26	.20	23,857	2.48	6,609	N/A	N/A	N/A	N/A
	AVG	2.92	17,595	N/A	N/A	10.00	26	3.58	68,745	2.48	6,609	N/A	N/A	N/A	N/A
TOTAL	SERVICEWIDE AVG	2.62	59,405	3.88	59	9.17	7,530	1.76	485,201	3.17	9,017	4.48	3,819	NO DATA	NO DATA

REGION		ARCHEOLOGY		ETHNOLOGY		HISTORY		ARCHIVES		BIOLOGY		PALEONTOLOGY		GEOLOGY	
		COST/ OBJECT	TOTAL OBJECTS	COST/ OBJECT	TOTAL OBJECTS	COST/ OBJECT	TOTAL OBJECTS	COST/ OBJECT	TOTAL OBJECTS	COST/ OBJECT	TOTAL OBJECTS	COST/ OBJECT	TOTAL OBJECTS	COST/ OBJECT	TOTAL OBJECTS
AK	HI	50.45	103	N/A	N/A	2.81	625	2.05	3,800	N/A	N/A	N/A	N/A	N/A	N/A
	LOW	50.45	103	N/A	N/A	2.81	625	.79	15,600	N/A	N/A	N/A	N/A	N/A	N/A
	AVG	50.45	103	N/A	N/A	2.81	625	1.42	19,400	N/A	N/A	N/A	N/A	N/A	N/A
IM	HI	1.54	16,261	N/A	N/A	7.02	2,508	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	LOW	1.54	16,261	N/A	N/A	7.02	2,508	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	AVG	1.54	16,261	N/A	N/A	7.02	2,508	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
MW	HI	2.02	20,660	N/A	N/A	17.00	1,531	14.52	325	10.00	228	N/A	N/A	N/A	N/A
	LOW	1.50	1,846	N/A	N/A	17.00	1,531	.83	27,798	10.00	228	N/A	N/A	N/A	N/A
	AVG	1.76	22,506	N/A	N/A	17.00	1,531	3.50	74,524	10.00	228	N/A	N/A	N/A	N/A
NC	HI	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	LOW	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	AVG	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
NE	HI	4.75	4,423	N/A	N/A	6.98	4,142	1.00	61,600	N/A	N/A	N/A	N/A	N/A	N/A
	LOW	2.61	2,131	N/A	N/A	5.79	5,126	.19	119,200	N/A	N/A	N/A	N/A	N/A	N/A
	AVG	3.43	25,236	N/A	N/A	6.52	11,121	.52	290,800	N/A	N/A	N/A	N/A	N/A	N/A
PW	HI	8.00	2,656	25.00	2	11.71	2,375	1.00	12,800	1.89	5,282	N/A	N/A	N/A	N/A
	LOW	8.00	2,656	25.00	2	2.69	1,115	.04	700,000	1.89	5,282	N/A	N/A	N/A	N/A
	AVG	8.00	2,656	25.00	2	7.47	3,675	.76	723,780	1.89	5,282	N/A	N/A	N/A	N/A
SE	HI	3.88	515	N/A	N/A	N/A	N/A	.26	129,500	N/A	N/A	N/A	N/A	N/A	N/A
	LOW	1.63	5,900	N/A	N/A	N/A	N/A	.26	129,500	N/A	N/A	N/A	N/A	N/A	N/A
	AVG	2.97	20,020	N/A	N/A	N/A	N/A	.26	129,500	N/A	N/A	N/A	N/A	N/A	N/A
TOTAL	SERVICEWIDE AVG	2.73	86,782	25.00	2	7.47	19,460	.83	1,238,004	2.23	5,510	NO DATA	NO DATA	NO DATA	NO DATA

Figure B.1c. Recent Cataloging Costs (FY 1999)

Appendix C: Cataloging Guidelines

Page

A. Overview C:1
What types of guidelines are in this appendix? C:1
Can I use the information in this appendix with all types of collections? C:1

B. Component Parts, Pairs, and Sets C:1
What are component parts? C:1
How do I catalog objects with component parts? C:2
How do I catalog pairs? C:2
What are sets? C:2
How do I catalog sets? C:2
Can I give the pieces of a set separate catalog numbers? C:2

C. Methods of Describing Objects C:3
What's the best way to describe an object? C:3
Are there common ways of looking at objects? C:3

D. Terms for Describing Object Condition C:4
Are there standard terms for describing an object's condition? C:4
Why is it important to be precise when describing condition? C:4
What are some standard terms for describing condition? C:4

E. Measuring Objects C:8
Why should I measure objects? C:8
What tools do I use when measuring objects? C:9
Should I use metric or English measurements? C:9
Should I convert English measurements to metric? C:9
May I abbreviate units of measure? C:10
What types of objects should I measure? C:10
How many measurements should I take? C:10

F. Recording Dimensions and Weight C:11
What degree of accuracy do I need? C:11
What are some common dimensions and their abbreviations? C:11
Must I enter dimensions in a consistent order? C:11
How do I measure irregular objects? C:12
How do I record more than one measurement for an object? C:12
How do I measure objects with parts? C:12
How do I measure incomplete objects? C:12
When should I weigh material? C:12
When do I use volume as a measurement? C:13
What other ways can I use to show dimensions? C:13
How can I learn the measuring standards for the types of material in my collection? C:13

APPENDIX C: CATALOGING GUIDELINES

A. Overview

1. *What types of guidelines are in this appendix?*

This appendix has recommended guidelines and terms to help you with cataloging your museum collections. It includes information on:

- cataloging component parts, pairs, and sets
- methods of describing objects
- uniform terms to use when describing condition
- measuring and recording dimensions and weight
- cataloging nitrate negatives

2. *Can I use the information in this appendix with all types of collections?*

In general, the guidelines in this appendix apply to cultural resources collections. The guidelines for measuring (Sections E-F) also apply to natural history collections.

The lists and terms in this appendix are by necessity incomplete. Add your own lists and references for descriptions and terms specific to the material in your park's collection.

Refer to Appendix L: Bibliography, in this handbook for references on specific types of objects.

B. Component Parts, Pairs, and Sets

1. *What are component parts?*

Many objects have removable parts. The most common example is a teapot and its lid. Objects with component parts usually meet the following conditions:

- the parts can be physically separated or detached from the object
- the object is more or less incomplete without all of its parts
- the object and its parts were manufactured or made together
- the object name includes its separate parts

A vacuum cleaner with attachments is a good example of an object with component parts. You can separate the attachments from the vacuum cleaner. The vacuum cleaner isn't complete without its attachments. The vacuum cleaner and its attachments were manufactured together. The term "vacuum cleaner" is broad enough to cover the vacuum and its attachments.

2. *How do I catalog objects with component parts?*

Give an object with component parts a single catalog number, and count it as one item. Assign a lowercase letter designator to each removable part. Use the Component Parts field that appears after the Catalog Number field in ANCS+. The component part designators appear after the catalog number. For example, PARK 345 a-f shows that the object 345 has six component parts. You should mark the catalog number and appropriate designator on each part.

The ANCS+ Component Parts supplemental record allows you to list the names of the component parts. Refer to Section III of Chapter 3 in the *ANCS+ User Manual* for information on using this supplemental record.

Don't assign individual catalog numbers to the component parts of an object.

3. *How do I catalog pairs?*

Catalog a matched pair, such as a pair of shoes or matching andirons, with a single catalog number. Give each item a suffix of a or b. Use the Component Parts field that appears after the Catalog Number field in ANCS+. Count the pair as one item. Note in the Description field that the object is a pair. You should mark the catalog number and appropriate designator on each part.

Don't catalog pairs on separate catalog records.

4. *What are sets?*

Sets or kits are groups of objects intended to be used together. The word "set" or "kit" should be part of the object name. A set or kit usually includes different types of items, such as a surgical kit or a manicure set. If objects are the same, such as a set of identical bowls, use lot cataloging. Refer to Appendix I in this handbook for information on lot cataloging.

Note: For history objects, check the ANCS+ controlled table of history terms. This table includes a list of the approved terms that use "set" or "kit" as part of the object name.

5. *How do I catalog sets?*

Give the set or kit one catalog number. Give each removable piece of the set or kit a lowercase letter designator. Use the Component Parts field that appears after the Catalog Number field in ANCS+. You should mark the catalog number and appropriate designator on each part. Count the set or kit as one item.

The ANCS+ Component Parts supplemental record allows you to list the names of the pieces in the set or kit. Refer to Section III of Chapter 3 in the *ANCS+ User Manual* for information on using this supplemental record.

6. *Can I give the pieces of a set separate catalog numbers?*

Yes. You should individually catalog items in a set or kit that are of high value or susceptible to theft. For example, you might assign individual catalog numbers to the items in a Civil War surgeon's kit that is on exhibit.

If you individually catalog the items in a set or kit, be sure to cross-reference between the catalog numbers.

C. Methods of Describing Objects

1. *What's the best way to describe an object?*

There isn't one best way to describe objects. Descriptions depend on the type of material and the subject discipline. For example, archeologists use terms and standard descriptions that are different from descriptions of fine arts material.

The best way to describe the objects in your collection is to be consistent in the terms and methods you use. Set up templates for how to describe the specific materials in your park's collection. Consistency is especially important if you have many different catalogers. It gives you and others better access to data about your collection.

Note: If you are unfamiliar with cataloging, look at the ANCS+ fields and the on-line field help for the discipline you are cataloging. Specialists chose the discipline-specific fields for each discipline. These fields will give you a good idea of the types of information you need to record.

2. *Are there common ways of looking at objects?*

Yes. There are some common methods for looking at objects. Record the distinguishing and significant features. You can learn a lot of information about an object by looking at it. Other types of information, such as the date when an object was made, will require research.

Use the list below as a guide to get you started recording observable data.

Overall Shape/Style	Round, square, rectangular.../ Chippendale, Queen Anne...
Details of Shape	Work from the base to the top or describe it as it's normally described in the discipline.
Manufacturing Techniques	Fired, tanned, coiled ...
Materials	Mention materials if not sufficiently covered in the Medium/Materials field.
Texture	Corrugated, cord-marked...
Color	Reference to the Munsell color chart.
Design Details	Rosette, scroll, cross-hatching...
Condition Features	Point out features that make the object unique, such as "paint peeling" or "foxing".
Marks	Proofmarks, hallmarks, serial numbers, signatures, watermarks in paper, inscriptions.
Labels	Copy any original labels that are attached to the object or labels made with or for the object.

Note: ANCS+ has separate fields for many descriptive elements, such as marks, color, style, and manufacturing technique.

D. Terms for Describing Object Condition

1. *Are there standard terms for describing an object's condition?*

Yes. There are standard terms for describing the condition of an object on an object condition report or on the catalog record. Using these terms helps you precisely describe condition and helps other people understand your description.

Note: Conservators may use different terms for describing condition.

2. *Why is it important to be precise when describing condition?*

Precise vocabulary allows you to detect changes in the condition of an object from one inspection to the next. For example, condition descriptions, such as "corrosion on tip of blade" or "flaking paint," may call attention to the need for conservation work.

3. *What are some standard terms for describing condition?*

The following list includes terms that will help you with condition descriptions.

Abrasion	A surface loss apparently caused by friction. The loss may be to the substance of the object or to paint or other decoration on it. Often superficial. Related terms: Scrape, Rub.
Accretion	A relatively widespread accumulation of extraneous material adhering to the surface of an object that alters the original texture and usually the color, either generally or locally. Usually tenacious. Often seen on objects that were buried. Related terms: Incrustation, Stain, Spot.
Adhesive Residue	Usually a sticky residue from glue, paste, or tape.
Bleaching	Lightening of color through exposure to light and/or chemical agents.
Bleeding	The suffusion of a color into adjacent materials, usually other colors or a ground. Often caused by water or other solvents. Also refers to the penetration of ink through paper.
Blister	An inflated pocket in a film or layer. A separation between layers that appears as an enclosed, bubbled area. Generally used when describing painted surfaces. A broken blister may result in a rupture.
Bloom	The bluish-white cloudiness often seen on varnished surfaces, especially paintings and wood furniture. Sometimes called efflorescence.
Break	An abrupt, significant change or interruption in a continuous surface. Disruption or total separation of parts, as distinguished from a fracture.
Brittle	Loss of flexibility causing the material, usually thin, to break or disintegrate when bent.
Bronze Disease	Appearance of powdery, light green spots, resulting from exposure to moisture. Attacks copper, bronze, and brass.

Buckling	A distortion of a plane surface caused by shrinkage or compression. A distortion of the flat plane of a painting or other picture often accompanied by a rupture in a paint or ground layer.
Check	A rupture in wood along the grain and less than the length of the piece, usually caused by the drying of wood at an exposed end grain. Checks may appear anywhere along the grain due to surface shrinkage. An incomplete split.
Chip	A small cavity in the surface of an object caused by material that has been broken away. See also: Dent, Dig, Gouge.
Cleavage:	Separation between or in any of the layers in a stratified composition or construction. This term is used primarily when describing oil paintings and refers to separation between paint layers caused by the contraction of the support.
Corrosion	The chemical alteration of metals caused by agents in the environment or by reagents applied purposely. Hard nodules or crusts are formed on metal surfaces. The color and texture of a metal surface may be changed without alteration of the form if there is no increase in the volume of the corrosion products. Rust is the corrosion product of ferrous metals. Tarnish is a corrosion product of silver. Use the general term "corrosion" for all other metals. See also: Incrustation, Efflorescence, Patina.
Crack	A surface fracture or fissure across or through a material. It can be in a straight line or branch. There is no loss to the object. A blind crack stops part way. A hairline crack is a tiny fissure. An open crack is a large fissure.
Crackle	A system or pattern of fracture lines in a painted or varnished surface. Also a system or pattern of fissures, sometimes purposeful, in the glaze of ceramic ware.
Crazing	A very fine system of crackle or cracking in a varnish, paint film, and glass that appears slightly opaque to the eye. It may be found in aged painting films that are very dry and are approaching their final stages of embrittlement. It can powder off. This term also applies to surfaces of old varnished furniture.
Crease	A tightly pressed fold, causing fibers of cloth, paper, or leather to weaken and break.
Cupping	Varnish, paint, or ground that stand as islands with edges lifted and raised away from each other or from lower layers. Strong cupping can distort the support of an oil painting. Related term: Curling.
Delamination	A separation of layers. A type of splitting.
Dent	A surface defect caused by a blow. A simple concavity from which no material is missing. See also: Chip, Dig, Gouge.

Dig	A surface defect caused by a blow. A dig implies that some surface material has been displaced, usually laterally, but that little or no material has been completely removed. See also: Chip, Dent, Gouge.
Discoloration	A partial or overall change in color caused by aging, light, and/or chemical agents. Includes yellowing and darkening; bleaching, the lightening of color; and fading, a loss of color and/or change in hue.
Disjoin	The partial or complete separation of a join between two members or elements of an object, as distinguished from separation at some point other than a join, such as a fracture, tear, check, or split.
Dry Rot	Decay of seasoned wood that is caused by fungi that consume the cellulose of wood, leaving a soft skeleton that is readily reduced to powder.
Efflorescence	Change from a crystalline salt to a powdery mass with loss of water. The term is used more broadly for museum objects to describe powdery or crystalline crusts on the surface of stone, ceramics, or metals, resulting from other interactions. Not to be confused with corrosion, which is a surface oxidation or other chemical reaction between surface molecules and the environment. Efflorescence results from molecules surfacing from the interior of the object because of chemical changes or hydrostatic pressures within. See also: Corrosion, Incrustation.
Embrittlement	A loss of flexibility that causes material such as paper and leather to break or disintegrate when bent or curled.
Ferrotyping	Glossy patches found on the surface of photographs that have had lengthy contact with a smooth-surface enclosure, such as polyester or glass.
Flaking	A loss of material, usually from the surface, resulting from cleavages or crackles in the surface layers. Also a method of manufacture for stone tools.
Fracture	Refers to the cracking of hard substances, such as bone, and implies an incomplete break in which there is no significant separation of material. A break can later occur along a fracture line. See also: Rupture.
Fragment	A part broken off or detached, or an object that is incomplete. Use of the term usually implies a small percentage of the whole.
Fraying	Raveled or worn spot indicated by the separation of fibers, especially on the edge of fabric or paper.
Gouge	A surface defect caused by a blow. A gouge implies that some material has been scooped away. See also: Chip, Dent, Dig.
Grime	Soil tenaciously held on the surface of an object.
Hole	An opening through a substance. Usually implies that some of the substance is missing and not simply pushed aside as in a tear or dig. Also implied is that the hole is a defect, although it could be a later intentional modification. See also: Gouge.

Incrustation	A crust or hard coating of some foreign material or product on the surface of an object. Use the more specific terms corrosion and efflorescence, if the nature of the incrustation is known.
Iridescence	Color effect in glass due to the partial decomposition of the surface and the formation of innumerable thin scales, resulting in an uneven, flaky surface.
Loss	A general term applying to a missing area or hole. Note the extent of the loss.
Missing element	Loss of an integral component of the object.
Oxidation	Surface "crust" or tarnish on metal resulting from a chemical reaction with oxygen in the presence of moisture. It can be a dull, reddish-brown or black film, depending on the metal type.
Patina	A surface oxidation, corrosion, or decomposition, usually on glass, lead, pewter, or copper or one of its alloys, which is homogeneous, usually hard, and often attractive. A patina or lack of it is no guarantee of age. The patina often provides a protective barrier against further corrosion, and, consequently, may be desirable to retain. See also: Corrosion, Incrustation. The term may be used to describe the polished glow acquired by wood that has been frequently handled.
Pitting	Series of small, irregular, shallow pinhole-size surface depressions due to the introduction or spattering of some eroding or corrosive agent.
Red rot	Powdery red substance found on vegetable-tanned objects that is the result of a chemical reaction with pollutants in the air.
Rip	A hole or flaw caused by a pulling in one rapid uninterrupted motion, especially along a seam or by a joint, or along the straight-line of a fabric. A rip has relatively even or straight sides.
Rub	A mar on the surface of an object caused by contact with another body under pressure and friction. Distinct from abrasion or scrape in that no surface material appears to have been removed, although surface texture, sheen, or reflectance may have been altered.
Rupture	Refers to the tearing or breaking of soft substances, such as layers of an oil painting. It implies that surface material is forced outward, though not necessarily lost. See also: Fracture.
Scrape	Surface damage or injury caused by one or more strokes by an edged instrument or an abrasive resulting in shallow loss of surface material over a relatively wide area. Shallow gouges may occur simultaneously. See also Abrasion.
Scratch	A linear surface loss due to abrasion with a sharp point.
Silvering	Shiny or mirror-like discoloration in the shadow areas of a photographic image caused by the aging of excessive residual silver compounds. Also known as bronzing or mirroring.

Spalling	Shallow losses or flaking from the surface of stone or ceramic.
Split	A rupture running along the grain of a piece of wood, bone, or ivory. It's usually caused by external mechanical means or too rapid drying. A split could develop into a break.
Soil	A general term referring to any material or substance that dirties the surface of an object. Use more specialized terms whenever possible. Dust refers to loose soil generally distributed on the surface. Grime refers to soil tenaciously held on the surface. Smear and Fingermark refer to localized forms of grime, usually caused by human action. Spatter, Run, and Stream refer to dried droplets or splashes of liquid foreign material. Spot refers to a small area visibly different (in color, finish, or material) from the surrounding area. It is a mark made by foreign matter, such as mud, blood, paint, or ink. The implication is that the foreign matter hasn't penetrated the surface. Stain is similar to a spot, but the term implies discoloration of the surface by penetration of the foreign matter. Spots can stain if the surface is porous or absorbent.
Stiffness	Loss of flexibility and suppleness of fibers, offering resistance to bending.
Tarnish	A dullness or blackening of a bright metal surface.
Tear	A hole or flaw caused by a forceful pulling apart of a material leaving ragged or irregular edges. If the material is organic in composition, such as paper, cloth, or basketry, individual fibers often will be split. See also: Disjoin, Rip, Split.
Wear (Worn)	Impaired, deteriorated, or consumed gradually by use or by any continued process, especially by rubbing, scraping, or washing. The term can apply to all parts of an object, not just to its surface. It can describe a defect in an object's function as well as its appearance.
Weeping	A reaction on glass between water and formic acid.

E. Measuring Objects

1. *Why should I measure objects?*

Measurements can give you important information about an object. They help you:

- identify and describe an object
- calculate storage and exhibit space requirements

Note: Researchers may use measurements of archeological materials and natural history specimens for comparative purposes.

> ***When you measure objects, be sure to follow the rules for handling museum objects. Refer to the Museum Handbook , Part I, Chapter 6: Handling, Packing and Shipping.***

2. *What tools do I use when measuring objects?*

Measurements should be consistent and accurate. Accuracy increases when you use the most appropriate tools for the material. Keep the equipment clean, calibrated, and in good working condition. The equipment you'll need to measure and weigh objects includes:

- folding rule
- steel tape
- cloth tape
- steel or aluminum meter rule (or smaller)
- measuring stand (upright measuring rod and a movable arm at right angles to it, for measuring height of irregular objects)
- measuring frame (grid lines marked or inscribed on a board with a raised frame along two adjacent edges for measuring length and width of irregularly shaped objects)
- calipers
- balance

Note: You can get many of these materials through the Federal Supply Service, General Services Administration (GSA).

3. *Should I use metric or English measurements?*

In most cases, use metric measurements. Use English measurements only when they are the standard measuring convention for an object. For example, the bore diameter for a Rodman Cannon is measured in inches.

The Measurements field in ANCS+ has enough space to enter both metric and English measurements, if you choose to do so.

4. *Should I convert English measurements to metric?*

No. Don't convert English measurements to metric. Remeasure the object.

> ***Don't remeasure biological specimens. Collectors take measurements from fresh specimens. The specimens may dry and shrink over time.***

5. *May I abbreviate units of measure?*

Yes. The following list supplies common examples of units of measurement and abbreviations. Use all capitals or lower case for abbreviations, but be consistent in your use. Don't use periods with abbreviations.

centimeter	CM	cm
cubic centimeter	CC	cc
cubic feet	CF	cf
feet	FT	ft
gram	G	g
inches	IN	in
kilogram	KG	kg
linear feet	LF	lf
liter	L	l
meter	M	m
milligram	MG	mg
millimeter	MM	mm
milliliter	ML	ml
ounce	OZ	oz
pound	LB	lb

6. *What types of objects should I measure?*

Take measurements appropriate to the specific discipline. For example, measure archives by linear or cubic feet.

Measure or weigh all cultural objects if you catalog them individually. For lot cataloged objects (see Appendix I in this handbook), you might:

- measure all the objects, if there are only a few
- measure a representative sample from the lot
- decide not to measure the objects
- choose to weigh the objects

Measure or weigh geological and paleontological specimens, as appropriate.

Usually you'll find biological specimen measurements on the specimen label. Copy the label information exactly. There are specific conventions for measuring most specimens. For example, the measurements for mammals are total length, length of tail, length of hind foot, and height of ear in millimeters. The dimensions are followed by the weight in grams. Dashes separate the measurements.

Generally, collectors don't take measurements of plant or insect specimens. Collectors usually measure mammals, birds, and reptiles while the specimens are fresh, before preparation.

7. *How many measurements should I take?*

Take a minimum of two dimensions or measure by volume or weight. In general, use height (or length) and width for two-dimensional objects. Use height, length or width, and depth or thickness for three-dimensional objects. You may need additional measurements for specific types of objects.

F. Recording Dimensions and Weight

1. *What degree of accuracy do I need?*

You want to be as accurate as possible. Use the following guidelines when taking measurements:

- Don't measure beyond the level you can accurately judge.
- Make all measurements for a single object in the same unit of measure to the same degree of accuracy.
- Measure the point of greatest dimension, such as the widest part of the object.

If an object…	***Then…***
measures less than one meter,	measure it in centimeters to the nearest tenth (0.1) of a centimeter.
measures more than one meter,	measure it in meters to the nearest centimeter.

2. *What are some common dimensions and their abbreviations?*

Complete measurements include the unit of measure and the type of dimension. The most common types of dimensions and abbreviations appear below. Use all capitals or lower case for abbreviations, but be consistent in your use. Don't use periods with abbreviations.

Circumference	CIR	cir
Depth	D	d
Diameter	DIA	dia
Height	H	h
Length	L	l
Radius	R	r
Thickness	T	t
Volume	V	v
Width	W	w

Note: Use depth for measuring an item from an outer surface to some interior space, such as the depth of a chair. Use thickness to measure the distance between outermost edge to outermost edge, such as the thickness of a book.

3. *Must I enter dimensions in a consistent order?*

Yes. Use the same order when recording dimensions, and use the same format consistently for each type of object. For example, enter the height, width, and depth of chairs. Height usually goes before width. Consistent order and format make it easier to compare objects.

Separate dimensions by a comma and a space, unless there is a standard convention for the discipline. For example, dashes are always used between mammal measurements.

Place the abbreviation of the type of dimension before the number. Place the

unit of measurement at the end. If the value is less than one, use a zero before the decimal point.

Example: H 15.0, W 8.9, L 5.6 cm
H 10.3, W 6.8, D 4.5 cm
L 20.3, W 15.6, T 0.5 cm
H 15.5, DIA 8.4 cm

4. *How do I measure irregular objects?*

Always give maximum measurements unless otherwise noted. If necessary, use the abbreviation "irreg" in parentheses. Use height or length for the greatest dimension, unless you know the orientation of the object is different.

Example: H 4.9, W 3.7, T 1.3 cm (irreg.)

5. *How do I record more than one measurement for an object?*

Use qualifiers for more than one measurement or maximum and minimum measurements. Place the qualifiers in parentheses after the dimension type.

Example: H (max) 20.3, H (min) 10.5, W 5.0, T 1.2 cm
H 40.0, W (Top) 32.0, W (Btm) 36.5, T 12.1 cm

6. *How do I measure objects with parts?*

Record the overall measurements for the entire object. Normally, overall dimensions include separable parts like a vessel and its lid or a pipe and its stem. You can use notes to show whether the measurement includes parts such as a handle or base.

Example: L 5.3, Dia 6.9 cm, w/handle

If you want to separately measure the parts, record these measurements after the overall measurements. Note which part you are measuring.

Example: Pipe: H 3.8, L 17.5, DIA (bowl) 2.5 cm
Handle: L 12.5, W 1.0 cm
Bowl: H 3.8, L 5.0, DIA 2.5 cm

7. *How do I measure incomplete objects?*

Record the overall measurements of the object. If the object is incomplete, note this in the Condition field of the catalog record. You may want to note which parts are missing in the Description field of the catalog record.

To show that a certain dimension is incomplete for the object type, use "inc" in parentheses after the measurement.

Example: L 5.9 (inc), W 3.2, T 0.8 cm

8. *When should I weigh material?*

You can measure some objects better by weighing them. Use this method for items like pollen and lot cataloged items. Weigh to the nearest 0.1gram or kilogram.

Example: 0.05 g

Note: You don't need to use an abbreviation, such as WT, to show that you are recording weight.

9. *When do I use volume as a measurement?*

Volume is the most accurate measurement for objects in liquid form. It's possible to use volume either by itself or in conjunction with other measurements. The volume of certain scientific or kitchen equipment, like a 150-milliliter beaker and a liquid measuring cup, can aid in identification.

Example: V 150 ml
V 8 oz

10. *What other ways can I use to show dimensions?*

Images are a useful supplement to dimensions, particularly for irregular objects. Use a sketch, trace, or photograph to further identify the measurements of an object. You can trace small objects, if tracing won't damage the object. Note that the drawing is a trace.

Mark the image to show where you measured the object. With a sketch or trace, you can place the measurements directly on the drawing. When possible, make the sketch to scale.

With a scanner, you can digitize a sketch or trace and attach the image to your ANCS+ catalog record. If you don't attach the image to your catalog record, note on the catalog record that the drawing exists. Store the image in the catalog or accession folder.

You could also show dimensions on a digitized photograph by using photo editing software. You can attach these images to your ANCS+ catalog record.

11. *How can I learn the measuring standards for the types of material in my collection?*

There are standard methods of measuring most types of material. Consult curators with similar collections, or refer to discipline-specific texts. *The New Museum Registration Methods* has a section on measuring specific types of material. See Appendix L of this handbook for a publication citation.

Appendix D: Museum Archives and Manuscript Collections

Page

A. Overview D:1
What information will I find in this appendix? D:1
What categories of archival materials are covered in this appendix? D:1
Where can I find further guidance in NPS archival materials? D:1

B. General Information on Archives D:1
What types of materials are considered archives and manuscripts D:1
Are rare books or periodicals generally considered archival/manuscript materials? D:2
Is there a difference between "archival collections" and "manuscript collections"? D:3
What's an archival collection? D:3
What's a manuscript collection? D:4
What's an "assembled" collection? D:4
What are "park records"? D:4
Are personal papers or organization archives acquired through donation or purchase considered park records? D:5
Are there legal factors that make park records different from personal papers or the archives of non-NPS organizations? D:5

C. Archival and Manuscript Collections Owned by NPS Museum Program D:5
Is the NPS required to keep archival and manuscript collections? D:5
Can a park acquire archival and manuscript collections for the museum collection? D:5
What purposes can archival collections serve? D:6
Should I manage archival/manuscript materials in the same way that I manage museum objects?. D:6
What are the principal differences between archival work and curatorial work? D:6
Why are archives managed on a collection-by-collection basis rather than a document-by-document basis? D:7
What kinds of archival and manuscript collections are likely to be accessioned into NPS museum collections?. D:8

D. Fundamental Principles of Archival Work D:9
What's "provenance"? D:9
What's "original order"? D:10
What's an archival "hierarchy"? D:10
What are the standard levels of an archival hierarchy? D:11
Must each collection follow a standard hierarchy? D:11
What's an easy way to remember archival concepts? D:12
Why is it important to maintain a collection's provenance and to arrange it according to its original order?. D:12
Why is it important to arrange a collection in hierarchical order? D:13
Am I prohibited from describing archival collections at the file unit or item level? D:13
What are the principle functions associated with archival work? D:14
Why is it necessary to carry out these archival functions in the correct sequence? D:14
Why is it necessary to arrange a collection before cataloging it? D:15
How is cataloging an archival collection different from cataloging museum objects? D:15

Page

E. Appraisal D:16
Why is it necessary to appraise archival and manuscript materials before accessioning them?. D:17
What are the two methods for determining whether a given collection of archival or manuscript materials should be accessioned? D:17
How do I appraise donated materials? D:18
What are the guidelines for appraising archival and manuscript materials? D:18
What's "evidential value"? D:18
What's "informational value"? D:18
How do I evaluate a collection's informational value? D:19
What's "legal value"? D:19
What's "intrinsic value"? D:20
What's "associational value"? D:20
Are there other types of archival "values"? D:20
How should a records appraisal be conducted and documented? D:21
What is the collections advisory committee, and what role does it play in appraisal? D:22
What kind of information do I need to gather about any records I find during a survey? D:22
Should I prepare folder title lists, full Collection Level descriptions, full Series Level descriptions, or catalog records as part of a survey?. D:22
If I identify records in my survey that fall under an NPS-19 file code, ….how should I handle them? D:22
What if I find NPS records that are not covered by a file code under NPS-19? D:23
What if I locate non-NPS archival materials during my survey? D:23

F. Records Schedules D:23
What's a records schedule? D:23
What records schedules are available for use by NPS staff? D:24
What's NPS-19 (Appendix B)? D:24
How should I apply NPS-19 (Appendix B) to park records? D:25
What's the General Records Schedule? D:26
What are "specific" records schedules? D:26
How can my park get a specific records schedule? D:26
Should NPS-19 (Appendix B), the General Records Schedule, or specific records schedules be applied to any kind of archival or manuscript materials?. D:26
Should NPS-19 (Appendix B), the General Records Schedules, or specific records schedules be applied to donated or purchased materials? D:27

G. Accessioning Archival Material D:27
When should I accession a collection of archival or manuscript materials? D:27
What steps should I take to accession an archival collection? D:27
Does each document need to have an accession number? D:28
Does each collection have to have a single and unique accession number? D:28
Can accessions be divided? D:29
Can multiple accessions form a single archival collection? D:29
What's an "accretion"? D:29
How should I handle accretions to a collection? D:30

H. Arrangement D:30
What's arrangement? D:30
Why is it necessary to arrange a collection before cataloging or using it? D:30
What are the two key steps that I have to take in order to arrange a collection? D:31

Page

How do I handle items that pertain to more than one collection? D:31
May I combine similar or related collections? D:32
May I break collections up into multiple collections if they are very large or cover different topics?. D:32
Should I combine archival materials created by an individual while he or she was working for an organization into a collection with materials created by that same individual in his or her spare time?. D:32
Should each accession be regarded as a collection? D:32
What's meant by "archival arrangement"? D:32
Should all archival or manuscript collections follow the same arrangement patterns? D:33
How can I determine original order if the collection has gotten out of order over the years? D:34
Is it okay to alter original order to suit current needs? D:35
Is it possible to arrange a collection that's no longer in its original order? D:35
What if the original order is hopelessly lost, and there is no way of reestablishing it? D:36

I. Hierarchical Structure D:37
What's a hierarchy? D:37
Why is hierarchical structure the key to arranging a collection? D:37
What should a hierarchy look like? D:38
How should the various elements in the hierarchy (such as series, subseries, file units) be titled?. D:38
How should a hierarchy be used? D:40

J. Organization—Series and Subseries D:40
What's a series? D:40
How are series grouped? D:40
What's a subseries? D:41
When is it appropriate to have a subseries? D:41
What's a sub-subseries? D:42
Why is it necessary to keep dividing and subdividing archival collections? D:43
When should I stop subdividing? D:43
Should all items in a particular physical format be consolidated into a single series or subseries?. D:43
What's the difference between a "closed" series or collection and an "open" or "recurring" series or collection?. D:44
How should I arrange an open or recurring series or collection? D:45

K. Organization—File Units and Items D:45
What's a file unit? D:45
Is a file unit the same thing as a file folder? D:45
How are file units arranged? D:46
Should I subdivide file units? D:46
What are some types of file units that are not contained in folders? D:46
What's an item? D:47

L. Step-By-Step Arrangement D:48
What's the first step in arranging a collection? D:48
What sorts of things should I look for in a review? D:48
What's the second step in arranging a collection? D:49
What's the third step in arranging a collection? D:49
What's the fourth step in arranging a collection? D:49

Page

What's the fifth step in arranging a collection? D:49
When do I stop subdividing a collection? D:49
What's the sixth step in arranging a collection? D:50
What's the seventh step in arranging a collection? D:50
How should I arrange an assembled collection? D:50

M. Handling Resource Management Records D:51
What are resource management records? D:51
What are the two acceptable methods for handling resource management records? D:51
What commonly used method of handling resource management records should I avoid? D:51
How is it possible to find individual files if all resource management records or all records associated with the projects in a specific discipline are covered in only one catalog record? D:52
How should I arrange a collection containing all of a park's resource management records, including the associated records? D:53
How should I arrange associated records that are handled as separate collections? D:53
If all project files for a discipline are brought together into a single collection, isn't that like mixing collections or creating an artificial collection? D:55
How should I catalog a collection of associated records? D:56
What if project files are held at different locations – with some at the park, some at a regional archeological center, and some at a partner repository? D:56
How should I arrange and catalog new project files that are accessioned after I have finished cataloging a collection of associated records? D:57
Do these methods for arranging records satisfy the Code of Federal Regulations requirement for keeping archeological objects together with their associated records? D:57
Without a unique catalog number, how can associated records be cross-referenced to the objects? D:57
How can I loan individual documents or files if they don't have unique collection numbers? D:57

N. Processing and Preservation D:58
When should I process an archival or manuscript collection? D:58
What supplies and equipment will I need to process an archival or manuscript collection? D:58
What are textual and non-textual materials? D:59
Should I process textual and non-textual materials differently? D:60
What should be done if a collection contains documents that are folded? D:60
How should I handle paper records that are acidic? D:60
How should I handle paper records that are fragile? D:60
How should I handle paper records that are damaged? D:61
When should I make "preservation copies"? D:61
May I cull material during processing? D:61
What are some examples of materials that can be culled? D:62

O. Processing and Preservation—Paper-Based Documents D:62
How should I refolder and rebox paper-based documents? D:62
What size folders or boxes should I use? D:63
Should I remove paper clips, staples, and other fasteners? D:63
Should I remove documents from binders? D:63
How should I handle multi-page documents? D:63

Page

Can I break materials into multiple folders if the original file folder is too full? D:63
How should I label the folders? D:64
Should I copy everything written on the original folder? D:64
How many file folders should I place in a box? D:65
May I mix files from different collections in the same archives box? D:65
How should I label the boxes? D:65
Should I keep the original folders, binders, and boxes? D:66

P. Processing And Preservation—Oversized Materials..... D:66
How should I handle oversized materials? D:66
How do I show the removal of oversized materials? D:67
Why do oversized documents have to be removed? D:67
How should I file oversized items after they're removed from their original locations? D:67
Should I handle a group of oversized materials at the end of a collection as a series (or subseries)?. D:68

Q. Processing And Preservation—Photographs..... D:68
How should I handle photographs that are part of standard textual files? D:68
What if photographs are attached to pages in a textual document? D:68
Should I add photographs that were separated from textual records to a series consisting exclusively of photographs?. D:69
How should I house photographs? D:69
Should I place loose photographs in albums? D:69
How should I process photograph albums? D:70

R. Cataloging..... D:70
What's "cataloging"? D:70
Should there be a catalog record for each document in a collection? D:70
What if a document is pulled from a collection to go on loan? D:70
Should there be a catalog record for each file unit in a collection? D:71
Should there be a catalog record for each series or subseries in a collection? D:71
What's the connection between archival hierarchies and archival cataloging/description? D:71
What's the process for cataloging an archival collection? D:71
Do I have to enter information from the top down? D:72
Why must I enter information from the top down? D:72

S. Description..... D:72
What's description? D:72
How do I write a Collection Level description? D:72
How do I write a Series Level description? D:73
Should I enter descriptions in the Archives Module for all series, subseries, sub-subseries, and sub-sub-subseries in a particular collection's hierarchy?. D:74
How do I write a File Unit Level description? D:74
Are File Unit Level descriptions required? D:74
Are there situations where file unit description is recommended? D:75
How do I write an Item Level description? D:75
Is Item Level description required? D:75
Is it more appropriate to do Item Level description of certain types of documents than others?. D:75
Can Item Level description help preserve collections by reducing the need to search through the documents?. D:76

Page

Should I make Item Level entries in the ANCS+ Item Level-Only directory?.....D:76
Why is it so important to enter Item Level descriptions in the hierarchically organized Archives directory and not the Item Level-only directory?. D:77

T. Folder Title Lists and Finding Aids..... D:77
What's a folder title list? D:77
What are the two methods for preparing folder title lists?.....D:77
Are folder title lists mandatory?.....D:78
When is it appropriate to do a folder title list? D:78
When is it unnecessary to do a folder title list?.....D:78
What's a finding aid?.....D:78
Does NPS have a template for producing finding aids? D:78
What are EAD and MARC-AMC? D:79
Is it mandatory to use EAD or MARC-AMC? D:79

U. Access..... D:79
Are staff members at any park permitted access to park archival and manuscript collections?. D:79
Are non-NPS staff members permitted access to park archival and …manuscript collections? D:80
Is there one set of rules to follow when deciding whether members of the public are allowed to see certain documents?. D:80
What are the rules for determining public access to a collection of personal papers, private sector corporate archives, or other non-NPS documents?. D:80
What kinds of "personal privacy" information may I withhold from researchers? D:80
Can these types of personal privacy restrictions be placed on non-Federal records as well as Federal records?. D:81
What types of restrictions may I place on "culturally sensitive" archival materials? D:81
How should sensitive information in personal papers or private sector records be withheld from researchers?. D:81
Should I withhold copyrighted materials from researchers? D:81
Is it permissible to restrict or withhold Federal records that have previously been released?.....D:81
What's the principle of "Equality of Access"?.....D:81
Can I restrict access to archival or manuscript materials if the purposes or methods of a person's research are questionable?. D:82

V. Freedom of Information Act (FOIA)..... D:82
What are the rules for determining public access to NPS or other Federal records that are part of the museum collection?. D:82
What are some FOIA exemptions? D:82
What are the procedures for responding to a FOIA request?.....D:83
How can FOIA-exempt information be removed from files or withheld from researchers? D:84
Do I have to conduct a new FOIA review every time a member of the public asks for a particular file or document?. D:84
Should I handle all requests for information from archival and manuscript collections as if they were FOIA requests?. D:84
Should I review research proposals to determine if it's appropriate to grant access to the records?. D:85
Does FOIA apply to all archival and manuscript materials in NPS museum collections? D:85

Page

Are personal papers that the park receives through donation or purchase considered "records received by the Federal government," and therefore subject to FOIA?....D:85

W. Use—Reference.... D:86
Are researchers subject to any restrictions when using archival and manuscript collections?....D:86
When members of the public come to the park to conduct archival research, where should they work?....D:86
May researchers be permitted to "check out" files, in the manner that someone would check a book out from a library?....D:86
How should I configure a research room or research area?....D:86
What procedures should staff follow when working with on-site researchers?....D:87
What procedures should researchers follow when they're in the research area?....D:88
What forms should I require researchers to complete?....D:89
Do researchers need to meet any age restrictions?....D:89
Should researchers make appointments before arriving to do archival research?....D:89
What other scheduling and logistical arrangements should parks make in order to protect archival materials and facilitate their use by outside researchers?....D:90
What arrangements should parks make to provide copies of documents to private researchers?....D:90
What are the procedures for responding to researchers who aren't on site?....D:91

X. Copyright.... D:93
May I give researchers copies of copyrighted materials?....D:93
Are materials in NPS-owned archival and manuscript collections copyrighted?....D:93
How will I know if a document has been copyrighted?....D:93
Who's responsible for determining if a document has copyright protection?....D:94
When should parks grant "permission" to publish copyrighted materials?....D:94
What warnings or guidance should I give to researchers regarding the use of copyrighted materials?....D:94
Where may I find guidelines for determining if materials are likely to be in the public domain?....D:95

Y. Use—Publications, Exhibits, Loans.... D:95
How should researchers cite NPS-owned archival materials that they have used?....D:95
May the park request a complimentary copy of a publication based on NPS-owned archival or manuscript collections?....D:95
Can I loan archival materials?....D:95
May archival materials be used in park museum exhibits and in park interpretive programs?....D:95

Z. Understanding the Language: A Glossary.... D:96

AA. Identifying Further Sources of Archival Training and Guidance....D:102

BB. Readings: A Bibliography....D:103

CC. List of Figures....D:112

APPENDIX D: MUSEUM ARCHIVES AND MANUSCRIPT COLLECTIONS

A. Overview

1. *What information will I find in this appendix?*

This appendix gives guidance on how to manage archival materials that are accessioned into NPS museum collections. Archival materials advance the NPS mission of education, management, preservation, and research.

2. *What categories of archival materials are covered in this appendix?*

This appendix covers all categories of archival materials that may be accessioned into NPS museum collections, including:

- Records created by the park (such as associated records and other resource management records)
- Copies of records created by the park, if the park is required to transfer the originals to the National Archives
- Personal papers acquired through donation or purchase
- Organizational archives acquired through donation or purchase

3. *Where can I find further guidance on NPS archival materials?*

Further guidance on archival materials appears in:

- NPS-28, *Cultural Resources Management Guideline*, Chapter 9.1
- ANCS+ *User Manual*, Appendix F
- DOI *Museum Property Handbook*, Vol. II
- NPS-77, *Natural Resource Management Guidelines*
- DO-19, *Records Management*
- NPS-19, *Records Disposition Schedule*
- NPS *Records Management Handbook*
- NPS *Conserve-O-Grams*

Guidance on NPS records falls under the authority of the NPS records manager and the National Archives and Records Administration (NARA). Park records include materials such as central files, financial records, and personnel records. Guidance on these records appears in NPS-19, *Records Management*, and in the NPS *Records Management Handbook.*

B. General Information On Archives

1. *What types of materials are considered archives and manuscripts?*

Archives and manuscripts include all types of documents, regardless of format. See Table 1 for examples. Documents may be in hardcopy (paper), or in any kind of magnetic, electronic, digital, or film technology.

Individual documents may be loose, or they may be contained in file folders or in bound volumes. Carbon copies, photocopies, and other duplicates may be regarded as "original documents," depending on specific circumstances. For example, if an individual sent a letter to someone and kept a copy of that letter in his or her own files, then that copy would still be regarded as an original document in the individual's manuscript collection.

Examples of Archival Materials

- letters, reports, memorandums, minutes, notes, telegrams
- newspaper clippings
- maps, charts, architectural/engineering drawings
- albums, ledgers, diaries
- photographic prints, photographic negatives, slides
- motion picture film
- microfilm, microfiche
- phonograph records, sound recordings on reel-to-reel or cassette tapes, digital sound recordings
- video recordings on VHS, Beta, or other formats
- punch cards, automated data on magnetic tape, and any type of material contained on floppy disks, compact disks, and DVDs

Note: Individual documents may be loose, or they may be contained in file folders or bound volumes.

Table 1. Archival Materials

2. *Are rare books or periodicals generally considered archival/ manuscript materials?*

No. Rare books and periodicals aren't considered archival/manuscript materials unless they are part of a larger archival or manuscript collection.

If…	***Then…***
published books and periodicals are sufficiently rare to warrant accessioning into museum collections (as opposed to being managed as part of library collections),	handle them as individual museum objects, not as archival materials.

However, there are exceptions to this rule. For example:

If...	***Then…***
a collection includes a letter that discusses a particular book, and a copy of the book was sent as an attachment to the letter,	consider the book as part of the letter, and as such it's archival.
an archival collection includes the research files of an individual or organization, and magazine	the magazines would be considered archival.

articles, or even entire magazines, were included as part of those files,	
a person or organization actually published books, pamphlets, or other publications, and kept a record set of those publications,	the publications would be part of the archival collection.

Note: Ledgers, diaries, albums, and other bound materials that resemble published books are not actually books. These are unique records created by individuals or organizations. Handle them as archives.

3. *Is there a difference between "archival collections" and "manuscript collections"?*

Yes. "Archival collections" generally are groups of documents created by organizations, such as government agencies, corporations, and non-profit groups. ("Archives" can also mean the building or room where archival collections are housed and the organization responsible for managing archival collections).

"Manuscripts" are single documents or collections of documents created by individuals or families. These collections are sometimes called "Personal Papers."

"Manuscripts" may also refer to groups of individual documents that were:

- created by different persons or organizations, *and*
- assembled later from multiple sources

To avoid confusion, this appendix will call such collections "Assembled Collections."

Archival collections or manuscript collections created by a single person or organization are "organic collections," because they grow naturally as the result of the record creator's activities. They include the letters, reports, receipts, and other documents that a person or organization accumulates and files as they go about their business.

Manuscript collections that are assembled from multiple sources or created by different persons or organizations, however, are "artificial collections." These collections did not accumulate naturally as a by-product of a person or organization's activities, but were acquired and brought together artificially by a collector.

4. *What's an archival collection?*

An archival collection is a group of documents:

- created or received by a single government agency, corporation, non-profit organization, or other body, in the course of doing business, *and*
- filed together as a unit

An archival collection should include all the historically significant documents that the organization:

- actually created, such as reports, letters, memorandums, charts, photographs, and sound recordings, *and*

- received, such as letters sent to the organization by outside individuals or organizations

An archival collection should remain intact. Don't parcel it out among multiple collections. Don't mix it with other collections.

Note: For guidance on how to determine the historical significance of a collection, see Section E, Appraisal.

5. *What's a manuscript collection?*

A manuscript collection is a group of documents:

- created or received by a single individual or family, *and*

- filed together as a unit

A manuscript collection should include all the historically significant documents that the individual or family:

- actually created, such as letters, diaries, photographs, and sound recordings *and*

- received, such as letters sent to the individual or the family by other individuals or by organizations

A manuscript collection should remain intact. Don't parcel it out among multiple collections. Don't mix it with other collections.

Manuscript collections are also called "Personal Papers."

6. *What's an "assembled" collection?*

An assembled collection is:

- a group of documents created by different individuals or organizations, *and*

- compiled later from multiple sources

An assembled collection is also called an "artificial" collection because the documents bear no organic relationship to each other. That is, they were not created by a single person or organization. They didn't accumulate naturally as a record of the activities of that organization or individual.

For example, a manuscript collector draws upon a variety of sources to assemble a group of letters from African-American soldiers during the Civil War and a group of photographs on a single site taken by different photographers. The collector then sells or donates these "assembled collections" to the park.

7. *What are "park records"?*

Park records are records created or received by park staff in the course of conducting official activities. They can include letters, reports, notes, and memorandums actually written by park staff, as well as letters or other documents that they received. NPS records should be handled in accordance

with NPS Directors Order 19 (see Section F).

Example: A park superintendent writes a letter to a contractor concerning an archeological monitoring project carried out at the park and keeps a copy of the letter in the park's files. The contractor responds by sending the superintendent a letter, which also goes into the park's files. Both the copy of the letter sent by the superintendent and the letter that the contractor sent to the superintendent are park records.

8. *Are personal papers or organizational archives acquired by the park through donation or purchase considered park records?*

No. Only documents created or received by the park in the course of official activities are park records.

Documents created or received by a private individual, family, corporation, or non-profit organization, retained as part of the files of that person, family, corporation, or non-profit organization, and later acquired by the park through donation or purchase are not park records. They are not a record of official activity but are simply museum property.

9. *Are there legal factors that make park records distinct from personal papers or the archives of non-NPS organizations?*

Yes. Park records are covered by the Federal Records Act and access to them is governed by the Freedom of Information Act. They generally cannot be copyrighted. The personal papers of individuals or families and the archives of corporations or non-profit organizations:

- are not covered by the Federal Records Act,
- are not subject to the Freedom of Information Act or other regulations governing access to Federal records, *and*
- may be protected by copyright—even if those collections are owned by the park.

C. Archival and Manuscript Collections Owned by NPS Museum Programs

1. *Is the NPS required to keep archival and manuscript collections?*

Yes. In accordance with law or NPS regulations, parks must keep certain types of archival materials created by the NPS. For example, NPS regulations require parks to maintain resource management records. Parks are required by statute to retain associated records (such as field notes and reports on projects carried out at the park in archeology, paleontology, biology, ethnology, and geology—regardless of whether they were carried out by NPS staff, contractors, or private researchers working under park-issued permits). Parks should also retain files on historic structures, cultural landscapes, and other mission-related activities.

2. *Can a park acquire archival and manuscript collections for the museum collection?*

Yes. Parks can acquire archival collections that fit their Scope of Collection Statements. Parks can acquire archival collections through donation, purchase, transfer, or exchange.

Archival and manuscript collections play the same vital role in a collection as three-dimensional museum objects. These collections can document, commemorate, and reflect the cultural, natural, and historical themes and events associated with a park. For example, the museum collection at Thomas Edison NHS includes Edison's personal papers and the records of

the Edison Company. These materials are as important a part of the collection as Edison's first phonograph and the desk where he did his work.

3. *What purposes can archival collections serve in a collection?*

Archival collections can serve a variety of purposes. They can provide:

- baseline information essential for managing cultural and natural resources
- contextual information necessary for understanding archeological, biological, and paleontological museum objects
- research materials for use by NPS staff, as well as by non-NPS historians, archeologists, and other scholars
- information for park-based educational and interpretive activities, such as exhibits, curriculum development, publications, and websites

4. *Should I manage archival/manuscript materials in the same way that I manage museum objects?*

No. Don't manage archival/manuscript materials in the same way that you manage museum objects.

Although individual documents technically are counted as objects for reporting purposes, they are fundamentally different from objects. They are part of a larger archival collection. All of the documents within a given collection are interrelated. This affects the way documents are housed, arranged, and cataloged.

5. *What are the principal differences between archival work and curatorial work?*

There are several principal differences between archival work and curatorial work.

Cataloging by collection versus cataloging by object or lot

- Archival cataloging is fundamentally different from object cataloging. Object cataloging involves creating individual catalog records for each object or for each comparatively small lot of objects. Archival cataloging, however, involves cataloging an entire collection under a single catalog record, no matter how many documents it contains. A single archival collection can contain an infinite number of documents, and the documents themselves can cover an infinite number of projects. Lot-cataloged objects, on the other hand, relate to a single project and have the same name and provenience.

- Regardless of how many documents it contains, you should regard an archival collection as a single object. Assign a single catalog number to the collection as a whole.

  Object cataloging is a one-step process, involving completion of a catalog record in the Collections Management Module. Archival cataloging is a two-step process, involving completion of a catalog record for the collection as a whole, followed by Archives Module descriptions of the collection's various subordinate parts. (**Note:** Archives Module entries,, in turn, can provide the basis for a full finding aid—which is a critically-important tool for using any collection. See Section S "Description" and Section T "Folder Title Lists and Finding Aids".)

- Object cataloging usually is done on an object-by-object basis, but archival cataloging should *never* be done on a document-by-document basis—unless a document is not part of a larger archival collection. For individual documents on loan or of high monetary value, the park may complete individual catalog records in the Collection Management Module or item-level entries in the Archives Module—but it should still manage such documents as part of the larger archival collections to which they belong. Those individual catalog records for documents contained in larger collections would be done for accountability purposes only; since those documents would already be covered under the collection-level catalog record, they should not be counted a second time in the park's Collections Management Report. When these individually cataloged documents are returned, change the status of that document's catalog record to "Incorporated into Larger Archival Collection."

Arrangement

- An archival collection needs to be arranged in its proper order before you attempt to catalog it. You must complete this essential preliminary work before you can create a catalog record for the collection. You can't take a single document off the shelf and catalog it and move on to the next document. You must approach the collection as a whole and process and arrange the entire collection. Then you will understand what is in it and how the documents fit together. This is true whether the collection contains thousands of documents or only a handful of documents.

Multiple Accessions

- A single archival collection may be composed of multiple accessions, while a museum object is always associated with only one accession. For example, one archival collection may be composed of ten accessions from a single original source. Even though there are ten accessions, catalog the collection with one catalog record and one catalog number. The reverse is true in object collections, however, because an accession containing ten objects can result in ten catalog records and ten catalog numbers.

Classification versus Organization

- You don't classify archival collections in the same way you classify museum objects. For example, you wouldn't classify an archival collection by time period and material of manufacture or by genus and species. Instead, you analyze how each collection is organized and identify its component parts, such as series and subseries. You then base your cataloging and description on the unique internal organization of the collection.

6. *Why are archives managed on a collection-by-collection basis, rather than a document-by-document basis?*

Archives are managed on a collection-by-collection basis as opposed to a document-by-document basis for two reasons:

First, a document that is part of a collection has context and meaning in a way that an individual document cannot. A collection of documents can:

- reflect the development over time of historical themes and events
- suggest cause and effect
- show entire sequences of activities and thoughts
- help to authenticate individual documents

A single document is at best a snapshot, with little clear connection to what came before or after.

Second, as a practical matter, it's often impossible and usually unnecessary to describe each individual document in a collection. Some collections include thousands of documents. Attempting to describe each in the same detail that you would describe a three-dimensional museum object would be time-consuming and largely unnecessary. You can find individual documents more expediently in a well-organized collection than you can find individually cataloged items.

If…	***Then…***
it's necessary to provide detailed descriptions of individual documents within an archival finding aid,	it must be done within the context of the collection as a whole--and to do this, you should use the ANCS+ Archives Module.

7. *What kinds of archival and manuscript collections are likely to be accessioned into NPS museum collections?*

Archival and manuscript collections that may be accessioned into NPS museum collections include:

- personal papers and records of corporations or other organizations that meet a park's Scope of Collections Statement. (The park may acquire these through donation, purchase, transfer, or exchange.)
- resource management records created or received by the park for the purpose of managing park cultural or natural resources
- copies of certain NPS-created records

Note: Associated records are an example of resource management records. Associated records include field notes, site forms, reports, correspondence, maps, and drawings prepared in connection with studies or projects in such areas as archeology, ethnology, paleontology, geology, biology, etc. They are considered associated records because they are associated with objects and specimens that are accessioned into museum collections and with park sites where studies and surveys were conducted. It's necessary for the park to retain these records in order to understand and manage the objects, specimens, and sites (see Section M, "Handling Resource Management Records").

Other types of resource management records include maintenance files on historic structures, files on cultural landscapes, and land use files. These records provide baseline data and other information necessary for managing resources.

Apart from resource management records, original NPS files need to be handled in accordance with NPS-19. Even if you manage such records as a collateral duty, don't accession these records into the museum collection.

D. Fundamental Principles Of Archival Work

Archivists and curators have similar skill sets and interests. However, there are important differences between the underlying theories of archival and curatorial work. The most basic difference is that:

- archival work focuses mainly on *collections* of documents
- curatorial work focuses mainly on *individual* museum objects, or on object lots associated with *individual projects*

This section outlines some of the most important archival theories and procedures. You'll need to understand these before attempting to manage archival and manuscript materials. For further information, you may want to check the sources listed in the bibliography, or attend one or more of the archives classes offered by the National Archives and Records Administration, institutions of higher learning, and professional organizations (such as the Society of American Archivists).

1. *What's "provenance"?*

"Provenance" is the basis for modern archival work. It's the principle that the records of one organization or individual remain together. They must never be mixed with the records of another organization or individual.

The collection of documents that an organization accumulates in the course of doing business is a coherent whole. The collection of documents that an individual accumulates in the course of living his or her life is also a coherent whole. It's evidence of what that organization or individual did or knew. A collection shouldn't be broken up into smaller collections, and it should not be integrated with other collections. When documents from one collection are intermingled with documents from another collection, the integrity of both collections is compromised. Their research value and historical reliability are diminished. Even when collections cover the exact same subjects, themes, events, or individuals, you must maintain absolute fire walls between them.

Another meaning of "provenance" relates to the chain of custody or ownership of a collection. For example, you can trace the provenance of a park collection by starting with its current owner, the National Park Service. Then go back through any intermediate owners, to the collection's origins as the records of a particular organization or individual.

There are different options for managing associated records. Technically, you should treat associated records as series within an overall collection of the park's resource management records. Because of their special importance, it's permissible to treat all of a park's associated records for a single discipline as a stand-alone collection.

Example: All of a park's records on archeological projects may be handled as either series within the park's resource management collection or as a collection unto itself. Similarly, all of a park's records on biological projects may be handled either as a series within the park's resource management collection or as a collection unto itself (see Section M, "Handling Resource Management Records").

2. *What's "original order"?*

When organizations and individuals create records, they usually file them according to some kind of logical structure. They might keep all their correspondence together, arranged alphabetically. They might keep all their financial statements together, arranged chronologically. They might keep all their project files together, arranged according to a numerical filing code.

"Original order" refers to the way in which an organization or individual chose to maintain their records from the outset. That is, "original order" is the way in which the records were originally organized and filed.

Good archival procedure requires that a collection of records be kept in its "original order." You should avoid rearranging archival collections.

A common misconception among non-archivists is that "original order" is the order in which they found the records. This isn't necessarily true. Some collections remain in their correct, original order from the time they were created until the time they were acquired by NPS. In other cases, documents in a collection can get all mixed up before they reach NPS. When this happens, don't simply leave the collection in the order in which you found it.

When a collection has gotten out of order, you must put the collection back into its "original order." You must do this before you can proceed with further processing or cataloging. Unfortunately, there is no universal template for organizing an archival or manuscript collection. All collections are going to be unique. Section H, "Arrangement," gives tips on how to discern and re-establish the "original order" of a collection that has gotten jumbled.

There may be rare occasions when the original order of a jumbled collection is indiscernible or unusable. In such cases, an archivist may put the collection into an intelligible order. This should only be attempted if the archivist can determine that the original order cannot be re-established. For further information, see Section H, "Arrangement," Item 14.

3. *What's an archival "hierarchy"?*

The internal structure of an archival collection is called a "hierarchy." Archival collections are organized hierarchically. That is, collections are broken down into subordinate parts. These parts may in turn be broken down into subordinate parts, and so forth. You start from the top of the hierarchy with the collection as a whole. You go through the levels of the hierarchy to individual documents at the bottom of the hierarchy.

For example, suppose that a collection is composed of four parts called "series":

- Series I: Correspondence
- Series II: Financial Records

- Series III: Project Files
- Series IV: Annual Reports

Each of those series, in turn, may be subdivided into individual file units. Series III, Project Files, would be composed of individual files for each project. Each individual project file, in turn, would be composed of individual letters, memorandums, forms, or other documents.

Thus, an archival hierarchy goes from the general to the specific. Starting at the top of the hierarchy, the collection as a whole is the most general. Then the hierarchy becomes more specific as it moves down to the individual series. It then becomes even more specific as it moves down to the individual file units within those series. Finally, it reaches the most specific when it moves down to the individual documents within those file units.

Documents aren't individual museum objects or disconnected pieces of data. They're small parts of a whole. Each document will have a definite and permanent location in a larger context. Each document is related to something larger. For example, a document may be part of a file unit, which is part of a series, which is part of a full collection. This is why it's inappropriate to handle or catalog individual documents separately.

4. *What are the standard levels of an archival hierarchy?*

The standard levels of an archival hierarchy go in descending order:

- Collection Level
- Series Level (plus subseries, sub-subseries, etc., as necessary)
- File Unit Level (**Note:** A file *unit* is not the same thing as a file *folder*. A file unit is a group of documents filed together under a particular topic or title. A file folder is simply a physical device for holding those documents. It is not unusual for a single file unit to contain so many documents that it would take multiple file folders to hold all of the documents contained in that one file unit.)
- Item Level (individual documents)

5. *Must each collection follow a standard hierarchy?*

No. Each collection will have its own unique hierarchy. There's no universal template.

Some collections can have extremely simple hierarchies. A collection may be composed of a small number of individual documents that aren't organized into files or series. In that case, the hierarchy would simply involve the Collection Level and the Item Level.

At the other end of the spectrum, another collection may have an extremely complex hierarchy. It would encompass multiple series, some of which might be organized into subseries. Some of those subseries might be organized into sub-subseries. Some subseries might be made up of files that are arranged alphabetically. Some might be made up of files that are arranged chronologically. Some may be made up of bound ledgers that are arranged numerically. Some may be made up of individual documents that are not part of file folders or bound volumes.

The key is to evaluate each collection individually, by answering the questions:

- What are the collection's components (the series, subseries)?
- How are files within the various components arranged (alphabetically, chronologically, numerically)?

Remember: A hierarchy can be as simple as a single group of files arranged alphabetically, or it can be as complex as a collection that is divided into 10 or more series, all of which are divided into subseries, some of which are further divied into sub-subseries.

6. *What's an easy way to remember archival hierarchy concepts?*

Think of a collection as a multi-volume publication. Each volume would be analogous to a series. Within each volume, each chapter would be analogous to a file unit. Within each chapter, individual pages would be analogous to individual documents.

In other words, the pages of a multi-volume publication are not stand-alone objects. They follow a specific order and are arranged into chapters and volumes. Similarly, individual documents in a collection are not stand-alone objects. They follow a specific order and are arranged into file units and series.

A hierarchy is a little like an outline—you have to have two or more elements to justify going to a subordinate level. It is pointless to have an outline with just one heading (Roman Numeral I, but no Roman Numeral II), or just one subheading under a heading (Subheading II.A, but no Subheading II.B). It's the same way with archival hierarchies. You have to have at least two series to warrant organizing a collection into series. If you don't, then you just have a collection arranged into file units, with no series structure. Similarly, you should only break a series into subseries if you can identify at least two subseries.

7. *Why is it important to maintain a collection's provenance and to arrange it according to its original order?*

A collection is evidence of the knowledge, statements, and activities of the organization or individual that created the collection. If provenance and original order are protected, the collection will reflect historical development. It will show what the organization or individual knew or thought over time and document decision-making. It will also provide the context and background that are critically important to understanding the significance of each document.

For example, researchers can compare a person's diary entries with his or her outgoing letters. They can compare an organization's internal memorandums with its press releases to see if they are consistent. They can compare incoming letters with outgoing letters to determine how a person or organization responded to questions or events. They can compare documentation filed at the beginning of a project with documentation filed at the end of a project. This helps to provide a full picture of what took place.

One can evaluate the authenticity of documents more readily when they are retained in context with related documents created or received by the same

organization or individual. You compromise provenance and original order by mixing documents from one collection together with another or by rearranging collections. This makes it more difficult to:

- discern an organization's or individual's actions or responses
- recreate the context for that organization's or individual's actions or decisions
- authenticate documents

8. *Why is it important to arrange a collection in a hierarchical order?*

Hierarchical organization makes archival cataloging easier and more practical. Once you establish a collection's hierarchy, it's usually sufficient to catalog or describe only the upper levels of the hierarchy. In the vast majority of cases you don't have to catalog hundreds or thousands of individual documents or file units. It's usually only necessary to:

- complete a catalog record for the collection as a whole
- write descriptions similar to catalog records for the various series and subseries that make up the collection
- prepare a folder-title list or container list for the collection, if desired

Hierarchical organization also provides for an additional and useful method of access. Word searches and searches by accession number or catalog number are the primary methods to retrieve documents from collections that were cataloged on a document-by-document basis—but this often means that a researcher needs to have a fairly clear idea of specifically what to request. Hierarchical arrangement facilitates broader and deeper research by focusing on document types, functions, and creators. You can still do word searches and searches by accession number in a hierarchically arranged collection, but hierarchical retrieval in many cases is a more rewarding method because it does not limit researchers to documents, file units, subject terms, or accessions that they already know to request.

A properly arranged archival collection can be almost self-indexing. If a series is arranged alphabetically, you can search for specific files just as easily in the records themselves as in a finding aid—without having had to take the time to enter the titles of each file into the Archives Module. On the other hand, if you need to create finding aids with titles of each file unit, the Archives Module will make it easy to do.

9. *Am I prohibited from describing archival collections at the file unit or item level?*

No. It is always an option left to your discretion—but it should only be done when necessary. In most cases, having logically-arranged and properly-described series and subseries will be sufficient to enable researchers to zero in on the 5 or 10 file units containing the documents they need. Additional description at the file unit or item level won't add enough value to make it worth the effort—especially since container lists can provide an extremely easy alternative to full file unit descriptions. But it is always *possible* to do descriptions at lower levels of the hierarchy.

In a few instances, such as situations where you are working with associated records, full file unit descriptions may be recommended (see Section M, "Handling Resource Management Records).

One example of the sort of material where file unit description should be considered would be records relating to archeological projects. All records on a specific archeological project can be handled as a file unit within the Archives Module, and you can enter information on subjects, activities, locations, findings, investigators, and any other data concerning the project into the file unit screen—along with accession numbers linking the project with any associated objects. The files on each project will thereby retain their individual identity within the hierarchy, and will be readily identifiable within the hierarchy—but it will still be possible to do word searches and searches by accession number.

10. *What are the principal functions associated with archival work?*

The principal functions of archival work are:

- appraisal, scheduling, and accessioning (determining the long-term value of archival materials; deciding whether or not to accession them)
- arrangement (putting each collection into its hierarchical original order)
- processing and preservation (foldering; boxing; labeling; removing clips, staples, and other foreign objects; separating textual from non-textual materials; placing damaged or unstable documents into protective sleeves)
- description (including cataloging and the preparation of finding aids)
- access and use (including reference, exhibits, publications, and education)

Note: Each of these functions will be discussed in detail in its own section of this appendix.

Note: Never attempt to do any of the phases listed above before learning about the person, family, or organization that created the collection, and the history or other subjects covered in the collection.

11. *Why is it necessary to carry out these archival functions in the correct sequence?*

You should perform the archival tasks in the sequence listed above for several reasons.

- Before accessioning a collection, you should appraise it to determine whether it possesses sufficient value to warrant retention.
- Trying to use a collection before the important work of arrangement and description has been completed is difficult. You wouldn't have a finding aid or an arrangement scheme that could help you find the documents you need.
- Attempting to use a collection prematurely could interfere with the work of arranging, processing, and describing it. This would be like moving furniture and inviting guests into a room that's still being painted and carpeted.

Note: On very rare occasions you may have to use a collection that's still being processed. However, you must have a strong justification for doing so.

12. *Why is the arrangement of a collection necessary before cataloging?*

There's at least one sequence of archival tasks that's mandatory. Archival collections **must** be arranged before they can be cataloged. Description always follows arrangement.

> ***Never attempt to catalog an archival collection before it has been physically arranged.***

Archival cataloging and description are based on each collection's unique hierarchical arrangement. Therefore, you cannot begin to catalog a collection until you have completed arranging it. You must also have a good general sense of what's in the collection as a whole before beginning to catalog. You need to know the:

- physical types of documents
- information contained in those documents
- functions served by those documents

The best way to acquire this knowledge is through arranging and processing the collection.

Arrangement is the necessary preliminary work before cataloging. It can take a considerable amount of time. You can spend many days or weeks organizing and processing a collection before you can write a single catalog record. However, don't attempt to catalog archival materials before that preliminary work is done.

See Sections H-M for a full discussion of arrangement.

13. *How is cataloging an archival collection different from cataloging museum objects?*

You can't catalog archival materials in the same way that you catalog museum objects. When cataloging museum objects, you catalog one object or one small lot of objects at a time. Even with scientific collections, where it is important to classify objects and to document the relationships between objects, the result is still going to be one catalog record per object or one catalog record per lot. With non-scientific collection, where there may be little or no direct relationship between objects, it is possible simply to catalog one object at a time with no reference at all to other objects.

An archival collection, however, should never be cataloged on a document-by-document basis, as object collections are cataloged on an object-by-object basis. Instead, you have to create a single catalog record for an entire collection of archival materials (which might involve many thousands of documents). Then, you must develop separate archival descriptions for all series, subseries, or sub-subseries in the collection. If necessary, you can also describe individual file units or even individual documents.

Further, the cataloging and description of archival materials is based partly on how they are filed or housed. Object cataloging is not affected by the physical placement of the objects being cataloged. Even objects that were

collected as part of the same project or are otherwise related may be shelved, boxed, or stored in different locations. Apart from noting the physical location of each object or lot, a catalog record for an object will not be based on the object's physical placement. Actual physical arrangement, however, is central to archival cataloging.

> ***Never attempt to catalog archival materials by cataloging one document, putting it back in the file or back in the box, and moving on to catalog the next document.***

Archival cataloging is based largely on the physical arrangement of a collection. It is necessary to organize a collection into its hierarchical component—both physically and intellectually—so that you can describe those various components. Once the collection has been physically arranged, you will be able to describe the collection as a whole, then each of the series that make up the collection, each of the subseries that make up the series, and so forth.

Even though it can be time-consuming to complete the physical arrangement of a collection, the actual task of producing an archival catalog record can be done relatively quickly. A single catalog record may cover thousands of individual documents. These are counted as individual objects in the Collection Management Report. The time spent on cataloging and description is far less when you follow archival methods. This is true even if you complete series and subseries descriptions or container lists in the Archives Module.

> ***Individual project files in archeology, paleontology, geology, biology, etc., can still be co-located with their associated objects at partner repositories even if the collection as a whole is arranged hierarchically. Just do a file unit description in the Archives Module, and note in the location field that the file unit is housed at another repository. If you do not already have an on-going agreement with that repository, you should also complete an Outside Loan Agreement. Even though the file unit is separated physically from the remainder of the collection, it is still part of that collection intellectually because it retains the same provenance as the remainder of the collection.***

In short, don't attempt to catalog an archival collection on a document-by-document or file-by-file basis. Put all the pieces together in a hierarchical arrangement before cataloging.

E. Appraisal

This section outlines the criteria, standards, and methods you should employ to determine whether a collection is:

- historically significant, *and*
- eligible to be accessioned

1. *Why is it necessary to appraise archival and manuscript materials before accessioning them?*

For legal, professional, and practical reasons, it's unwise to accession all archival material that may be available. Just because documents are old doesn't necessarily mean they are worth keeping. NPS curators and archivists must apply specific criteria and make serious decisions about acquiring archival collections.

> ***Federal records that must be retained by statute or because they are covered by an existing records disposition schedule don't need to be appraised. They are automatically eligible for accessioning (see Section F, "Records Schedules").***

Example: Records associated with archeological projects at parks are covered by NPS-19, and Federal regulations require that they be retained. Therefore, you do not need to appraise them before accessioning them.

The Federal Records Act requires that certain types of park records be transferred to the National Archives. It would be inappropriate to accession such materials into NPS museum collections, no matter how valuable they are. The records schedule in NPS-19 provides clear guidance on this.

See Section F, "Records Schedules," for additional information on the Federal Records Act and NPS-19.

By applying good appraisal techniques, you can prevent museum collections from being inundated by:

- documents with minimal historical value that shouldn't be accessioned
- certain park records that are required to be sent by law to the National Archives

Appraisals prevent valuable NPS resources from being diverted away from legitimate museum holdings and activities.

> ***Once archival collections are accessioned, it becomes very difficult to deaccession them. The items will be counted in the backlog and eventually will have to be processed and cataloged. The best deaccession policy is always a good accession policy.***

2. *What are the two methods for determining whether a given collection of archival or manuscript materials should be accessioned?*

The two methods for determining whether you should accession archival materials are:

- Apply an *existing* "records schedule" to see if directions are already in place for handling this particular type of records. (**Note:** NPS staff apply existing records schedules to park records *only*. Records schedules don't apply to donated material.) See Section F for information on records schedules.
- Conduct an original appraisal of the materials in question. Evaluate the records according to several well-established criteria.

3. *How do I appraise donated materials?*

You can't apply existing NPS records schedules to donated materials. Appraise each collection of personal papers or organizational records offered to your park. Follow the appraisal guidelines cited below in this section. Parks can appraise these kinds of materials completely on their own authority. You don't need to get authorization from the National Archives. See Section F for specific schedules covering NPS records.

4. *What are the guidelines for appraising archival and manuscript materials?*

To qualify as a museum accession, a collection of archival or manuscript materials must:

- fit the park's Scope of Collections Statement, *and*
- demonstrate enduring value in one or more of the following areas:
  - evidential value
  - informational value
  - legal value
  - intrinsic value
  - associational value

Note: The Scope of Collections Statement (SOCS) defines the museum objects and archival/manuscript materials a park will collect. Each park is required to have one. The SOCS reflects the park's mission. It focuses on museum objects and archival/manuscript materials that:

- relate to the park's cultural resources and natural history
- relate to the site, subject, person, event, or other entity the park was established to preserve and interpret

For further information on SOCS, see the *Museum Handbook*, Part I, Chapter 2.

5. *What's "evidential value"?*

"Evidential value" documents the activities, goals, policies, programs, administration, and organization of the records creator. Such records constitute evidence of the actions taken or considered by the records creator.

A collection of personal papers that reflects the activities and thoughts of the person who created it has evidential value.

6. *What's "informational value"?*

An archival collection has "informational value" if it contains information on historical events, themes, issues, and eras apart from the organization or the person that created the records.

The archives of the Olmsted Firm at the Frederick Law Olmsted NHS are an example. They document the company's activities (evidential value), but also contain informational value about the:

- evolution of landscape architecture and urban planning in the late 19th and early 20th centuries

- cities where the Olmsted Firm designed parks and thoroughfares

The records of the Calumet and Hecla Mining Company and the Quincy Mining Company at Keweenaw NHS document the activities of those corporations. The records also contain informational value by documenting the:

- history of the mining industry and labor relations in Northern Michigan from the 1880s through the 1930s

- political and social history of mining towns in that area

7. *How do I evaluate a collection's informational value?*

Most collections will have at least some trace of informational value. However, not all collections with informational value should be accessioned.

> ***To warrant retention on the basis of informational value, a collection must contain information that is unique, concentrated, and important.***

Unique Information

Information contained in a collection is unique if:

- it's not readily available elsewhere (such as, in books, or in newspapers, or in other archival collections), *or*

- the collection contains information from a particular perspective that is not available elsewhere

Concentrated Information

Information in a collection is concentrated if it presents:

- many facts on a small number of persons, things, issues, or events; *or*

- a few facts on a large number of persons, things, issues, or events; *or*

- many facts on a large number of persons, things, issues, or events

Note: Collections that contain only a few facts about a small number of persons, things, issues, or events may not be sufficiently concentrated to justify accessioning.

Importance of the Information

The collection should have importance as a potential information source. The information should be primarily important for the NPS and secondarily for outside historians, scientists, and other researchers. Don't accession collections that are of no use as a reference tool or source of information for the NPS or outside researchers or would be readily available at public libraries or other repositories.

8. *What's "legal value"?*

Documents such as deeds, wills, articles of incorporation, and contracts may

have ongoing "legal value." Such documents may be necessary to establish ownership, authority, responsibility, or obligation in a legal sense. Documents with legal value may be important not only for historical research, but also for present-day and future activities, from title searches to litigation.

Note: For park records, most records with legal value are already scheduled in NPS-19 (Appendix B) for permanent retention. They are retained either in the museum collection or at the National Archives.

9. *What's "intrinsic value"?*

Some documents have value not for the information they contain, but rather as artifacts. Documents that are important as artifacts have "intrinsic value." An excellent non-NPS example would be the Declaration of Independence. Innumerable copies of the Declaration of Independence exist all over the world. The original Declaration of Independence is on permanent exhibit at the National Archives. It contains no evidence about the operations of the Continental Congress or information about the American Revolution that isn't readily available elsewhere. However, the document itself, as a physical object, has tremendous artifactual or intrinsic value.

Intrinsic value is seldom a factor when appraising an entire collection. However, it's an important consideration in determining how to handle individual documents. Some documents are physically unstable and may cause surrounding items to deteriorate. These include newspaper clippings or telegrams on pulp paper, nitrate-based photographic negatives, and motion pictures. If an item is exceptionally deteriorated, it's permissible to replace the original with a surrogate archival quality copy. If the original lacks intrinsic value, you may discard it without having to formally deaccession it. If it has intrinsic value, you should keep it for as long as possible.

10. *What's "associational value"?*

"Associational value" refers to a collection's relationship to a person, organization, or event whose history the park preserves or interprets. For example, Golden Gate NRA preserves and interprets the history of the former U.S. Penitentiary on Alcatraz. Accordingly, that park has collected archival materials associated with Alcatraz.

Associational value alone is usually not sufficient to warrant accessioning. It's basically the same thing as meeting the park's Scope of Collections Statement. Collections must not only fit the Scope of Collections Statement or have associational value; they must also possess evidential, informational, or legal value.

"Associated records" are also documents generated through the collection or analyses of artifacts or specimens. They are necessary for the management and future research use of those artifacts and specimens. Examples include field notes and reports produced as part of permitted research projects at the park. These records are associated with archeological, paleontological, geological, or biological objects or specimens in the park's museum collection. Check both the Scope of Collections Statement and NPS-19 (Appendix B) for information on associated records that should be accessioned.

11. *Are there other types of archival "values"?*

There are other types of archival "values":

- "Monetary value" refers to the dollar value placed on rare or

collectable documents. It should seldom, if ever, be regarded as a criterion for accessioning. In other words, if a collection has sufficient informational or evidential value and fits the park's Scope of Collection, but has little or no monetary value, it should still be accessioned. If, however, a collection has monetary value but does not fit the Scope of Collection or has insufficent informational or evidential value, then it probably should not be accessioned.

- "Administrative value" refers to the usefulness of a collection of park records for purposes of park management. Resource management records, as defined in NPS-19 (Appendix B), may be scheduled for permanent retention in park museum collections because of their administrative value.

Note: For further guidance on the methods and objectives of records appraisal, see "Strategic Directions: Appraisal Policy" (NARA Directive 1441), at http://www.archives.gov/records-mgmt/initiatives/appraisal.html.

12. *How should a records appraisal be conducted and documented?*

Records appraisals should be conducted and documented as follows:

If…	***Then…***
you are simply applying an existing records schedule to a collection of park records,	you should indicate the specific schedule and item number in the accession file.
you are developing a specific records schedule,	you should draft an appraisal report (in the form of a memorandum) and complete National Archives SF 115, Request for Disposition Authority.
you are considering whether to purchase or accept the donation of an archival or manuscript collection,	you should draft an appraisal report (in the form of a memorandum) stating how the collection meets the Scope of Collections Statement and has sufficient evidential, informational, or legal value to be accessioned.

Note: The appraisal report should explain how the records have sufficient evidential, informational, legal, or administrative value to be accessioned. Follow the chain-of-command and procedures at your park to get the appraisal report and SF 115 approved. Then submit them to the National Archives for a final decision.

13. *What is the collections advisory committee, and what role does it play in appraisal?*

Each park is required to have a collections advisory committee to review proposed deaccessions and make recommendations to the superintendent. The committee may also review proposed accessions, although this is not mandatory. Although this is left to the park's discretion, it might be a good idea to have the collections advisory committee review any appraisal reports prior to accessoining. The superintendent, of course, makes the final decision on both accessions and deaccessions.

14. *When is it appropriate to conduct an archival survey?*

You should initiate an archival survey of possible storage areas to locate any records eligible for accessioning if:

- your park doesn't have an active records management program in place to identify park records that should be transferred to the custody of the museum program, *and*
- it's likely that resource management records are stored at various locations throughout the park (offices, workshops, basements, garages, attics)

Records surveys and records appraisals are best conducted by a qualified archivist or records manager. If one is not available at the park, you may want to hire a contractor or seek assistance from your regional office.

15. *What kind of information do I need to gather about any records I find?*

Gather enough information to make a decision whether or not to accession any records that you locate. See **Figure D.1**. The survey should include:

- information on the physical location where the records were found
- name of the park office or park employee who created the records
- overview of materials, including the type of documents (ledgers, correspondence, invoices, press releases, photographs, reports), volume, date range, and topics
- NPS-19 file code, if applicable

16. *Should I prepare folder title lists, full collection level or series level descriptions, or catalog records?*

No. In-depth descriptive work usually can wait until after the records have been accessioned. There's no need to prepare folder title lists or other detailed description for records that aren't eligible or appropriate for accessioning.

17. *If I identify records in my survey that fall under an NPS-19 file code, how should I handle them?*

Simply follow the instructions under "Disposition,"

If…	***Then…***
NPS-19 calls for records under a given file code to be accessioned into the museum collection after a certain date,	accession them at the specified time.
the disposition instructions specify that the records are "temporary" or "non-permanent," or if they indicate that records should be transferred to the National Archives and Records Administration.	don't accession them into the museum collection.

18. *What if I find NPS records that are not covered by a file code under NPS-19?*

Consult with the servicewide Records Manager. The Records Manager will advise you whether and how to submit a "Request for Disposition Authority" to the National Archives.

19. *What if I locate non-NPS archival materials during my survey?*

Ideally, any non-NPS archival materials acquired through donation, purchase, or other means would already have been appraised and accessioned. If your survey uncovers any non-NPS materials that haven't been appraised and accessioned, you should:

- ensure that your park has legal title (one way to do this is to check the accession file to see if there is a Deed of Gift).
- appraise the materials according to the guidelines specified above to determine if they have sufficient evidential, informational, legal, administrative, or intrinsic value to warrant accessioning

F. Records Schedules

1. *What's a records schedule?*

A records schedule is a set of directions for handling certain types of records that are likely to be created on an ongoing basis. In effect, a records schedule pre-appraises certain types of records. A records schedule will set forth directions for handling all records that fit into a specific category. The directions are based on a general assessment of how valuable any records in that category would be.

A typical records schedule will list one or more types or categories of records. The records schedule provides descriptions of the sorts of documents that would be included in those categories. See Table 2 for some examples.

Examples of Records Categories
[Please note: This list is not an all-inclusive; these are only examples]

Narrative Reports and Related Correspondence
Public Relations Files
Records of Conferences and Meetings
Special Events Files
Concessions Reports
Construction Programs Files
Maintenance Program Records
Roads and Trails Files
Contract Files
Budget Formulation Files
Land Use Files
Environmental Impact Records
Official Personnel Folders
Applications for Employment
Law Enforcement Reports
Fire Management Reports

For each record category, the records schedule provides instructions on the

disposition of those records. Examples of "disposition authorities" (or instructions) include:

- destroy when no longer needed
- hold for a specified time period, such as 5 years or 20 years, and then destroy
- hold for a specified time period and then transfer to the National Archives
- retain permanently at the park

Only records scheduled to be kept permanently at the park should be accessioned into NPS museum collections.

2. *What records schedules are available for use by NPS staff?*

NPS staff use the following records schedules:

- NPS-19 (Appendix B)
- General Records Schedules
- specific records schedules developed for individual categories of records at individual parks

3. *What's NPS-19 (Appendix B)?*

NPS-19 (Appendix B) is the Records Disposition Schedule for the National Park Service. It lists hundreds of categories of records in 12 general groups:

- Administration
- Concessions
- Development and Maintenance
- Fiscal
- History and Archeology
- Interpretation and Information
- Lands and Recreation
- Natural and Social Sciences
- Personnel
- Supplies, Procurement, and Property
- Laws and Legal Matters
- Fire Management

NPS-19 (Appendix B) is available on-line at: http://data2.itc.nps.gov/wapc/records/Index.html.

It's also available via InsideNPS. Go to NPS Policies, click Records Management in the Select Policy Subject drop-down menu, and choose Records Management Intranet Web Site.

4. *How should I apply NPS-19 (Appendix B) to park records?*

Apply NPS-19 (Appendix B) to park records only (see definition, question 8 below).

If…	***Then…***
the records have been filed according to the filing codes provided in NPS-19,	you should compare the actual records to the appropriate code to confirm that they were properly filed.
the records were filed under the correct filing code,	follow the directions cited under "Disposition" for that particular code. Those directions will tell you whether you should: • destroy the records after a certain period • transfer them to the National Archives • accession them into the museum collection
the records in question were not filed according to the NPS-19 filing codes, or if they were filed incorrectly,	review the filing codes to find the one that matches those records. Then follow the directions cited under "Disposition" for that particular code. Those directions will tell you whether you should: • destroy the records after a certain period • transfer them to the National Archives • accession them into the museum collection
you are unfamiliar with the NPS-19 records codes and how to apply them,	consult with the park's administrative officer, the regional curator, or the NPS records manager.

Note: Certain file units—such as project files—may contain copies of documents with different filing codes. In such cases, leave the files intact.

5. *What's the General Records Schedule?*

The General Records Schedule is a collection of records schedules. It covers more than 20 broad categories of records that are commonly produced by Federal agencies. The National Archives and Records Administration (NARA) issues the schedule. It's available on-line at http://www.archives.gov/records-mgmt.

Apply the General Records Schedule to park records in the same manner that you would apply NPS-19 (Appendix B).

Most General Records Schedules relevant to the National Park Service have already been incorporated into NPS-19 (Appendix B).

6. *What are "specific" records schedules?*

You may discover park records that don't appear to be covered by either NPS-19 (Appendix B) or the General Records Schedule. Consult with your park's administrative officer to see if a specific schedule for those records exists. If there is a specific schedule, follow the disposition instructions. If there isn't a specific schedule covering those records, you'll need to get one.

7. *How can my park get a specific records schedule?*

To get a specific records schedule:

- Appraise the records in question, following the guidelines in Section E.
- Submit a "Request for Disposition Authority" to the National Archives and Records Administration. Provide the findings of your appraisal and propose a disposition (such as, destruction, transfer to the National Archives, or permanent retention at the park).

Note: The National Archives has legal authority over the disposition of all Federal records covered by the Federal Records Act. The Federal Records Act includes all NPS records. If you need assistance preparing a Request for Disposition Authority:

- check the National Archives website (http://www.archives.gov/records-mgmt.), *or*
- consult with the NPS records manager

8. *Should NPS-19 (Appendix B), the General Records Schedule, or specific records schedules be applied to any kind of archival or manuscript materials?*

No. Records schedules can only be applied to records produced by the National Park Service.

NPS records include all materials such as reports, letters, memorandums, photographs, sound recordings, films, floppy disks, CDs, maps, blueprints, videotapes, and any other kind of document filed in the course of official business. NPS records also include materials from outside sources that a park receives in the course of doing business. Some examples are letters written to park officials and contract proposals sent to the procurement office.

9. *Should NPS-19 (Appendix B), the General Records Schedule, or specific records schedules be applied to donated or purchased materials?*

No. Donated or purchased materials, such as personal papers and the records of non-federal organizations are not Federal records. Federal records schedules don't apply to them.

G. Accessioning Archival Materials

1. *When should I accession a collection of archival or manuscript materials?*

As detailed in Section E, you should accession archival or manuscript materials only after determining that the materials in question:

- meet the Scope of Collections Statement, *and*
- have sufficient historical value to justify permanent retention

Use one of the following methods to determine whether you should accession collections:

- For park records: Follow guidelines contained in NPS-19 (Appendix B).
- For park-generated documents that aren't considered official records: Appraise the materials to determine if they have evidential value, informational value, legal value, or administrative value. Include findings in a written appraisal report.
- For donated or purchased materials: Appraise the materials to determine if they have evidential value, informational value, or legal value. Include findings in a written appraisal report. **Note:** Only a qualified archivist or records manager should attempt to do an appraisal report.

2. *What steps should I take to accession an archival collection?*

Take the following steps to accession an archival collection:

Follow the accessioning procedures outlined in* Museum Handbook II*, Chapter 2, Accessioning. The same basic procedures and rules for accessioning museum objects also apply to accessioning archival collections.

- For donated materials: Have the owner sign a Deed of Gift (Form 10-830). Always ask for all copyrights when conveying title to the NPS, and get signed release forms.
- For purchases: Have an appropriate purchase document and statement of ownership. Always ask for all copyrights when purchasing collections for the NPS, and get signed release forms. **NPS policy states that donations or purchases of archival materials should be made without restrictions** (although exceptions may be made in certain cases).

- For materials from another park or Federal agency: Complete a Transfer of Property Form (DI-104).

- For records associated with field collections (such as field notebooks of archeologists, paleontologists, geologists, and biologists conducting research under NPS permit): Complete a Receipt for Property Form (DI-105).

- For materials acquired via loans: Complete an Incoming Loan Agreement and Receipt for Property (DI-105).

Note: It's permissible to accept copies of field notes and similar materials produced by outside researchers. See *Museum Handbook III*, Chapter 2 for information on copyright issues for field notes.

3. *Does each document have to have an accession number?*

No. Archival materials generally are accessioned in bulk. However, under certain circumstances it's possible for accession numbers to be assigned to individual items within a collection.

4. *Does each collection have to have a single and unique accession number?*

This is ***preferred***, but isn't mandatory. There may be occasions where a single accession can contain materials from multiple collections. There may be occasions when a single collection may be acquired in multiple accessions. It's simpler and more efficient to handle archival materials when a single accession represents a single collection in its entirety, if at all possible. In defining an archival collection, however, the overriding factor is provenance—not the accession.

You should never intentionally combine multiple collections in a single accession – but sometimes this can happen by mistake. Example 3, below, provides guideance on what to do if you should encounter an accession combining two or more collections.

Example 1: The personal papers of a particular individual are donated to the park by that person's descendants,and receive an accession number. Then the family discovers an additional cache of that person's papers, and donates them, too. Because the park didn't receive these papers until many years after the initial accession, the new donation receives its own accession number. But the two accessions should be combined under a single catalog record because they are two parts of a whole: the personal papers of the individual who created them.

Example 2: All Resource Management Records for the park are being handled as a single collection (see Section M for more information on how and why this should be done). This collection contains several "recurring series," which are on-going series of records that will grow over time with the addition of new file units. New file units for these various series, such as "Grazing Records" or "Fire Management Records," should be given new accession numbers as they are received, but they should simply be added to the existing collection. Therefore, this collection of Resource Management Records may receive an infinite number of accessions over the years, but it will remain a single collection.

Example 3: The park receives a donation of archival materials as a single

accession. Upon further examination, it appears that the accession contains the personal papers of two different individuals. The accession therefore contains two distinct collections and should be split between two catalog records—one for each collection.

5. *Can accessions be divided?*

Yes. It's conceivable that multiple collections can get mixed together in a single accession. For example, a park may acquire two or more collections from a single donor and handle the donation as a single accession. When that happens, it's necessary to separate the different collections and then catalog and shelve each of them separately. If an accession contains three different collections, enter them into the ANCS+ Collections Management Module as three different catalog records. The same accession number should be cited in all three catalog records.

> ***The most important unit in archives and manuscripts is the collection, not the accession or the individual document.***

6. *Can multiple accessions form a single archival collection?*

Yes. It's not uncommon for a collection to be acquired by a park in two or more accessions. Sometimes collections can be acquired through many small accessions over a period of many years. This is particularly true for ongoing or recurring series, such as Resource Management Records, which will be produced as long as the park continues to exist. Although *cataloged* Resource Management Records will always have an end date, that end date will always be subject to change as you accession more recent records. (See next question, "What's an 'accretion,'?" for more information on adding new accessions to existing collections.

When a single collection is broken out among multiple accessions, the collection needs to be reassembled. It's necessary to combine all of the accessions and handle the collection as a single item. Enter the collection into the ANCS+ Collections Management Module as a single catalog record. All of the accession numbers for that collection, however, should be cited in that catalog record.

7. *What's an "accretion"?*

"Accretion" is another name for an accession that is added to an existing collection that has already been cataloged.

It's not unusual to receive additional materials belonging to a collection after the collection has been arranged, shelved, and cataloged. For example, a donor could transfer all the papers of a famous ancestor to the park. Years later, he or she discovers another portion of that collection. In such cases, the donor might transfer the remainder of the papers to the park long after the original accession had been cataloged.

In another example, most parks accession field notes and other associated records relating to permitted research. The associated records for archeology or geology might each constitute a collection. They might also each constitute a series within a larger collection of Resource Management records. Unless parks discontinue permitted research, associated records will continue to be accessioned. In most cases, treat these records as accretions to the existing series or collections. Don't treat each new accession as a new collection.

8. *How should I handle accretions to a collection?*

Interfile accretions with existing materials or add them to the collections as a new series, depending on the arrangement of the collection. See Sections H, I, and J for additional information on how to arrange collections.

Update the existing catalog record by:

- adding an additional accession number for the accretion
- updating the volume of the accretion to the volume of the collection as a whole
- updating the date range for the collection if the accretion covers years beyond those covered in the existing collection
- revising the description field if the accretion covers subjects not noted previously and types of documents not previously listed
- revising the organization/arrangement field to show an additional series if the accretion is being handled as a new series within the collection (Remember to complete a new series screen in the Archives Module.)

H. Arrangement

Once you have accessioned a collection, the next step is to arrange it in its proper order. There's no universal template that can be used when arranging a collection. However, there are clear and fairly simple rules and standards that you must follow.

1. *What's arrangement?*

Arrangement is perhaps the most important step in managing an archival or manuscript collection. Arrangement is the process by which a collection of any size is brought under both intellectual and physical control. The way in which a collection is organized becomes the basis for all subsequent activities or uses in connection with that collection. Effective cataloging and access is possible only if a collection has been arranged. An unarranged collection cannot be cataloged properly or used efficiently.

Never attempt to catalog a collection until it has been arranged.

2. *Why is it necessary to arrange a collection before cataloging or using it?*

The "collection," not the individual document or file, is the basic unit of control in archives. A collection, regardless of size, represents a single grouping of items that's documented on a single catalog record.

Although an entire collection should be cataloged in a single catalog record in the Collection Management Module, you cannot stop there. For most archival collections, proper documentation requires description of the lower levels of the collection's hierarchy—such as the individual series and subseries—in the Archives Module. These descriptions are based on the actual arrangement of the collection. The catalog record, therefore, documents only* part *of a collection. For full documentation of a collection, you need to enter descriptions in the Archives Module.

Remember that a collection contains *ALL* historically significant documents in the park's custody that were created or received by a particular

organization or individual. If the park has 100 folders of documents created or received by an organization (such as a corporatin, a non-profit foundation, or a government agency), then treat all 100 folders as part of a single collection. Do not handle each folder as an individual collection.

To make sense of a collection, it must be arranged. All but the smallest collections typically are subdivided into series. The series may be further subdivided into subseries and sub-subseries, which typically are subdivided into file units. Each document has a permanent location in this structure of series, subseries, and file units. The structure is similar to a book in which each page has a permanent location within a chapter. Otherwise, a collection would be nothing but a chaotic jumble of disconnected documents. There would be no logical order, no context, and no way of locating information except to search each document, one at a time. It would be like a book that is bound without regard for pagination.

Put another way, an unarranged collection is like a disassembled puzzle. To make the collection manageable and useful, you have to put the pieces together. Only then will the full picture become apparent. Trying to catalog a collection before arranging it would be like trying to describe the picture before assembling the puzzle. Trying to do reference in an unarranged collection is equally inefficient. It's like trying to find a particular scene in a thousand-piece puzzle by sorting through the loose pieces.

Fortunately, most collections will be in at least rough order when they are accessioned. Some collections may have been mixed up between the time they were created and the time they were accessioned. However, there are many clues and guidelines to help you put a collection back into its original order.

3. *What are the two key steps that I have to take in order to arrange a collection?*

The two key steps to arranging a collection are:

- *Define the Collection*. Clearly identify what materials are in the collection. In most cases, a single collection would include all documents created or received by a particular person or organization. Make sure the collection remains intact and is not mixed with any other collections.

- *Establish the Internal Organization of the Collection*. Determine if the collection is ordered correctly, or if you need to put it back into its correct order.

4. *How do I handle items that pertain to more than one collection?*

A collection consists of all documents created *or received* by a particular person or organization. Although some documents may pertain to other collections, all documents must be kept as part of that person's or organization's collection.

For example, you have a collection of George Washington's papers and a collection of Thomas Jefferson's papers. The Thomas Jefferson papers include an original letter that George Washington sent to Thomas Jefferson. Even though Washington wrote the letter, he sent it to Jefferson, who kept it in his own collection. Therefore, the letter becomes part of Jefferson's records, not Washington's. If Washington kept a copy of the letter for his own collection, however, that copy would properly be part of the Washington Collection.

5. *May I combine similar or related collections?*

No. Never mix one collection with another collection, no matter how closely related they might appear to be. Two collections of records that cover exactly the same topics created by two different organizations are two separate collections.

6. *May I break collections up into multiple collections if they are very large or cover different topics?*

No. You should never break up a collection. You may subdivide the collection into series and subseries and thereby address questions of size and subject. Those are internal or organizational divisions. The collection as a whole should remain intact and should be handled as a single catalog record.

> ***One exception to the rule against breaking up collections into smaller collections involves associated records. You may treat all project files for a particular discipline as a collection, rather than as a series within a larger collection of park resource management records. Do not, however, treat individual project files as separate collections.***

7. *Should I combine archival materials created by an individual while he or she was working for an organization into a collection with materials created by that same individual in his or her spare time?*

No. It's best to keep an individual's personal papers separate from documents he or she created while working for an organization or agency. For example, your park has the archives of an organization that includes the speeches and business correspondence of the organization's president. In addition, your park has that individual's personal correspondence and diaries. You should keep the documents created by that person in his or her official capacity as president of the organization with the organization's archives, and you should manage that person's private papers as a separate collection.

8. *Should each accession be regarded as a collection?*

Not necessarily. It's possible that:

- a park could acquire an entire collection as a single accession
- a park could acquire an entire collection through multiple accessions, sometimes spread out over several years
- a single accession may contain more than one collection, or portions of more than one collection
- the park may acquire a portion of a collection in an accession that is received *after* that collection has been cataloged (In such cases, add the new accession to the rest of the collection and revise the catalog record accordingly.)

Note: See Section G for a more detailed explanation of how to accession archival collections.

9. *What's meant by "archival arrangement"?*

Any collection of archives or manuscripts is going to be arranged in some manner. The arrangement patterns of larger collections may be fairly complex, but the overall concept of archival arrangement is a simple one.

As individuals or organizations create and save records, they seldom do so in a random manner. They usually don't keep loose documents in boxes or drawers without some kind of logical arrangement or filing system. Instead, they place documents into folders. Then they may group the folders based on subject, function, source, or document type.

For example, staff members in an office start working on a particular project. They are likely to open a file on that project. All of the letters, reports, notes, meeting minutes, and reference documents concerning the project would go into that file. The file, in turn, would be kept together with files on all of the office's other projects. These project files would be kept together in the same file drawer. There would be some kind of logical scheme for arranging them. They might be arranged alphabetically by the official title of the project or numerically according to an established filing code.

The office might also keep "reading files" containing copies of all outgoing correspondence. One way of handling these documents would be to open a new reading file every month. Staff would place copies of outgoing letters into that file as they are completed. All the monthly files would be kept together in the same file drawer. Similarly, as invoices are received from vendors, all of the invoices would be filed together. They could be filed in alphabetical order, by the name of the vendor, or in chronological order, by the date received.

An archival arrangement usually is nothing more than the basic structure that a person or organization adopted when filing records.

You could walk into almost any NPS office and quickly see that certain types of files are kept in one drawer. Other types of files are kept in other drawers. Those varying groups of records in the different drawers are like series in an archival collection. Each series—the project files, the reading files, the invoices, etc.—consolidates a group of files by type or function, and arranges them in a consistent pattern (alphabetically, numerically, chronologically, etc.).

10. *Should all archival or manuscript collections follow the same arrangement patterns?*

No. Each archival or manuscript collection will have a unique structure. All archival collections, however, follow the same "bigger to smaller" format. The goal is to keep the order in which the collection was originally kept. But the actual components and filing schemes will vary from collection to collection.

Some collections may be nothing more than a group of individual documents or individual file units. More commonly, however, individual documents or file units are organized into series or subseries. The file units or individual documents in some series or subseries may be arranged chronologically, whereas file units or individual documents in other series or subseries may be arranged alphabetically. There is no standard template. It all depends upon the specific collection because each collection will have its own unique organizational structure. For examples of variations in hierarchical structures for one category (park resource management records), see **Figure D.4a-D.4g**.

Arrangement patterns will vary based on any number of factors, such as:

- the work a person or organization does
- the size and complexity of the organization that created a collection of records
- individual preference for types of filing schemes and formats (certain

organizations or individuals may produce certain physical types of records that they choose to file together.)

Example: Type of Work

The records of the Thomas Edison Corp. at Edison NHP, include laboratory notes. The notes reflect the fact that the corporation was engaged in original research. The records of American President Lines at San Francisco Maritime NHP include ships' logs. The logs reflect that company's activities as a shipping line. A person or organization's specific activities or functions help determine the kinds of records they create. The activities and functions also determine the internal structure or arrangement of their archival collections.

Example: Size and Complexity

A small company may have one central filing system. It would keep all of its correspondence files together, all of its project files together, and all of its purchasing files together. A very large organization may be broken down into several components. Each component would have its own filing scheme. The arrangement of that organization's archival collection might therefore be broken out by the various organizational units. It would then be further broken out by the specific types of records that those units maintained.

Example: Individual Preference

Some individuals or organizations may keep financial records in bound ledgers. Others may keep financial records on loose sheets in file folders. Some may choose to arrange a particular type of material alphabetically. Others may choose to arrange a similar type of material chronologically or according to an alpha-numeric code.

Example: Types of Records

An organization may choose to file physical types of records together, such as architectural drawings, engineering drawings, maps, photographs, sound recordings, or motion pictures.

One of the most critically important responsibilities of the archivist or curator is to examine each individual archival or manuscript collection very carefully. The archivist or curator must be able to:

- ***discern a collection's specific and unique arrangement scheme***
- ***figure out how a collection was <u>originally filed</u> by the person or organization that created it***

11. *How can I determine original order if the collection has gotten out of order over the years?*

Use common sense, ordinary logic, and a basic familiarity with archival principles to determine the original order. See Section D for the archival principles that you will need to understand.

There are two key points to keep in mind:

- First, many collections will still be in their proper, original order when they're accessioned. All you have to do is identify that order and then maintain it. What are the main groupings of records? How are the files arranged within those groupings? If a file from one obvious grouping has gotten misplaced in another grouping, put that file back where it belongs. Draw up a "hierarchy" based on the order that you have identified (see Sections C and I for an explanation of a hierarchy.) Base your processing and cataloging of the collection on the way in which the collection is ordered.

- Second, there are many clues and guidelines that can easily help you put a mixed-up collection back into its original order (see item H-13, below, for examples).

You have to put the collection back together before you can proceed with any other tasks related to that collection. It's almost impossible to process, catalog, or use a collection effectively if it's not properly arranged.

12. *Is it okay to alter original order to suit current needs?*

No. If you can establish a collection's original order, then you must keep it. Even if there may seem to be a better way of organizing the collection, you must maintain the original order. There are several reasons for this.

The "original order" reflects how the records were filed. It also reflects the historical events and the historical contexts that they document. The original order is evidence of what actually happened, just as much as the documents themselves. Keeping a collection in its original order can help researchers discern:

- causes and effects

- responses to events

- the mindset of individuals at the time those events occurred

- the flow and patterns of history

By reordering a collection into what might seem like a more useful arrangement, such as topics that seem important at the time, you're imposing a subjective order on the records. This could make it more difficult for others to use the records in the future.

13. *Is it possible to arrange a collection that's no longer in its original order?*

Yes. Even if a collection gets all mixed up before it's accessioned or processed, it's usually possible to put it back into its original order. For example, mix up 26 volumes of an encyclopedia (arranged alphabetically), a ten-year run of a weekly magazine (arranged chronologically), and a set of financial ledgers (arranged by volume number). No matter how mixed up they are, it's easy to see that the encyclopedias belong together. The magazines belong together, and the ledgers belong together. It's equally easy to see that the encyclopedias should be in alphabetical order. The magazines should be in chronological order, and the ledgers belong in numerical order. Putting a disarranged archival collection back together is similar.

To determine original order, look closely at:

- arrangement schemes
- physical formats
- subject matter and function
- time frame
- source
- titles on file folders and bound volumes

For example, suppose you have 26 big bound volumes scattered throughout a collection. The volumes all carry the same title. Each volume is marked with a letter from A to Z (with none of the letters being repeated). The volumes all contain the same kinds of documents and information. Bring all of those volumes together as a series or subseries, and arrange them alphabetically. See Section J for information on series and subseries.

Similarly, suppose that hundreds of file folders labeled "Outgoing Correspondence" are also scattered throughout that collection. Each file folder is marked with a month and a year between 1937 and 1952. No month or year is repeated. The content of these file folders matches. All of the folders contain carbon copies of outgoing letters. The folders may be badly scattered through the collection. They may be jumbled with file folders containing different titles and are no longer in chronological order. However, they all appear to be part of one series. You should consolidate them and arrange them chronologically.

Figure D.2a is an example of a collection whose individual file units have gotten out of series order. **Figure D.2b** shows the hierarchy for that same collection upon being reassembled into its original order.

14. *What if the original order is hopelessly lost, and there is no way of re-establishing it?*

You must do everything you can to understand and preserve a collection's original order. If the original order cannot be discerned, or if the original order was purely random, then the archivist may impose an order to make the collection useable. This should not be attempted except in extreme situations. If you have to impose an order on a collection, you should observe the following guidelines:

- Retain the provenance—that is, make sure that you are working with a single collection. Do not mix the collection with materials produced by another records creator, and do not divide the collection into multiple collections.
- Exert every effort to discern the original order. Do not attempt to impose an order unless you are certain that the original order cannot be ascertained or cannot be used even if it were ascertained.
- If at all possible, retain series and subseries structures. Confine yourself to reordering file units or documents within the original series organization.

Note: The decision on whether to impose order on a collection whose original order cannot be established should be made by a qualified archivist or records manager.

If a collection is out of order, it's not acceptable to leave it that way. Don't box, shelve, or catalog it in that condition.

I. Hierarchical Structure

1. *What's a "hierarchy"?*

The "hierarchy" is the internal structure of a collection. It shows how a collection is organized into its subordinate parts (series). It shows how series are organized into their subordinate parts (subseries). It shows how file units in series or subseries are arranged. It is like an outline of the collection or a table of contents. By surveying and arranging a collection, the collection's archival "hierarchy" will be identified. See Section D for additional information on hierarchies.

2. *Why is hierarchical structure the key to arranging a collection?*

The key to arranging an archival collection is to build from the top down. Begin with bigger elements and move down to their smaller components.

In other words, an archival collection should be arranged *hierarchically*. The top level of the hierarchy is the largest part of the hierarchy. This is the collection as a whole, which is all-encompassing. The bottom of the hierarchy is made up of the smallest parts of the collection or the individual documents themselves. In between, in descending order, would be the series, subseries, and file units.

The vast majority of collections are broken up into *groups* of archival materials. These groups are called "series." Each series, in turn, is broken down into components. In some cases, a series is broken down into smaller groups, called "subseries." In other cases, series are broken down into individual file units. Following the same pattern, these subseries may be broken down into yet smaller groups called "sub-subseries." They may also be broken down into individual file units. Each file unit, meanwhile, will contain one or more individual documents (or "items").

Looked at from the bottom up, this means that each document will belong to a file unit. Each file unit will belong to a subseries. Each subseries will belong to a series, and each series will belong to a collection.

The internal structure of an archival collection is not unlike the internal structure of the *Museum Handbook*. For example:

- An archival collection may be divided into *series.* The *Museum Handbook* is divided into *volumes*.
- An archival series may be divided into *file units*. Each volume of the *Museum Handbook* is divided into *chapters* and *appendices.*
- An archival file unit is divided into individual documents, or *"items."* The chapters and appendices in the *Museum Handbook* are divided into *sections.*

You can take the *Museum Handbook* out of its binders and shuffle the pages.

However, you can still put it back together in its original order. Similarly, if individual documents and file units in an archival collection get shuffled, it's still possible to put them back in their original order.

3. *What should a hierarchy look like?*

Figure D.3a shows a sample hierarchy for a collection of organizational archives. **Figure D.3b** shows a sample hierarchy for a collection of personal papers. Both hierarchies show how collections may be subdivided into series. They also show how some of those series, but not all of them, may be further subdivided into subseries and sub-subseries. The sample hierarchies show how subdividing into series, subseries, and sub-subseries may be based on:

- differences in the physical format of documents
- the type of documents
- the content or function of documents
- the origin of documents
- the filing or arrangement schemes

Most importantly, the sample hierarchies show how the different components in a collection relate to each other. Every element in a collection is part of a larger element. An item is part of a file unit, a file unit is part of a series, and so forth.

It's important to remember that these hierarchies are only examples, not templates. You should not simply try to force collections in your custody into these sample hierarchies. Each collection will have its own hierarchy, based on what the collection actually contains and how it's actually structured.

Identifying a hierarchy is not like classifying an object. You are not trying to place each document or each file within a taxonomic structure. Instead, you need to identify a collection's unique components. Identifying a hierarchy is nothing more than identifying a collection's internal structure. It all depends on how a collection is organized and how the documents are filed, which will be as different for each collection as the table of contents is different for every book.

4. *How should the various elements in the hierarchy (such as series, subseries, file units) be titled?*

Each element should have a unique title.

- No two collections among your holdings should have the same title. Never use generic titles when naming collections, such as "Associated Project Documentation." Indicate the creator of the records and the type of materials, such as: "Thomas E. Edison Papers" (the records creator is Thomas E. Edison, and the materials themselves are personal papers) or "Records Associated with Archeological Projects at Andersonville NHS" (the records creator is Andersonville NHS, and the materials themselves are archeological project files).
- Within a particular collection, no two series should have the same title.

If you have two very similar series, find some way to differentiate between them. For example, if you have a series of subject files covering the years 1920-1940 and a series of subject files covering the years 1941-1960, you can differentiate them in the titles as follows: "Subject Files, 1920-1940" and "Subject Files, 1941-1960." Do not just put "Subject Files" in the title fields for both series. (Of course, it is all right to have a series entitled "Subject Files" in one collection and a series entitled "Subject Files" in another collection. Because the two series are in different collections, there is no conflict).

- Within a particular series, no two subseries should have the same title.

- Within a particular series or subseries, no two file units should have the same title. (Very large files can be contained in multiple folders, all of which would have the same title, but they are still all part of the same file unit. Example: You have a series of "Accounts Receivable" files that are arranged chronologically. The file unit for "Accounts Receivable – March 1938" is so voluminous, however, that it needs to be broken out into three separate folders. But these three folders all are part of a single file unit, so it is okay to put "Accounts Receivable – March 1938" on each of them. In such cases, they should be numbered "1 of 3," "2 of 3," etc.)

- Within a particular file unit, each document should have a unique title. If you are doing item level description—which is strongly discouraged—do not just identify individual items with a generic title such as "Letter" or "Memorandum." Indicate what the document actually is, such as "Final Report of the Planning Committee, August 13, 1905" or "Letter, Smith to Jones, December 5, 1915."

- Through a hierachical approach, every series, every subseries, every file unit, and even every item will have a unique and permanent intellectual address. This is essential for managing, retrieving, and citing documents. For example, there can be only one document with the following intellectual address: "Fred Smith Papers: Correspondence: Outgoing Letters: December 1915: Smith to Jones, December 5, 1915." This intellectual address clearly identifies the item ("Smith to Jones, December 5, 1915"), the file unit ("December 1915"), the subseries ("Outgoing Letters"), the series ("Correspondence") and the collection ("Fred Smith Papers").

Note: This unique hierarchical address method works, even if you only describe a collection down to the series or subseries level. If someone requests a copy of the letter from Smith to Jones, December 5, 1915, you do not need to have that individual letter described in the Archives Module in order to find it. If you have the series and subseries descriptions entered into the Archives Module, however, you will know where to find the letters that Mr. Smith sent out. You can just go to the box containing the outgoing letters for 1915. Thumb through the files until you come to the "December 1915" file, and flip through the letters until you come to the one you want. It is like looking up an article in an encyclopedia. You don't need to know the exact page where the article is printed. All you need to know is the alphabet and where the set of encyclopedias is located.

For further information on naming conventions and other standards for archival description, you may want to consult the Society of American Archivists' publication* Describing Archives: A Content Standard (DACS) *(2007), or its predecessor volume,* Archives, Personal Papers, and Manuscripts *(1989), by Steven L. Hansen.

5. *How should a hierarchy be used?*

Once you have established a hierarchy, you have a blueprint for all future work involving that collection.

Processing and Arrangement Phase

As you process and arrange a collection, the hierarchy serves as your guide for putting documents and files into their proper order. The physical storage of the collection will reflect the hierarchical structure. Box and shelve series and subseries in the same order as they appear in the hierarchy.

Cataloging Phase

As you catalog a collection, you base your descriptions on the different levels of the hierarchy. You write a brief overall description of the collection as a whole. You then write similarly brief descriptions of each series, subseries, sub-subseries, and so forth. Generally, you should avoid individual descriptions of file units and items. See Sections R and S for further discussion on how to catalog archival and manuscript collections.

Reference and Document Search

As you conduct reference and search for documents in a collection, the hierarchy serves as the roadmap. It's the basis for the development of finding aids.

J. Organization—Series And Subseries

1. *What's a "series"?*

A "series" is a "natural" grouping of records. It's natural in the sense that the person or organization that created the records devised the groupings. The creator grouped the records mainly for ease of retrieval.

2. *How are series grouped?*

Series are grouped based on one or more of the following elements:

- *Arrangement Scheme:* A series should reflect a single arrangement scheme throughout. All the files, volumes, or documents within a series should be arranged alphabetically, chronologically, numerically, or according to some other consistent pattern.

- *Physical Type of Document:* The creator of a particular collection of records may have filed all the photographs together, or all the architectural drawings, or all the maps together. If so, these groupings by physical type might each constitute a series--but only if that is the way in which they were originally filed. If the records creator filed photographs together with letters and reports in a single series, then those photographs must remain part of that series—even if you have to separate them physically for preservation purposes (see Sections P and Q for more information on the physical removal of oversized

documents and photographs from textual series; also see the "If-Then" table under item 8, below).

- *Subject Matter or Function:* The records creator may have filed all the personnel files together. All the project files or all the financial records may be filed together. Series breakdowns typically reflect this kind of division.

- *Time Frame:* Certain types of records may be broken down into series by time periods. For example, a collection of correspondence may be arranged alphabetically by the name of the correspondent and grouped into blocks of 10 or 15 years. It may make sense to leave those blocks of correspondence intact as separate series. Grouping the records by time period might be better than attempting to interfile them with alphabetized correspondence from a subsequent 10-year period.

- *Source:* It's conceivable that a group of documents received from a particular source could constitute a series. For example, a collection of financial records may consist of account statements, financial reports, correspondence, and cancelled checks received from different banks. These materials could be organized into one series per bank.

Note: People and organizations that create collections of records usually file their documents in a logical format. They keep certain types of documents together in a consistent filing scheme. For example, a filing cabinet may have one file drawer containing Project Files. A second file drawer could contain Correspondence Files, and a third file drawer might contain Invoice Files. Each of those components would be a series. Identifying the various series in an archival or manuscript collection should be as simple as identifying the drawers in the filing cabinet.

3. *What's a "subseries"?*

A "subseries" is a series within a series. Sometimes it's appropriate to break a series up into smaller groups called subseries.

4. *When is it appropriate to have a subseries?*

There are many reasons why it may be appropriate to break up a series into two or more subseries. Here are the most common reasons:

- different arrangement patterns
- different time periods
- different physical formats
- different sources or different types of records

Different Arrangement Patterns Example

Suppose all the correspondence files for a particular collection are kept together. This would constitute a single series. Within this series of correspondence files, however, the incoming letters are arranged alphabetically by name of correspondent. The copies of outgoing letters are arranged chronologically. You cannot have a series in which some of the file units are arranged alphabetically and some are arranged chronologically. Subdivide this series into two subseries. One subseries is for the alphabetically-arranged incoming letters. The other subseries is for the

chronologically-arranged copies of outgoing letters.

Different Time Periods Example

Suppose the records-creator filed incoming and outgoing letters together, arranged alphabetically. Then suppose that the person or organization that created the records stopped adding to this body of correspondence after 10 years. The individual placed it in storage and then started a new batch of alphabetically arranged correspondence that would run for the next 10 years. The archival collection would have two separate 10-year blocks of alphabetically arranged correspondence files. All of these correspondence files properly constitute a single series. However, it wouldn't be practical to try to integrate them into a single alphabetized group of files. Instead, break the series into two subseries--one for each 10-year block of records. To avoid confusion, be sure to include the beginning and ending dates of these subseries. Enter the dates in the date fields when you catalog the records. You should also incorporate the dates into the formal titles of the subseries: "Correspondence Files, 1960-1969" and "Correspondence Files, 1970-1979."

Different Physical Formats Example

It's not unusual for a group of photographs to constitute a series within a collection. But good records preservation practice calls for prints and negatives to be housed separately. Moreover, it's not unusual for prints and negatives to have different arrangement schemes. Prints are likely to be filed by subject and negatives by image number. In such cases, it's appropriate to subdivide a series of photographs into two subseries. Create a subseries of prints and a subseries of negatives.

Different Sources or Different Types of Records Example

An organization that creates a collection of archival materials may do so along administrative lines. It may file all of the correspondence together. It may file all of the personnel records together and all of the project files together. It would then subdivide them according to the division of the organization that created them. The Correspondence Files could be broken down into groupings such as the President's Office, the Research Division, and the Publications Division. In this case, the basic types of records--Correspondence Files, Personnel Files, and Project Files--would all be handled as series. Then each of them would be sub-divided into subseries for each of the organizational units. Alternatively, all of the records of each organizational unit could be filed together. There would be three series: President's Office Records, Research Division Records, and Publications Division Records. Those series, in turn, would be subdivided into subseries for each records type. For example, the series of Research Division Records would be broken down into subseries. There would be three subseries: Correspondence Files, Personnel Files, and Project Files.

5. *What's a sub-subseries?*

Just as a subseries is a series within a series, a sub-subseries is a series within a subseries. Not all collections in NPS custody will reach that level of complexity. However, it can happen, and it's just as easy to identify a sub-subseries as it is to identify a subseries.

Suppose the records of an organization were divided by administrative unit.

The records of the Research Division would constitute a series. The series would be subdivided according to type of records. The series might include a subseries of photographs. That subseries of photographs would likely be subdivided into a sub-subseries of negatives and a sub-subseries of prints.

It's even possible to go down to the sub-sub-subseries level. Suppose the sub-subseries of prints in the preceding example were subdivided. One group of prints is arranged by subject. A second group of prints is arranged by the name of the photographer. Each of those subdivisions would constitute a sub-sub-subseries.

6. *Why is it necessary to keep dividing and subdividing archival collections?*

You need to subdivide a collection until you have consistent bodies of records. A consistent body of records is the same kind of records arranged according to a single arrangement scheme.

7. *When should I stop subdividing?*

When a series or subseries or a sub-subseries consists of chronologically arranged correspondence files, you can stop subdividing, or when you have a series or subseries of personnel files that are arranged alphabetically, you can stop subdividing. If you have a group containing any other mismatches of record types or arrangements, then you need to continue subdividing. For example, if you have a series of alphabetically-arranged project files and numerically arranged ledgers, you should divide it into two subseries.

In most cases, you will not have to subdivide beyond the series or subseries level. In some cases, you will not have to subdivide. All of the files in a collection may contain the same type of material and follow a single arrangement pattern. Subdivide collections into series and subseries (and additional lower levels) only as necessary. Subdivide only to group bodies of like records in a single arrangement scheme.

8. *Should all items in a particular physical format be consolidated into a single series or subseries?*

Not necessarily. Only consolidate items of a particular format into a single series or subseries if the records creator originally filed them that way.

If…	***Then…***
the records creator kept all photographs in a set of albums,	those albums would constitute a single series or subseries.
the person or organization that created the records filed photographs with other types of materials, such as attachments to letters, or as illustrations for reports,	they are a permanent part of those letters or reports and would not constitute a separate series. Even though they should be separated *physically* for preservation purposes (see Section Q), *intellectually* they remain part of the file in which they originally were kept.

Don't store records with different formats together because they can damage each other.

Photographs that are kept next to letters, for example, can damage the fibers and inks in the letters. The fibers and inks in the letters can also damage the

photographs. In such cases, you have two options. First, you may place the photographs into protective sleeves, and leave them in their original location. If this is impractical (because of the photographs' sizes, volume, or condition), then they should be physically removed and stored separately from the letters. Place a separation sheet where the photographs were initially located, indicating that the photos were moved (see **Figure D.5**). If possible, put a photocopy of the removed photograph with the separation sheet. Even though the photographs will be stored elsewhere, they technically remain part of the letters. They should still be considered part of the file units and series in which the records creator originally filed them. They don't constitute a separate series or subseries.

For further guidance on removing certain types of documents from their original locations for preservation purposes, see Sections N-Q.

9. *What's the difference between a "closed" series or collection and an "open" or "recurring" series or collection?*

A "closed" collection or series has been accessioned and cataloged. There is no expectation that additional materials will be accessioned later for addition to that collection or series. Closed collections and series tend to be those that were created many years ago by individuals or organizations that are no longer producing records. It's possible that supplementary accessions (or "accretions") can be added to closed collections or series. This typically occurs when some historical material is overlooked when the bulk of the collection was first transferred to NPS. When such material is discovered, it may be restored to the existing collection in the form of an accretion. Ordinarily, however, accretions of new material are not added to closed collections.

An "open" or "recurring" collection or series is one where additional accessions are expected routinely. The collections or series are still being created on an ongoing basis. You can keep adding new accessions to these series and collections even after they have been cataloged. All you have to do is add the new material (as a file unit within an existing series, or as a new series within an existing collection). Modify the collection level desciption in the catalog record to reflect the addition of the new material (for example, the volume and date range could change and the hierarchical structure could change if there is a new series). Contact the Park Museum Management Program in the Washington Office to adjust your Collections Management Report when you make your annual National Catalog submission. (The "new" cataloging will show up under previously Cataloged Part I and Total Cataloged Part III.)

The various categories of park records are the most prevalent type of open collections or series likely to be maintained by NPS museum programs. This is because the same kinds of park records are being produced on an ongoing basis by the parks.

Example: Associated Records are a textbook example of recurring series. A park is likely to accession new project files in archeology, paleontology, biology, or geology on an ongoing basis—perhaps annually, for some parks. Once you have established a collection or a series for project files in a particular discipline, you only have to add the new project files to that existing collection or series and then update the catalog record.

As noted in Sections E and F, only certain types of park records may be accessioned into museum collections. Park records should be disposed of in accordance with NPS-19 and the Federal Records Act. It's permissible for

museum programs to accession resource management records, as defined by NPS-19. Most other park records should either be destroyed or transferred to the National Archives and Records Administration.

10. *How should I arrange an open or recurring series or collection?*

There are two ways of handling additional accessions for an open or recurring collection or series:

- Newly accessioned file units can be added to the end of an existing series if minute interfiling is not required. For example, suppose an existing series consists of reports that are arranged chronologically from 1940 to 1960. The accretion contains the same kind of reports arranged chronologically from 1961 to 1970. The accretion can be added seamlessly to the previously accessioned materials as part of the same series. Adjust the collection level catalog record and the collection and series level archives records to reflect the additional material.

- Newly accessioned file units that can't be added easily to an existing series may be added to the existing collection as a new series. For example, suppose the accretion contains the same kinds of material, but the material is arranged differently. Create a new series record in the ANCS+ Archives Module. Adjust the collection level catalog record and collection level archives record to reflect the existence of a new series.

Note: Accretions to open or recurring collections or series shouldn't be handled as new collections. They shouldn't receive separate catalog records. For example, your resource management records include a series of plant surveys covering the years 1985-1989. You accession additional plant surveys covering the years 1991-1995. Those new plant surveys should be added to the existing series. They shouldn't be cataloged as a new collection.

K. Organization, File Units And Items

1. *What's a "file unit"?*

A "file unit" is the basic means by which individual documents are physically consolidated and arranged. File units are the building blocks of the series (or subseries). A series that doesn't need to be subdivided into subseries (or a subseries that doesn't need to be divided into sub-subseries) is typically a body of records that is made up of one or more file units, arranged in a consistent pattern.

When records creators start accumulating records, they usually do so by setting up file units. The file units hold documents relating to particular projects, or topics, or individuals, or functions. The file unit, therefore, is the component of the series (or sub-series) that contains all of the documents relating to a project, individual, or function, that were filed together.

2. *Is a file unit the same thing as a file folder?*

No. It's important to understand that the file *unit* is not the same thing as a file *folder*. A file unit is a grouping of related documents. A file folder, however, is merely a physical device for holding those documents. There is no limit to the size of a file unit. If a project is especially complicated or protracted, the project file may grow. It may encompass hundreds of pages, held in dozens of file folders. The project file constitutes just one file *unit*,

no matter how many file *folders* it requires.

3. *How are file units arranged?*

File units are arranged in several ways.

If…	***Then…***
the title on a file unit contains names or words,	the files probably will be arranged alphabetically.
the title of a file unit is a number,	the files probably will be arranged numerically (or by filing code).
the title on a file unit is a year or date,	the files probably will be arranged chronologically.

4. *Should I subdivide file units?*

No. File units should remain intact, even if they contain a mix of documents. For example, suppose a records creator routinely places all of his or her records each month into a single file unit. These may include reports, invoices, correspondence, newspaper clippings, and transcripts of speeches. You would not subdivide this group of material. Each file unit would contain the same sort of thing (that is, everything). The file units could be placed into a consistent arrangement pattern (arranged chronologically by month).

Leaving a file unit intact, however, is not the same thing as leaving everything in one folder. If a single file unit contains many pages, it may be necessary to use several folders to contain all the pages, but doing so does not mean you are creating new file units. Instead, you are just using more than one folder to contain a single file unit. Also, a file unit may contain oversized maps that should be removed and flattened, but doing so does not mean you are creating a new file unit for those maps. The maps are still part of the file unit intellectually, even if they have been separated from the rest of the file unit physically.

Remember: a file unit is not the same thing as a file folder. A file unit would contain all of the documents filed together by the records creator on a particular topic, or project, or individual, regardless of how many documents there might be. The file unit might cover many folders, depending on how many documents it contains.

Note: If a folder is so full that it is bulging, you may divide it into enough folders so that everything fits comfortably. Dividing a file unit into multiple folders is like slicing a pizza. You can cut it into four pieces or six pieces or eight pieces, but it is still a single pizza. You cannot cut it into halfs, however, and sell it to customers as two separate pizzas.

5. *What are some types of file units that are not contained in folders?*

Although the majority of documents are placed into file folders, there are other types of file units that don't use file folders, such as:

- *Volumes and Binders*. Some records creators place documents into loose-leaf binders or bind them into volumes. A file unit might constitute all of the documents:

- in the binder
- under one tab in the binder
- in multiple binders

In such cases, you have to look carefully at the titles on binders and tabs to make sure you are able to identify file units properly.

Note: If you are able to remove documents safely from binders or volumes, you should transfer them to regular file folders. See Section O, "Processing and Preservation—Paper-Based Documents," for information on preservation.

- *Ledgers, Logbooks, and Diaries*. Whether identified by number, date, or name, individual financial ledgers, logbooks, or diaries tend to be regarded as individual file units.

- *Drawers and Divided Drawers*. Oversized maps and charts may be placed into map cases. In such cases, it's possible that the records creator treated individual drawers as file units. Note the tabs or labels on the drawers and scrutinize the contents closely. This will help you to determine if file units were handled on a drawer-by-drawer basis. Similarly, a records creator may have placed photographs or index cards into rows within filing cabinet drawers. He or she separated the rows with dividers noting name, subject, or some other kind of file unit identifier. All of the photographs or index cards between two dividers might be regarded as file units.

- *Electronic File Folders*. Records creators may keep all of their documents electronically, grouped into electronic files. Retain the electronic arrangement of documents as the file units. In many cases, it may be advisable to print all the documents. Then place them into file units that replicate the electronic arrangement. See Sections N-Q for information on preservation and processing.

6. *What's an "item"?*

An "item" is a single document. Most collections are made up of series, and most series are made up of file units. File units are made up of items.

"Item" and "document" are not synonymous with "page" or "sheet."

An item may only be a one-page note, or it may be a report extending to hundreds of pages. Whether one page or hundreds of pages, it would still be just one item. An item might also be a single magazine, or a photograph, or a reel of audio tape, or even a roll of film.

An item may include attachments. If a letter is received with other documents as enclosures, those enclosures should be regarded as part of the letter. The letter and the enclosures together would constitute a single item.

Remember, archival and manuscript collections should be organized hierarchically, from the general to the specific. The collection level is at the

top of the hierarchy because it's the most general (the collection as a whole). The item is at the bottom of the hierarchy because it's the most specific (individual documents). In between are the intermediate levels of series, subseries, sub-subseries, and file units. These become increasingly specific as you move down the hierarchy.

L. Step-By-Step Arrangement

1. *What's the first step in arranging a collection?*

Step 1: Review the collection in its entirety.

You may do this as part of a formal archival survey, or you may do this informally. In either case, you need to become generally familiar with all parts of the collection. You need to understand the full scope of the collection before you can start arranging the collection. You can't start arranging a multi-box collection simply by opening the first box, taking out a handful of documents, and putting them into some kind of order. You need to have a basic idea of what's in the collection as a whole. You'll then have a basic idea of how everything will fit together. Avoid moving or rearranging anything until you have completed this review. As you conduct our review, be sure to take notes that will help you carry out subsequent phases of the arrangement process.

2. *What sorts of things should I look for in a review?*

Review or survey the collection and conduct additional background research to determine the following:

- What types of records does the collection contain?
- What subjects, functions, and years are covered in the collection? (This shouldn't be an exhaustive and comprehensive list. All you need is a very basic sense of what's in the collection.)
- What is the history of the organization (or the biography of the person) who created the collection?
- Most importantly, can the collection be subdivided into multiple groupings (or series) of records? Does it appear that the person or organization that created the records filed all of the following together:
  - correspondence
  - financial records
  - project files
  - photographs

Note: Not all collections need to be subdivided into series. A collection that consists of one type of material arranged in a consistent fashion doesn't need a series organization. For example, a collection may consist entirely of letters received from various sources. If you can incorporate all of them into a single alphabetical, numerical, or chronological arrangement scheme, then series breakdowns are inappropriate.

3. *What's the second step in arranging a collection?*

Step 2: Identify each of the broad, basic groupings of records within the collection. These are the series.

The series provide the overall organizational structure for the collection. This is critically important because this is the structure you'll have to follow when arranging the collection.

4. *What's the third step in arranging a collection?*

Step 3: Carefully review *each* series you have identified to determine if it needs to be subdivided into subseries.

If so, then identify those subseries, just as you identified the series within the collection as a whole. If there are no series, then skip to Step 7. (Remember that the theory behind breaking series down into subseries is exactly the same as the theory behind breaking collections down into series.)

5. *What's the fourth step in arranging a collection?*

Step 4: If a particular series should be broken down into subseries, then review *each* subseries.

Determine if the subseries need to be divided into sub-subseries. If so, then identify those sub-subseries, just as you identified the series and subseries. If there are no sub-subseries, then proceed to Step 7.

6. *What's the fifth step in arranging a collection?*

Step 5: If a particular subseries should be broken down into sub-subseries, then review *each* sub-subseries.

Determine if the sub-subseries need to be divided into sub-sub-subseries.

7. *When do I stop subdividing a collection?*

Don't get carried away when identifying groupings of records such as series or subseries. Follow the pattern of subdividing until you have identified a body of records that consists only of:

- file units or items, *and*
- the file units or items don't need to be subdivided into groupings

For example, suppose you have properly identified a series of correspondence files. These correspondence files are arranged alphabetically by name of correspondent. Then suppose that there are multiple file units for several of the correspondents. There might be five letters from Mr. Smith, seven letters from Mrs. Bell, and eight letters from Mr. Jones. All of the letters are filed separately. Don't break these out as a subseries of letters for each person. Handle them all as individual file units within the series, arranged according to the series-wide alphabetical arrangement scheme. Be sure to include the date of the letter and the correspondent's name as part of the file unit title. Then arrange the file units for each individual correspondent chronologically. The series would be arranged alphabetically by name of correspondent. The alphabetized file units would be arranged by date.

Note: Such decisions often rely on judgment calls and common sense. A series of correspondence files that includes hundreds of letters from several sources might be appropriately broken out as subseries.

8. *What's the sixth step in arranging a collection?*

Step 6: Identify the arrangement scheme for the file units in the series (or subseries, or sub-subseries, and so forth).

Are these file units arranged chronologically, alphabetically, numerically, or according to some kind of filing code?

9. *What's the seventh step in arranging a collection?*

Step 7: Physically arrange the collection. Make sure all of the:

- items are in their proper file units
- file units are arranged according to the applicable filing scheme
- series, subseries, sub-subseries, sub-sub-subseries are properly grouped

Remember that if a collection is divided into series, then everything in that collection should be contained in one of those series. The collection shouldn't be organized into 10 series plus a few stray documents or file units. If you've identified 10 series for that collection, then every item must be contained in one of those series. You'll have to create new series to accommodate stray documents that don't logically fit within an existing series.

If a series is broken down into subseries, then everything in that series must be contained in one of those subseries. The same principle applies for sub-subseries and for additional levels below that.

If a series or subseries is organized by file unit, then everything should be part of a file unit. If you have a series made up of 100 file units, you cannot also have an individual document included as part of that series. Either locate the file unit where it belongs or create a new file unit for that one document.

10. *How should I arrange an assembled collection?*

An assembled collection is a body of documents selected from multiple sources. The documents have no organic connection to each other. Any order they might have would reflect the activity of the collector, rather than reflecting the activities of the individuals or organizations that created the documents. Therefore, there is no "original order" to an assembled collection and no true hierarchy.

Because an assembled collection is completely artificial, you are free to arrange it in whatever manner seems most efficient. A few suggestions:

Assembled Collection of the Same Kind of Documents

Catalog a collection level record. In the ANCS+ Archives Module, ignore the series, subseries, and file unit levels, and go straight to the item level. Arrange the individual items chronologically, or alphabetically, or any other way that seems to work.

Assembled Collection of Different Types of Documents

Catalog a collection level record. In the ANCS+ Archives Module, create series for each of the different formats, such as letters, diaries, and maps.

Assembled Collection of Small Groups of Documents from Different Sources

Organize the assembled collection into series according to the sources. The U.S.S. Arizona Memorial, for example, includes groups of 5-20 documents that various individuals donated. Most of the documents were collected rather than created by those individuals. The individual groups of documents don't really rise to the level of a true collection. Organizing them each as series within an assembled collection is a way of managing them efficiently, while retaining their provenance.

Assembled Collection Compiled and Arranged by a Private Collector, and Later Donated or Sold to the Park

Catalog as a single collection, retain in the order established by the collector, and provide series, filie unit, or item level entries—as appropriate—in the Archives Module.

M. Handling Resource Management Records

1. *What are resource management records?*

Resource management records are park files. They include baseline and other types of information that the park needs to manage its cultural and natural resources effectively. Depending on the park, resource management records might include files on:

- land use
- wildlife management
- construction and maintenance
- research projects in archeology, paleontology, biology, and geology

2. *What are the two acceptable methods for handling resource management records?*

One method is to handle all resource management records for a park as a single collection, covered by a single catalog record and a single catalog number. This collection, of course, will expand as new resource management records are created and accessioned. This means that the catalog record will have to be modified as the collection grows.

The second method is to handle associated records separately from other resource management records. Under this method, all associated records for a specific discipline would constitute an individual collection, with one catalog record and one catalog number. Thus, all records associated with archeological projects would constitute a collection, all records associated with paleontological projects would constitute a collection, and so forth. These collections of discipline-specific project files would also expand over time, necessitating updates to the catalog records.

3. *What commonly used method of handling resource management records should I avoid?*

Many park museum programs have treated files associated with specific projects, studies, or maintenance jobs as individual projects. As a result, parks have many tiny "collections" that in reality are nothing more than file units. This method of handling resource management records is ineffective and fails to meet archival standards.

Handling project files as separate collections is not consistent with standard

archival practice. Archival management is based on provenance (the records creator), not on individual projects. All Resource Management project files are records made or received by the park—regardless of whether they were authored by park staff, regional/center staff, contractors, or outside researchers. Therefore, all resource management records are official records of the park, and that is the basis for defining the collection. Individual project files, rather than constituting individual collections, would be part of a larger series or collection of resource management records.

Example 1: Five different archeological projects took place at a park. One project was initiated by the park and carried out by the park archeologist in order to locate foundations of a historic house that can be highlighted in interpretive programs. Another project was initiated by the regional archeological center and carried out by staff members at the center in order to comply with Section 106 requirements. The third project was carried out by a contractor hired by the park to monitor the impact of new construction on one of the park's archeological resources. Another two projects were carried out under park permits by local university professors working on separate research projects. Associated records for each five projects were accessioned separately, but they should not be cataloged separately. Even though the five projects were conducted by different archeologists, for different organizations, and for different purposes, **they are all park records relating to one type of activity—archeology.** Instead of each accession being cataloged separately, they should all be cataloged as:

- part of a single series of archeological project files within the park's collection of resource management records, *or*

- as a single collection of the park's records associated with archeological projects.

Example 2: A park-owned historic structure is painted in 1960 and again in 1968, 1975, 1982, 1990, and 1995. It is legitimate to keep the documents as resource management records. But these slender files on individual paint jobs down through the years should not be handled and cataloged as separate collections. Instead, they should be handled as simple file units, within a subseries relating to the painting of historic structures, within an overall series relating to construction and maintenance, within a collection of general resource management records.

4. *How is it possible to find individual files if all resource management records or all records associated with the projects in a specific discipline are covered in only one catalog record?*

It is easy to locate files ***if you use archival methods instead of curatorial methods***. This means:

- organizing files according to standard, hierarchical archival principles

- entering collection-level information into the catalog record and entering series and subseries descriptions (as appropriate) into the Archives Module, taking special care to explain how the files are arranged in each series or subseries. If more information is needed in order to locate individual files, you may either do file-unit level descriptions or container lists in the Archives Module.

It is never enough simply to provide a general description in the catalog record. Proper archival management requires that series descriptions and other information be entered in the Archives Module.

5. *How should I arrange a collection containing all of a park's resource management records, including the associated records?*

They should be organized into series according to discipline or function, such as:

- Land Records
- Wildlife Management Records
- Construction and Maintenance Records
- Archeology Records
- Paleontology Records
- Biology Records

The file codes in the NPS-19 (Appendix B) may help to identify appropriate ongoing resource management series. The various series, in turn, may be broken down into subseries and sub-subseries. These subdivisions depend on the nature of the records and the way in which they have been filed. Within each series or subseries, be careful to note how the files are arranged—alphabetically? chronologically? numerically?

6. *How should I arrange associated records at the park that are handled as separate collections?*

All files for a particular discipline for a particular park should be handled as a single collection (even if some of the files are held at the park, some at a regional center, or some in non-Federal repositories) because they are all park records, regardless of where they are housed.

A collection of associated records may be organized into series, depending on a variety of factors. **There is no universal template that you can follow when organizing any collection. The way in which the collection is organized depends on the type of material, the nature of the projects, how the documents are filed, and other considerations.**

See the "If-Then" Box for suggestions on how a collection of associated records might be organized. See **Figure D.4** for several examples of how to organize collections of associated records into archival hierarchies.

If…	*Then…*
you have to determine whether or not to accession Resource Management Records,	consult the NPS-19, Appendix B, to identify which types of Resource Management Records are appropriate for accessioning into the park museum collection, which types should be transferred to the National Archives, and which types should be destroyed.
you have accessioned Resource Management Records into your park museum collection,	handle them as a single collection, with one catalog number, and organize them into series and subseries approximating the various categories in the NPS-19, Appendix B. Carefully describe each series and subseries in the Archives Module, and prepare container lists as desired.
you receive *additional* accessions of Resource Management Records *after* you have already cataloged a body of Resource Management Records under one catalog record,	add the new accessions under the existing catalog record. If the new accessions fit under existing series, then simply modify the series descriptions to reflect the new material, and amend the container lists. Otherwise, add new series as necessary. Then update the catalog record to reflect the additional volume, the new date range (if applicable), and the added series (if applicable). Copy the revised catalog record over to the Archives Module. Contact PMMP to adjust your CMR when you make your NCS submissions. (The "new" cataloging will show up under previously Cataloged Part I and total Cataloged Part III.)
there are Associated Records included among your Resource Management Records,	you may handle all the files for a particular discipline (archeology, paleontology, biology, or geology) as a series within the overall collection of Resource Management Records, or you may handle all the files for a particular discipline as a collection unto itself (e.g., Records Associated with Archeological Projects, Records Associated with Biological Projects, etc.)
Associated Records in a particular discipline were originally filed	retain that basic structure by organizing the collection into

according to document type (for example, all the reports, correspondence, and other textual materials together; all the photographs together; all the maps together),	series by type; if the Associated Records for that discipline are being handled as a series within an overall collection of Resource Management Records, then organize the series into subseries by type.
maps, photos, and textual material for a collection or a series of Associated Records originally were all filed together in the same folders,	do not organize the collection into series by type (or the series into subseries by type). Instead, retain the simple file unit arrangement, but remove photos and maps for separate housing. Even though the photos and maps are housed separately, they would not constitute separate series or subseries because technically they will remain part of the file units from which they were removed.
Associated Records for a particular discipline include files relating to projects initiated by the park, by a center, or by private researchers working under permits,	either maintain a single arrangement scheme for all the files, according to the accession number, *or* organize the collection into series (or subseries) according to who initiated the project: one series for records of projects initiated by the park; one series for records of projects initiated by a center; and one series for records of projects initiated by private researchers.
your park is the lead park for multi-park projects in biology, and therefore receives accessions both for park-specific biological projects and multi-park biological projects,	organize your collection of Associated Records Related to Biological Projects into two series: one for park-specific projects, and one for multi-park projects.
Associated Records for a particular discipline include files for park projects, center projects, and private (permitted) projects, *and* were originally filed by record type (textual materials, maps, photos, etc.)	first, organize the collection into series according to who initiated the project (one series for the park, one series for the center, and one series for private researchers). Second, organize the series into subseries by record type.

7. *If all project files for a discipline are brought together into a single collection, isn't that like mixing collections or creating an artificial collection?*

No. Most associated records are simply the records of individual projects. Individual project files are not collections.

Archival management is based on the concept of "provenance," which refers to the person or organization that maintained a set of files. Project files in archeology, paleontology, geology, and biology may be authored by different people and organizations (NPS staff, contractors, outside researchers, consulting firms, universities). However, the actual copies that

were submitted to and retained by the park are park records. That is, they are records created or received by the park in the course of conducting official activities. One records creator (the park) plus one type of material (project files in a specific discipline) equals one collection. Therefore, individual project files simply are part of that single collection.

The concept of "non-mixing," however, still prevails. Just as you should not mix collections, you should not mix project files or file units within collections. The file for each project needs to remain intact and distinct from files for other projects, even as they are contained within a single collection or series.

8. *How should I catalog a collection of associated records?*

Enter collection-level information into the catalog record in the Collections Management Module. Then, copy that information over to the collection-level screen in the Archives Module. Then, enter series-level and subseries-level data into the Archives Module, as appropriate. Within the series or subseries, the associated records should fall into natural groupings of one or more folders that relate to a single research project (and any objects or specimens associated with that project). Each folder or group of folders relating to one project would represent one file unit (or project file). You may arrange these file units within their series or subseries in any scheme that works for your park. One option is to use accession numbers as the organizing principle. The accession number would also serve as the file unit number, and you would be able to arrange the project files by accession number. Provide a file-unit level description for each project, under the appropriate series. Include all the information you will need to locate it—such as name of project, name of project director, subject, dates, location of project. If a project file has multiple folders, you may list the titles of each folder in the container list (which can be found in the Supplemental Information attached to the collection-level screen in the Archives Module). See **Figure D.6** for an example of a finding aid based on this model.

Remember that the physical arrangement should mirror the intellectual arrangement. Project files should follow the same order in the Archives Module as they do on the shelves. Thus, if you identify individual project files by their accession numbers in the Archives Module, then they should be boxed and shelved in the same order. The primary exception to this rule is for project files that must be co-located at another repository so that they can remain with their associated objects (See Items 9 and 11 below).

9. *What if project files are held at different locations—with some at the park, some at a regional archeological center, and some at a partner repository?*

Because all the project files would be records of the park, they should all be described under a single catalog number as part of a single collection **regardless of their storage locations**. If the records relating to a specific project must be loaned or transferred off-site, all you have to do is complete the necessary Outgoing Loan documentation and indicate in the location field of the file unit screen where the file unit is housed. Provenance—not storage location—is what defines a collection.

10. *How should I arrange and catalog new project files that are accessioned after I have finished cataloging a collection of associated records?*

Since the files should be in accession order (or some other equally easy-to-administer arrangement), simply add new accessions to the end of the collection. Then, add a new file unit record in the Archives Module describing the new accession. List folder titles as necessary in the container list. Modify the catalog record to reflect changes in the collection's volume and date range. Make sure these updates also appear in the collection level screen of the Archives Module. At National Catalog submission time, ask the Park Museum Management Program to adjust your Collections Management Report to reflect the new cataloging. New accessions can be added this way indefinitely and in a very short time.

11. *Do these methods for arranging records satisfy the Code of Federal Regulations requirement for keeping archeological objects together with their associated records?*

Yes. The regulation specifies that objects and their associated records be held in the same repository, so that the documentation can be retrieved easily to provide context and background for the objects.

The requirement is met by:

- accessioning both the associated records and the objects into the park's museum collection
- ensuring that the documentation shows the link between the objects and the associated records
- co-locating project files with their associated objects, as necessary

The regulations do not specify that any specific filing schemes be followed, so the park is not required to follow such non-standard archival methods as cataloging each accession as a separate collection. Proper archival methods will not interfere with regulatory requirements and should make it even easier to locate project files and associate them with objects—even if they are housed at off-site repositories. Describing a project file within a single collection of park records will not prevent the park from loaning or co-locating that project file.

12. *Without a unique catalog number, how can associated records be cross-referenced to the objects?*

The file unit description for each project will contain its accession number, which should be the same as the accession number for the objects. Even if the objects and associated records are accessioned under different numbers, those numbers can be cross-referenced in the Associated Accessions field in the file unit screen of the Archives Module.

Project files can be cross-referenced just as easily to catalog records for specific objects. For example, suppose a natural history specimen is collected for one project, cataloged separately, and subsequently used for research in connection with another project. The catalog number for that specimen should be noted in the Summary Note for that project's associated records.

13. *How can I loan individual documents or files if they don't have unique collection numbers?*

Associated records can be tracked with the unique archival collection number, series number, and file unit number in the ANCS+ Archives Module. A series, subseries, or file unit remains in the same place in a collection's archival hierarchy, even if the records are on loan. You can also create an individual catalog record in the Collection Management Module for a document or file unit that you send out on loan, and cite the catalog number in the Outgoing Loan Agreement. When the loaned document is returned, you return it to its proper place in the collection's

hierarchy, and change the status in the catalog record to "Incorporated into Larger Archival Collection."

N. Processing And Preservation

1. *When should I process an archival or manuscript collection?*

It often makes sense to process a collection at the same time you're arranging it. This may be the only time you will need to handle virtually every document in the collection individually. It's efficient to use the opportunity to:

- refolder, rebox, and label the collection
- cull extraneous material
- take basic steps to protect damaged or fragile documents

Processing a collection in this way can serve as the first line of defense in preserving a collection.

2. *What supplies and equipment will I need to process an archival or manuscript collection?*

Examples of the supplies and equipment you may need to process a collection appear below. You probably won't need all of these supplies for every project, so you don't need to keep stockpiles of everything. It is probably advisable, though, to have supplies of boxes, folders, polyester sleeves, spacer boards, white gloves, and other most commonly used supplies readily available.

- acid-free document storage boxes (flip-top archives boxes) in letter-size and legal-size
- acid-free flat storage, newspaper storage, and drop-front storage boxes in various oversized dimensions, as appropriate
- acid-free records storage boxes (also called "records center cartons") in one-cubic-foot size
- acid-free photographic print and negative boxes
- acid-free slide storage boxes and slide storage cases (for holding the boxes)
- acid-free file folders in letter-size, legal-size, and various oversized dimensions, as required
- buffered photographic print and negative envelopes and sleeves (for black and white images)
- unbuffered photographic print and negative envelopes and sleeves (for color images) **Note:** Recent research suggests that high quality buffered paper may be better for color images than unbuffered.
- unbuffered, four-flap enclosures (for glass plate negatives)
- polypropylene sheets and sleeves for photographic prints, negatives

and slides

- archival-quality polyester sleeves (Mylar D) in legal-sized and letter-sized
- acid-free spacer boards
- white, acid-free, high tack neutral pH acrylic adhesive box labels
- soft lead pencils
- bond paper, interleaving sheets, and rolls of archival-quality interleaving and wrapping paper
- soft, unbleached cotton tying tape
- plastic or stainless steel paper clips
- micro-spatulas
- flat-blade staple removers (not standard office supply staple removers, which can damage documents)
- pH testing pens
- cotton gloves

In addition, refer to the *Museum Handbook*, Part I, the *Conserve O Gram* series, and the *Tools of the Trade*. They contain information on storage equipment, such as cabinets and shelving.

Depending on the archival materials already available to you, you may not need all of the supplies and equipment listed above. You may need additional items. For example, there are specialized boxes, sleeves, envelopes, and wrappings for microfilm, microfiche, compact disks, videotapes, motion picture film, and the diverse formats of sound recordings.

For additional materials you may need, consult the NPS *Tools of the Trade* or any of the various commercial archival supply catalogs.

3. *What are textual and non-textual materials?*

Textual materials are traditional, paper-based documents, such as letters, reports, notes, clippings, telegrams, and memorandums.

Non-textual materials are records in a variety of specialized formats. These include:

- cartographic records (maps)
- architectural/engineering drawings
- photographs (prints and negatives)
- motion picture film

- videotapes
- audio recordings (reel-to-reel tapes, tape cassettes, compact disks, wax disks, wax cylinders, and wire recordings)
- microforms, including roll film, sheet fiche, and aperture cards
- computer punch cards
- electronic records in all storage media (floppy disks, compact disks, magnetic tape, and even hard drives)

4. *Should I process textual and non-textual records differently?*

Yes. Process textual and non-textual records differently because specialized records require specialized handling. Records in different formats shouldn't be kept together in the same folders or the same boxes because they can damage each other.

5. *What should be done if a collection contains documents that are folded?*

Unfold them. Fold lines can cause damage to both standard-sized and oversized materials. See Section P for information on oversized materials.

For example, it's not unusual for letters to be filed as they were received folded into thirds. Unfold them and file them flat.

6. *How should I handle paper records that are acidic?*

If…	***Then…***
an acidic document has intrinsic value,	place it in a protective sleeve in order to keep it from damaging other documents. Also place a sheet of alkaline buffered paper in the sleeve, to keep the document from damaging itself with its own acidity.
acidic documents (such as telegrams and newspaper clippings) don't have intrinsic value,	replace them with copies made on acid-free paper and destroy the originals.
If you are in doubt about an acidic document's intrinsic value,	Don't throw it out; retain the document, but isolate it to prevent damage to other materials.

7. *How should I handle paper records that are fragile?*

If…	***Then…***
records are fragile but stable (such as letters typed on onionskin paper),	place them in Protective sleeves.

records are fragile and unstable (such as "Thermofax" copies, which become illegible over time and become so brittle that they can break into pieces),	copy them onto acid-free paper, and destroy the originals.

8. *How should I handle paper records that are damaged?*

If…	***Then…***
documents are moderately damaged (slight tears, holes),	place them in protective sleeves (avoid attempting to repair them yourself with adhesives).
documents are severely damaged (mold, burn marks, major tearing or shredding),	consult with a professional paper conservator to determine what treatment is necessary.

9. *When should I make "preservation copies"?*

Preservation copies are photocopies, microform copies, or digital copies of documents. They are produced so that researchers don't have to handle the originals. Having preservation copies helps prevent theft and damage to collections that can occur from overuse.

Note: Preservation copies are different from "surrogate" copies, which literally replace the originals.

It never hurts to have a set of preservation copies for any collection. However, the cost of making them is so high that preservation copying should be done on a very selective basis. Only those collections that are the most important and receive the heaviest use should be considered for preservation copying.

Light-sensitive items, such as albumen prints, should not be photocopied. For further guidance on preservation copying, see* Conserve-O-Grams *no. 19/4, 19/10, and 19/11.

10. *May I cull materials during processing?*

Yes. Materials ordinarily are identified for disposal during the appraisal process (see Section E, "Appraisal"). However, duplicates and extraneous material may be identified during the processing phase. Those materials may be culled from the collection. Consider the materials to have been accessioned in error. Thoroughly document the removal of the materials and place the documentation in the accession folder. This action is not a deaccession. Don't follow the standard deaccessioning procedures.

It's not unusual for a collection to contain multiple copies of the same document. Unless these duplicates have some kind of intrinsic value, it's permissible to keep just two or three copies. Dispose of the rest.

Follow the disposal procedures for permanent park records. Consult with the park's administrative officer to see how the park handles the disposal of such records. Remember, however, that culling is an option – it is not mandatory.

Also, be cautious about culling materials from pre-20th century collections. It is all right to cull recent photocopies of documents that have found their way into the colleciton—but rare handwritten ("fair") copies or "press" copies dating from the same time period as the documents they duplicate might be worth keeping.

Culling collections during processing is not a substitute for the adequate appraisal of records.

11. *What are some examples of the types of materials that can be culled?*

Types of materials that can be culled include:

- blank sheets of stationery
- inconsequential notes
- unannotated slips of paper used long ago as bookmarks within file folders
- empty and unmarked envelopes
- empty binders
- general publications with no associational value
- documents with privacy information that contributes no value to the collection

Note: It is conceivable that material culled from archival collections may have artifactual value. A ream of blank stationery that got filed with an archival collection may not have any archival value and should be culled. However, depending on its age, if it has a particularly unusual or interesting letterhead, it may have artifactual value. In that case, it may be appropriate to retain one or two sheets in the collection and recatalog the remainder as a non-archival history object.

O. Processing And Preservation—Paper-Based Documents

1. *How should I refolder and rebox paper-based documents?*

Unless a collection is accessioned in pristine condition, it's usually advisable to:

- transfer documents from their original file folders
- place them in acid-free file folders
- house the files in acid-free archives boxes
- remove oversized and non-textual records (see Section O)
- take steps to preserve any damaged or fragile documents that you encounter (see Section N)

Don't number the documents. Don't write on the documents for any reason.

2. *What size folders or boxes should I use?*

Use either letter-sized or legal-sized acid-free folders and boxes, depending on the nature of the collection. Collections often contain a mix of letter-sized and legal-sized documents. You should avoid folding legal-sized documents to make them fit into letter-sized folders and boxes. For this reason, legal-sized folders and boxes are preferred—even if a collection is composed predominantly of letter-sized documents. The snug fit of a letter-sized box can cause damage to the documents. Letter-sized storage materials, however, are less expensive than legal-sized materials.

3. *Should I remove paper clips, staples, and other fasteners?*

If at all possible, try to remove metal paper clips, binder clips, pins, brads, Acco fasteners, staples, and rubber bands from documents as you process collections—especially if they are rusty or doing obvious damage.

Take great care when removing staples. To avoid damaging the document, don't rip a staple out from the front by using a standard office staple remover. Instead, turn the document over. Use a flat-bladed archival staple remover. Fold back the ends of the staple so they are sticking straight up. Then turn the document back over. Slide the blade under the staple and gently slide it out of the document.

4. *Should I remove documents from binders?*

Yes. If it's practical to do so, remove documents from three-ring binders, and place them in file folders. Examine the binders carefully to determine if:

- the title on the binder as a whole represents the file unit title, *or*
- various tabs in the binder represent file units, *or*
- the binder is actually part of a larger file unit

5. *How should I handle multi-page documents?*

If multi-page documents are contained in a folder with other documents, they may need to be fastened in some way. If they aren't paginated, they can easily get mixed up with other documents in the folder. You can fold a sheet of bond paper in half (like a mini-file folder) and slip the document in that, or use interleaving sheets to separate documents. Alternatively, you may fold a very small piece of bond paper over one corner of the multi-page document as protection. Then place a stainless steel paper clip over top of the bond paper. You should only do this, however, if the document is not so thick that a clip would create impressions in the document.

6. *Can I break materials into multiple folders if the original file folder is too full?*

Yes. If the original file folder is overstuffed, don't transfer the entire contents to a single new folder. Instead, break up the contents into multiple folders that don't exceed 1 inch in thickness. As explained in Section K, this is still just one file unit. It doesn't matter how many file folders are needed to contain the materials. For example, a file unit entitled "Correspondence, July 1928" has to be broken up among three folders. It remains a single file unit even though it is contained in three folders. The titles on the folders should indicate that the file unit is foldered in sequence:

- "Correspondence, July 1928 (Folder 1 of 3)"

- "Correspondence, July 1928 (Folder 2 of 3)"
- "Correspondence, July 1928 (Folder 3 of 3)"

7. *How should I label file folders?*

Write the folder title on the upper flap of the folder, using a soft lead pencil. Titles should contain the following information:

- catalog number (from ANCS+ Collection Management Module catalog record) or local collection number (from ANCS+ Archives Module entry)
- collection title
- series title (if applicable)
- subseries title (if applicable)
- file unit title (if the file units are arranged under an alpha-numeric or other type of code, then that code designation is the file unit title; if the file unit title is a personal name, then put the last name first)
- the sequence of the folders (Folder 1 of 3, Folder 2 of 3) if the file unit is broken down into two or more file folders
- a consecutive number (acceptable but not necessary)

File units that are arranged properly, according to a clear filing scheme (alphabetical, chronological), don't require consecutive numbering. The number is superfluous. Moreover, the number of file folders is liable to change. For example, documents in a particular folder may become brittle and worn with time and use. It may be necessary to insert them into protective polyester sleeves. These will expand folders and may make it necessary to divide file units into multiple folders. This, in turn, would necessitate re-numbering all subsequent folders. Collection titles, series title, and file unit titles are permanent and immutable. However, the number of file folders can change for a variety of practical reasons. Thus, numbering all folders as a matter of routine can be an unnecessary exercise.

It's permissible to abbreviate titles, if that is necessary to fit all recommended information onto the folder label. The George Washington Carver Papers, for example, could be abbreviated as the "Carver Papers." This abbreviation is appropriate only in the pencil titles on the folders themselves. Enter only full, official titles into ANCS+.

8. *Should I copy everything written on the original folder?*

Not necessarily. Enter only the information that pertains to the actual title of the file unit. File folders often have little personal notes, names, telephone numbers, and other jottings. These have nothing to do with the title of the file unit or the content of the folder. Don't attempt to copy or preserve such extraneous information.

Notes may appear on the folder that seem to be connected with the content of the file unit. These would be like marginalia, only on the folder as opposed to the margins of the documents themselves. You may copy or save the part of the folder containing that writing. If you save a portion of

an acidic folder for this reason, place it in a protective Mylar sleeve. Keep it as part of the file unit.

9. *How many file folders should I place in a box?*

Only put the number of folders in a box that will sit vertically, comfortably resting on the bottom fold. There should be enough folders in the box to keep the folders from sagging, but not so many that the box will bulge.

If you don't have enough folders to fill a box completely, insert a spacer board to keep the folders upright. (A spacer board is a length of acid-free corrugated board. It can be folded to the desired size and inserted in a box to create a false back, against which folders can rest.) Spacer boards—also called "document support spacers"—are available through archival supply catalogs.

10. *May I mix files from different collections in the same archives box?*

No. Even if you don't have enough files from a particular collection to fill an archives box, don't mix collections. Never box different collections together.

If you're working with a very small collection, you may not have enough folders to fill a box. You may also have boxed all but the last two or three folders of a larger collection. In these cases, you have two options:

- Use a spacer board, as described above.
- Use a smaller box. Archives boxes with a depth of only 2.5 inches are available through archival supply catalogs.

11. *How should I label the boxes?*

As arrangement and processing are underway, you may label boxes temporarily. Write the:

- catalog or local collection number
- series title
- box number

Write lightly in pencil on the part of the box that eventually will be covered by the permanent label. For flip-top archives boxes, this would be on the narrow side that would be shelved facing out. This is the side where the top will flip from left to right. The label itself should be on the bottom half of the box. Place it beneath the flip top but above the finger hole or pull string. For records center cartons, the label should be in the center of the side that faces out when shelved.

After processing has been completed, go back and put permanent labels on all the boxes. Print or type the labels onto archival quality, self-adhesive labels. Include the following information:

- park name
- catalog number or local collection number
- collection title
- series, subseries, sub-subseries, sub-sub-subseries title, as appropriate

- title of first file unit in the box
- title of last file unit in the box
- box number

Note: Number boxes consecutively from the first box to the last box in the collection as a whole, regardless of series. Number each collection separately.

12. *Should I keep the original folders, binders, and boxes?*

No. After a collection has been refoldered and reboxed, throw them away or recycle them. They have no archival value.

The only exception would be for boxes, binders, or folders that contain information, such as notes that the records creator made.

If…	***Then…***
the notes have intrinsic value because they were written by a notable historic figure,	keep the relevant portion of the folder, binder, or box as part of the collection. It may be necessary to enclose that portion of the folder, binder, or box in a polyster sleeve.
the notes have informational or evidential value but no intrinsic value,	copy the relevant portion onto acid-free bond paper, keep the copy, and discard the original.

P. Processing And Preservation — Oversized Materials

1. *How should I handle oversized materials?*

Legal-sized or letter-sized textual records frequently will contain oversized documents. These typically have been folded to fit into a legal-sized or letter-sized folder or rolled and placed in tubes. Examples include:

- maps
- charts
- diplomas
- certificates
- posters
- newspapers
- bound volumes

- petitions
- architectural drawings
- engineering drawings

Ideally, oversized documents should be:

- removed from smaller folders
- flattened (unfolded); if folded documents are too brittle to be flattened safely, consult with a paper conservator
- placed in appropriate-sized folders and storage boxes

If they're so large that no folders or boxes can accommodate them, place them in map drawers. Separate them with interleaving sheets. (Because interleaving sheets can add weight and bulk, be careful not to overload drawers.) You may also place them onto acid-free rolling tubes.

Be sure to separate oversized materials by type. Store oversized blueprints separately, for example, from newspapers or oversized photographs.

2. *How do I show the removal of oversized materials?*

Whenever you remove an oversized item, you must replace it with a "separation sheet." See **Figure D.5**. The separation sheet should show the name of the document. For documents that don't have a formal title, give a short but meaningful description, such as "Map of Gettysburg, 1863," "Architectural Drawing, Park Visitor Center, 1968." The separation sheet should also show the title of the collection. As applicable, include the title of the series, subseries, and file unit.

Place the separation sheet in the exact location where the oversized item initially belonged. In addition, keep a copy of the separation sheet with the oversized document in its new location. It's necessary to have separation sheets in both places. Researchers going through the files will then know that a document has been removed. The original location will also be clear to anyone looking at the oversized document.

3. *Why do oversized documents have to be removed?*

Oversized documents often don't fit into legal-sized or letter-sized folders and boxes. Attempting to do so usually means folding the documents one or more times. Folding, unfolding, and refolding documents can cause damage. Documents become brittle and weak along fold lines and can easily break apart. Oversized documents can also become frayed and torn if edges stick out from file folders. Therefore, removal and flattening of oversized documents is a basic preservation action.

4. *How should I file oversized items after they're removed from their original locations?*

Typically, place oversized documents at the end of the collection from which they were pulled. Organize them by type—textual documents (documents on plain paper), architectural drawings, posters, bound volumes, and so forth. Arrange them in the same order as the collection as a whole.

For example, two oversized documents were removed from file A in Series I of a collection. Another oversized document was removed from file D of

that same series and another from file W of that same series. Three oversized documents were removed from Series II. The documents from Series I, file A would be filed first. The documents from Series I, file D and Series I, file W would be filed next. The documents from Series II would be filed last.

5. *Should I handle a group of oversized materials at the end of a collection as a series (or subseries or sub-subseries)?*

No. A group of oversized documents that has been separated from the original file doesn't constitute a series. The documents have no separate place in the collection's hierarchy. They are *housed* separately, but only as a practical measure, to help preserve them. Technically, they remain part of the file unit and series from which they came.

A group of oversized documents separated from the original files shouldn't be identified in the hierarchy. The documents shouldn't be regarded as a series or subseries. They shouldn't be described as any kind of unit within the ANCS+ Archives Module.

Such documents would be described specifically in the Archives Module only if the entire collection were being described down to the item level. This is almost never done. Even then, the item level description for each oversized document would be subordinate to its original file unit and series.

For further information on how to catalog and describe archival collections, see Sections R and S.

Q. Processing And Preservation — Photographs

When handling photographic materials of any type, it's important to wear white cotton gloves. The gloves protect the images from dirt and skin oils.

1. *How should I handle photographs that are part of standard textual files?*

Inks and papers in standard textual file units can damage photographs. Emulsions and chemicals from photographs can harm textual documents. If you encounter photographs in folders containing textual records, you should either remove the photographs (in the same manner as you would remove oversized documents) and replace them with separation sheets, or place them in protective sleeves and leave them in their original locations.

If you separate photos from the textual reocrds, you should organize them by type (prints, negatives, slides) and arrange them in the same order in which they appeared in their original textual locations. When a photograph is removed from a textual file, replace it with a separation sheet (see **Figure D.5)**. If possible, place a photocopy of the separated image with the separation sheet. Also be sure to keep a copy of the separation sheet with the photograph at its new location.

2. *What if photographs are attached to pages in a textual document?*

Unless they are doing damage or being damaged, leave them where they are. Place interleaving sheets between the pages. If you should note any damage being caused by the photographs, by the pages to which they are attached, or by the adhesives, you should consult with a conservator. (Also see Item 6, below, concerning procedures for handling photograph albums.)

3. *Should I add photographs that were separated from textual records to a series consisting exclusively of photographs?*

No. Some collections have series consisting exclusively of photographs. Ordinarily, this is because the person or organization that created the collection established a separate series of photos. For example, the records creator may have created albums of sequentially numbered images. Or the creator may have set up a working file of photos arranged by subject. That series should not be disturbed by adding photos that weren't there before.

Photographs located in textual files, for example, wouldn't have been part of that photo series. An individual photo may have been attached to an incoming letter and kept with that letter in a correspondence file. The photo is part of that letter. As such, it's part of the file unit and part of the series to which the letter belongs. Just because it's a photograph, doesn't mean it should be moved to a collection of photos that the records creator set up.

The reason for this goes back to the principle of original order. Separating a photograph or an oversized document from its original file unit doesn't alter the original file arrangement or series organization. Photographs and oversized documents are still part of their original file units and series in a technical or intellectual sense. Housing them separately is for preservation purposes only. It doesn't affect the archival hierarchy in any way.

4. *How should I house photographs?*

Separate photographic materials by type (prints, negatives, slides). Place them in protective envelopes or sleeves and store them in archival-quality photograph boxes. Slide storage boxes are small and narrow and should be placed into slide storage cases. The cases hold up to six boxes.

Place images in uncoated, inert, polyester (Mylar D) sleeves. The sleeves are expensive, but they allow you to view images without actually handling them.

You may also use paper envelopes and sleeves. Images have to be removed to be seen, but they are less expensive than polyester sleeves. They also do a better job of preventing the buildup of moisture and gasses because they are porous. Use unbuffered papers for color images. Use buffered papers for black-and-white images.

Store images less than 10" x 12" on edge. Don't stuff them so tightly into boxes that the boxes bulge. Don't store them so loosely that the photographs sag. Store oversized, fragile, or damaged images flat.

Place glass plate negatives into seamless, four-flap enclosures. Store them upright in document storage boxes lined on the bottom with Ethafoam. Nitrate negatives should be placed in cold storage. If possible, replace nitrate negatives with safety-base surrogates. Unless they have intrinsic value, destroy them after replacement—*especially if they are in poor and potentially unstable condition.* They should be handled as hazardous waste.

When nitrate negatives are replaced, the surrogate becomes the new object. You can destroy the original without having to deaccession it unless it has intrinsic value.

5. *Should I place loose photographs in albums?*

No. Envelopes and boxes are the appropriate storage media for prints, negatives, and slides.

6. *How should I process photographic albums?*

Ordinarily, photograph albums and scrapbooks are left intact. Trying to remove photographs that have been glued onto album leaves may damage the photographs. The albums may also have intrinsic value. This is especially true if they were compiled by a noted individual. The leaves may also contain captions, notes, and marginalia. Many of these old albums are quite stable; if they are, leave them intact and monitor for deterioration.

Photographs that were mounted in albums made of acidic paper may be in danger of being damaged. Consider the following steps:

- Make photocopies of each page of the album on acid-free paper.
- Make duplicate negatives and new prints of each of the photographs.
- Make digital scans of each of the photographs.
- Remove photographs from albums if this can be done without damaging the photographs. It may be necessary to consult with a professional photographic conservator to determine if the photographs can be removed safely.

R. Cataloging

1. *What's "cataloging"?*

Cataloging refers to the creation of a catalog record for archival collections. The catalog record should focus on the collection as a whole. Enter the catalog record in the ANCS+ Collection Management Module. The catalog record contains both collections management and basic descriptive data about the collection. It also serves as the principal accountability record for the collection.

> ***Don't attempt to catalog a collection before it's arranged. Arrangement establishes a collection's hierarchy, and the cataloging of a collection is based on that hierarchy.***

See Sections H and I for information about arrangement and hierarchical structure.

Note: Refer to Chapter 2, Section II of the *ANCS+ User Manual* for instructions on completing the fields on the collection level catalog record.

2. *Should there be a catalog record for each document in a collection?*

No. Don't catalog individual documents or "items." There should be only one catalog record for the collection as a whole. You may describe individual items in the Archives Module, but this is seldom necessary. In fact, avoid item level description if at all possible.

3. *What if a document is pulled from a collection to go on loan?*

To loan a document to another institution, the document will need to have a unique identification number. You can assign a unique identification number to a document for purposes of loaning it. Create an individual catalog record for that document, or create an item-level entry for that document in the Archives Module. Item level cataloging or description in this situation is done only to facilitate the loan process. It doesn't change the status of the document in any way. The document is still part of a larger collection, not a stand-alone museum object. Upon being returned at the end of the loan period, file it in its original location.

4. *Should there be a catalog record for each file unit in a collection?*

No. Don't catalog individual file units. There should be only one catalog record for the collection as a whole. You may describe individual file units in the Archives Module, but this is seldom necessary. As a time-saving alternative to full descriptions on each file unit, develop "folder title lists" or "container lists" in the Archives Module (see Section T).

5. *Should there be a catalog record for each series or subseries in a collection?*

No. There should be only one catalog record for the collection as a whole. There's only one catalog record regardless of the size of the collection or the number of series it contains.

Fully describe all series, subseries, sub-subseries, and sub-sub-subseries in the Archives Module (see Section S).

6. *What's the connection between archival hierarchies and archival cataloging/description?*

As explained in Sections H and I of this appendix, archival and manuscript collections are arranged *hierarchically*. They should be cataloged and described in the same fashion.

Hierarchical *arrangement* means that a collection is organized into subordinate groups. These groups are in turn broken out into subordinate groups, which in turn are broken out into individual items. The "top" of the hierarchy is the most general level: the collection as a whole. The "bottom" of the hierarchy is the most specific level: each individual document. In between the top level of the hierarchy and the bottom level may be groups of documents called "series." These are somewhat more specific than the full collection, but are still fairly general. Just as a collection may be organized into series, individual series may be organized into subseries. These are more specific than series, but more general than file units or individual documents. Subseries may be made up of individual file units, which are very specific. The file units are made up of individual documents or items, which are the most specific parts of the hierarchy.

Hierarchical *description* means that collections should be cataloged and described hierarchically, just as they are arranged. **Figure D.3a** shows a sample hierarchy for the Records of the XYZ Corporation. Description begins with a catalog record (in the Collection Management Module) for the records of the XYZ Corporation as a whole. Descriptions of the series and subseries can then be completed in the Archives Module. In other words, *the cataloging and descriptions proceed from the general to the specific, following the arrangement scheme*. The hierarchy serves as a sort of outline or table of contents.

You should describe each element in the hierarchy above the file unit level. You may draw up lists for file units. However, descriptions on individual file units and items is optional (and usually discouraged).

7. *What is the process for cataloging an archival collection?*

Follow these steps to catalog an archival collection:

- Enter a brief description of the collection as a whole into the ANCS+ Collections Management Module. This is the only catalog record for the collection that you should enter into the Collections Management Module.

- Copy your entry in the ANCS+ Collections Management Module over to the collection level screen of the Archives Module.

- Enter descriptions of each series in the collection, using as many series level screens as necessary. Each series gets its own screen.

- Enter descriptions of each subseries (or sub-subseries), if there are any. Each subseries gets its own screen.

- If you absolutely have to do it, enter descriptions for each file unit in the File Unit Level. Each file unit gets its own screen.

- If you absolutely have to do it, enter descriptions for each document in the Item Level.

Usually it's okay to stop at the series level. You need to describe most collections only at the collection and series/subseries levels. Going beyond that usually involves a lot of work and little gain.

8. *Do I have to enter the information from the top down?*

Yes. You have to go from the general to the specific. That is, you have to do your Collection Level description first. This is followed by Series Level descriptions, followed by Subseries Level descriptions, followed by File Unit descriptions (if necessary), and so forth.

Note: You can always go back and revise Collection or Series Level entries even after you have moved on to the Subseries or File Unit Levels. In other words, you have to *start* at the top and work your way down, but you can always go back up to the top to make revisions.

9. *Why must I enter information from the top down?*

Because the system is hierarchical, you have to enter information hierarchically. You enter the Collection Level description first, the Series Level descriptions second, and so forth. Your entries will be numbered so that all entries from the Collection Level down to the Item Level are linked. You have to do the Collection Level first because it will be the parent screen for all of the Series Level descriptions. You have to do your Series Level descriptions before you do subseries descriptions. This is because the Series Level screens are the parents for the Subseries Level screens. The same principle applies as you move down the hierarchy to the File Unit and Item Levels.

S. Description

1. *What's description?*

Description refers to written summaries of a collection and its series, subseries, and other components. You enter these descriptions in the ANCS+ Archives Module. The collection level description also appears in the catalog record, but the descriptions of series, subseries, and other components appear only in the Archives Module.

2. *How do I write a Collection Level description?*

To write a Collection Level description, you need to focus on three critically important fields:

- organization/arrangement

- scope

- history

Note: Refer to Appendix F of the *ANCS+ User Manual* for instructions on completing the other fields on the Collection Level record.

Organization/Arrangement (Collection Level)

List the series that make up the collection. Some small collections consist of file units that aren't organized into series. Indicate whether the file units are arranged alphabetically, numerically, chronologically, or according to some other filing scheme.

Scope (Collection Level)

First, list examples of the types of documents that appear most frequently in the collection. Examples include correspondence, reports, maps, architectural drawings, engineering drawings, photographs, newspaper clippings, and sound recordings. Second, provide a one paragraph overview of the collection. Cite the sorts of activities that are documented and examples of specific topics and highlights.

History (Collection Level)

For organizations, provide a brief history of the organization that created the records. For personal papers, provide a biography of the person that created the records. For example, provide a brief biography of Thomas Edison for a collection of Thomas Edison's personal papers. Provide a brief corporate history of the Thomas Edison Company for a collection of the company's records. Ordinarily, the histories or biographies should be no more than one to four paragraphs. In addition, you may want to include a time-line of dates and events pertaining to the records creator—perhaps as an appendix—but this is optional.

3. *How do I write a Series Level description?*

Follow the same basic procedure used for writing a Collection Level description. Treat each series as if it were a mini-collection (with some slight variations). Focus on three critically important fields:

- organization/arrangement
- scope
- history

Note: Refer to Appendix F of the *ANCS+ User Manual* for instructions on completing the other fields on the Series Level record.

Organization/Arrangement (Series Level)

List the subseries that make up the series. Some series consist of file units that aren't organized into subseries. Indicate whether the file units are arranged alphabetically, numerically, chronologically, or according to some other filing scheme.

Scope (Series Level)

First, list examples of the types of documents that appear most frequently in the series. Examples include correspondence, reports, maps, architectural drawings, photographs, newspaper clippings, and sound recordings. Second, provide a one paragraph overview of the series. Cite the sorts of activities that are documented and examples of specific topics and highlights.

History (Series Level)
You only need to complete the history field in the Series Level screen under certain circumstances. Provide historical information if series are based on specific functional units or events.

For example, suppose the records of a corporation are broken out by series for the various divisions of that company. There's a series for the Research Division, a series for the Manufacturing Division, and so forth. In such cases, it's appropriate to provide a one or two paragraph history of that division.

Another example would be the personal papers of an individual. These could contain series based on specific events or eras in that individual's life. There could be a series of papers on the person's military service, or exploration of the South Pole. Then it's appropriate to provide a paragraph detailing those phases of that person's life.

Don't provide historical information if the series are based simply on the types of documents. A series of correspondence, a series of reports, or a series of photographs doesn't require a history.

***Remember: You must use unique titles. No collections among your holdings should have the same title. Within a given collection, no two series should have the same title. Within a given series, no two subseries should have the same title. See Section I, Question 4 for further information. For further information on standards, see the Society of American Archivists' publication* Describing Archives: A Content Standard (DACS).**

4. *Should I enter descriptions in the Archives Module for all series, subseries, sub-subseries, and sub-sub-subseries in a particular collection's hierarchy?*

Yes. You must individually describe, in the Archives Module, every series, subseries, sub-subseries, and sub-sub-subseries identified in a collection's hierarchy.

For the Subseries, Sub-Subseries, and Sub-Sub-Subseries Levels, follow the same descriptive procedures as for the Series Level.

5. *How do I write a File Unit Level description?*

Complete the basic fields (title of file unit, file unit number). The only other information needed is a one-or-two line overview of the content of the documents contained in the file unit.

Note: Refer to Appendix F of the *ANCS+ User Manual* for instructions on completing the other fields on the File Unit Level record.

6. *Are File Unit Level descriptions required?*

No. File unit description may be done at the discretion of the individual curator or archivist, but most of the time it's unnecessary to provide full descriptions of each file unit. Researchers should be able to find the files

they need if:

- a series (or subseries) is well described, *and*
- the file units are clearly arranged

It's extremely inefficient to describe each file unit. For all but the smallest collections, it involves an enormous amount of time-consuming, labor-intensive effort. This effort only produces minutely detailed descriptions that provide little added value.

Instead of describing each file unit, prepare folder title lists or container lists (see Section T). These are a much more efficient alternative to full file unit description.

7. *Are there situations where file unit description is recommended?*

Yes. Associated records include project files in such fields as archeology, paleontology, geology, and biology. The records for each project should be treated as a single file unit, regardless of the number of folders it might contain. File unit descriptions for each of these projects may note the title of the project, the subject or purpose of the project, the location where the project took place, the project dates, the principal investigators, etc. It should also note the accession number (which will link the file unit to any associated objects) and the storage location (if the file unit is co-located with the objects at an off-site repository). For further information, see Section M, "Handling Resource Management Records." For an example of a finding aid describing archeological records down to the file unit level, see **Figure D.6.**

8. *How do I write an Item Level description?*

An "item" is an individual document (a letter, report, photograph, architectural drawing, memorandum, etc.) regardless of the number of pages. Complete the basic fields (title of document, item number). The only other information needed is a one or two line overview of the document's content. For example, list the subjects covered in the document.

Note: Refer to Appendix F of the *ANCS+ User Manual* for instructions on completing the other fields on the Item Level record.

If a document doesn't have a formal title, enter a brief, functional title. A letter "title" should include the names of the sender and recipient, plus the date. Example: "Jones to Smith, October 1, 1908."

9. *Is Item Level description required?*

No. In most cases, it's unnecessary. Like File Unit Level description, Item Level description is time-consuming and labor-intensive. It's always an option, but you should choose it carefully. Having a finding aid that can direct a researcher to the proper file unit (or group of file units) may be sufficient.

10. *Is it more appropriate to do Item Level description of certain types of documents than others?*

Yes. Photographs, maps, and architectural drawings typically are more appropriate for Item Level description than regular textual materials. However, Item Level description is still optional. Only do Item Level description for photographs, maps, and architectural drawings when there's a real need for it.

If you choose to describe such materials to the Item Level, be succinct. Enter a short sentence fragment, citing only the most essential elements.

Then move on to the next image.

For example, "Franklin Roosevelt and Eleanor Roosevelt sitting on a mule," is an adequate photo description. Include the date (if known) and the photographer (if important). You don't need to describe what they are wearing, which way the mule is facing, and what the background scenery is like.

Note: If you do Item Level description of photographic prints, it's unnecessary to do Item Level descriptions of the associated negatives (provided there is some way of connecting the prints to the negatives).

Generally, Item Level description is appropriate only for collections of the greatest historical significance. Very few collections in NPS custody rise to that level. The best candidates for item level description would be unusually rare or valuable documents—such as letters written by George Washington..

11. *Can Item Level description help preserve collections by reducing the need to search through the files?*

Not necessarily. There are two reasons why Item Level description isn't a good strategy for preserving collections.

- "Heavy use" is a subjective term, but there are probably very few collections in NPS custody that are used so much that Item Level description would reduce the handling of individual documents in a meaningful way. Therefore, providing Item Level description for the purpose of reducing the need to open boxes and physically retrieve documents may not be worth the effort. The costs to reduce a collection's use from 30 times a year to 25 times a year would vastly outweigh the benefits.

- Even when collections have been described to the Item Level, they still have to be handled. You should not assume that a researcher will decide not to see a document based on an Item Level description. A researcher is also likely to want to see other documents in that particular file unit. The materials will still be handled despite the Item Level description.

12. *Should I make Item Level entries in the ANCS+ Item Level-Only directory?*

No. The ANCS+ Archives Module includes both a hierarchical Archives directory and an Item Level-Only directory. The Item Level-Only directory was included in the Archives Module to accommodate Item Level-Only entries that were made in the past. Assuming that Item Level description for a particular collection is absolutely necessary, use the hierarchical Archives directory.

Don't use the Item Level directory for any new Item Level descriptions. Enter Item Level descriptions into Item Level screens in the hierarchical Archives directory. In cases where a "collection" consists of one document, you should catalog that documenet individually in the Collection Management Module.

Use of the Item Level directory is not good archival practice. Item Level-only descriptions aren't grouped logically under the appropriate file unit, series, and collection level descriptions. Instead, they are disconnected from each other and from their parent levels.

If you have Item Level entries in the Item Level directory, determine the collections to which those items belong. Transfer the descriptions to the hierarchical Archives directory as soon as possible.

13. *Why is it so important to enter Item Level descriptions in the hierarchically organized Archives directory and not the item level-only directory?*

Item Level entries in the hierarchically organized Archives directory are linked to the file units, subseries, series, and collections to which they belong. These entries reflect the actual physical organization and the provenance of the collection. The hierarchy also provides context for each document. This makes each item easier to understand and easier to find and retrieve.

Item Level entries in the Item Level directory exist in isolation, with no context, no provenance, and no organization. It's very difficult to find and retrieve items that are entered into the Item Level directory. You must know exactly what document you are seeking and exactly what keywords to use.

T. Folder Title Lists And Finding Aids

1. *What's a "folder title list"?*

A folder title list is also called a "container list." It's a list of all file units in a collection (or in an individual series, subseries, and so forth).

Preparing a folder title list is a highly-recommended alternative to entering a full description for each file unit in a collection. It takes much less time to do a folder title list than to do full file unit descriptions. Folder title lists also provide enough information to be very helpful to users.

You can enter folder title lists at either the Collection Level or the Series Level in the ANCS+ Archives Module. Enter them in the Container List supplemental record.

For technical and practical reasons, it's much better to provide a single folder title list for an entire collection. Use the Container List supplemental record at the Collection Level screen. If you include the folder title list as part of the Collection Level, it will automatically appear in printed finding aids. Folder title lists entered at the Series Level won't appear in printed finding aids.

Note: Refer to Appendix F of the *ANCS+ User Manual* for instructions on completing the Container List supplemental record.

2. *What are the two methods for preparing folder title lists?*

One method is to list the titles of every single file unit in each box. For example:

BOX 1: Aardvarks
Bears
Kangaroos
Leopards

BOX 2: Ocelots
Orangutans
Puffins
Zebras

The other method is to list the first and last file units in each box. For example:

BOX 1: Aardvarks to Leopards
BOX 2: Ocelots to Zebras

3. *Are folder title lists mandatory?*

No. Folder title lists aren't mandatory.

4. *When is it appropriate to do a folder title list?*

Doing folder title lists is a judgment call. Only do them when they can provide information that's not already covered in the basic collection, series, subseries, sub-subseries, or sub-sub-subseries descriptions.

A good candidate for a folder title list is a series of "Subject Files." Subject Files are files containing correspondence, memorandums, research papers, notes, and clippings. The material is on particular topics that were of interest to whoever created the records. Because a series might include dozens or hundreds of individual files, it's impractical to list every topic in the series description. Folder title lists are the most efficient and useful way of informing users of the specific subjects. Users can scan the list of subjects and select desired file units.

5. *When is it unnecessary to do a folder title list?*

In some situations folder title lists are superfluous. For example, suppose a series of memos is arranged in file units by year. All of the memos for a particular year are filed together. The title of each file unit is simply the year. There's no need to list each of the years if the user knows that the series contains one file unit for each year. The title of each file unit, in other words, is implied by the series description. At the most, a folder title list could facilitate retrieval by indicating the first and last file in each box. However, even that's not necessary.

6. *What's a "finding aid"?*

"Finding Aids" are reference tools. They can help NPS staff and outside researchers locate the files and documents they need in an archival collection. They are like a table of contents to an archival collection and can be in either hard copy or digital formats.

A finding aid is the basic tool for navigating through a collection. It should provide an overview of the structure and content of the collection. The standard elements of a finding aid are:

- history
- collection level description
- series and subseries level descriptions
- folder title lists

See Sections R and S for information on history and descriptions. See the beginning of Section T for information on folder title lists.

7. *Does NPS have a template for producing finding aids?*

Yes. A finding aid template exists in the ANCS+ Archives Module. You can generate finding aids from information entered into the ANCS+ Archives Module as part of the description process. Finding aids generated in this way require no additional keying of information. They are produced

from completed fields in the Archives Module.

You don't need to know anything about what a finding aid should look like or what it should contain. Just complete the various fields in the Archives Module as part of your cataloging and description activities. Include folder title lists in the Container List supplemental record on the Collection Level screen. Then choose the FindingAid/SGML function to automatically create a finding aid for the collection.

ANCS+ will copy data from the various fields into a finding aid that has been fully laid out and paginated. It includes a cover sheet, table of contents, and restrictions statement. The ANCS+ finding aid will be in Microsoft Word. You can send electronic copies of the finding aid to users. You can also print hard copy versions or post the finding aid on the Web Catalog.

An example of an ANCS+-generated finding aid appears in **Figure D.6.**

Refer to Appendix F of the *ANCS+ User Manual* for information on completing the fields in the Archives Module. This appendix also contains complete instructions for producing the ANCS+ finding aid.

8. *What are EAD and MARC-AMC?*

EAD stands for Encoded Archival Description. MARC-AMC stands for Machine Readable Cataloging Record – Archival and Manuscripts Control Format.

EAD and MARC-AMC are methods of coding catalog information about archival collections. They are used for posting to national, on-line bibliographic networks.

ANCS+ is capable of automatically putting data about NPS archival and manuscript collections into EAD and MARC-AMC codes. However, your park must have agreements with on-line bibliographical networks in order to post information about park collections. For further information, see the ANCS+ *User Manual*, Appendix F.

9. *Is it mandatory to use EAD or MARC-AMC?*

No. Coding ANCS+ data according to EAD or MARC-AMC format for submission to on-line catalogs is completely optional.

U. Access

This section focuses on access guidelines relating specifically to archives and manuscript collections in NPS custody. General guidance on access to NPS museum collections appears in the *Museum Handbook*, Part III, Museum Collections Use.

1. *Are staff members at my park permitted access to park archival and manuscript materials?*

Yes. Park staff can access park archival and manuscript materials but only for work-related activities. Curatorial staff don't need to withhold any documents from non-curatorial staff who are working on official assignments. Staff members who wish to conduct their own, personal research, however, shouldn't be granted special access. Instead, they should receive the same level of access as a member of the public.

Non-curatorial staff members should follow the same general rules as members of the public when handling archival or manuscript collections. These rules apply whether they're working on an official project or

conducting personal research:

- review original materials only in the museum program's research room
- have only one folder open at a time
- don't disturb the order of documents
- don't remove, add, write on, or otherwise mishandle documents

2. *Are non-NPS staff members permitted access to park archival and manuscript materials?*

Yes. Non-NPS staff members, including members of the public and employees of other Federal agencies, may access park archival and manuscript materials. They must follow certain rules regarding access and certain procedures regarding use. See Section W for information on use of collections.

3. *Is there one set of rules to follow when deciding whether members of the public are allowed to see certain documents?*

No. There are different sets of rules for different types of documents.

- For Federal Records (including NPS records), follow the rules set forth in the Freedom of Information Act. See Section V.
- For donated and purchased personal papers and private sector archives, there may be special restrictions established by the park.

4. *What are the rules for determining public access to a collection of personal papers, private sector corporate archives, or other non-NPS documents?*

Restrictions on access should be outlined in the donor agreement or deed of gift. Accepting donations with restrictions, however, should be avoided. Donated and purchased archival collections that weren't created by a Federal agency aren't subject to FOIA. FOIA exemptions don't apply to such collections. See Section V.

5. *What kinds of "personal privacy" information may I withhold from researchers?*

Personal privacy information in Federal/NPS records may be withheld under the Freedom of Information Act (FOIA). See Section V. Personal privacy information in donated or purchased materials may be withheld under the terms of the donor agreement. It may also be withheld under the park's policy for protecting personal information.

Parks are legally required under FOIA to withhold NPS records that "would constitute a clearly unwarranted invasion of personal privacy."

Not every mention of an individual rises to this threshold. The sorts of information serious enough to be considered an "unwarranted invasion of personal privacy" would include:

- medical, psychiatric, employment, and religious counseling information on an identifiable individual or individuals
- information that places an individual in a false light
- information (including photographs) that could cause embarrassment (such as nude images)

6. *Can these types of personal privacy restrictions be placed on non-Federal records as well as Federal records?*

As a matter of discretionary policy, parks may handle personal privacy information in non-Federal/non-NPS records, such as personal papers, in the same manner in which they handle personal privacy information in Federal/NPS records. However, these restrictions aren't required by law. Exemptions under FOIA don't apply to personal papers or other non-Federal archival materials.

7. *What types of restrictions may I place on "culturally sensitive" archival materials?*

NPS-owned archival collections may contain "culturally sensitive" archival materials such as photographs, motion pictures, maps, location information, or other depictions of American Indians:

- burial sites
- sacred sites
- human remains
- religious ceremonies

Federal records can be withheld only if they are covered by one of the exemptions in FOIA. However, these materials may be withheld from researchers in the following cases if the materials are:

- Federal records/NPS records, and restriction is authorized by an existing Federal law (such as the American Indian Religious Freedom Act or the Native American Graves Protection and Repatriation Act)
- donated (and non-Federal), and the donor agreement or deed-of-gift specifies that culturally sensitive documentation should be restricted
- donated or purchased (and non-Federal), and the park determines that their release would violate the standards of the affected group

Note: For further information on restrictions made at the park's discretion, you should consult with DOI solicitors.

8. *How should sensitive information in personal papers or private sector records be withheld from researchers?*

Follow the same basic procedures outlined in Section V for withholding FOIA-exempt information from Federal/NPS records.

9. *Should I withhold copyrighted materials from researchers?*

No. You shouldn't withhold documents from researchers based on their copyright status. Copyright status may have an affect, however, on making copies of documents for researchers to keep. See Section X.

10. *Is it permissible to restrict or withhold Federal records that have previously been released?*

Ordinarily, once a Federal record has been released, especially if it has been published, it becomes part of the "public domain." Materials in the public domain are open to everyone. In very rare cases, however, Federal records identified as "Records of Concern" may be withheld for national security reasons.

11. *What's the principle of "Equality of Access"?*

The principle of "Equality of Access" gives the same level of access to all.

If…	*Then…*
you grant one member of the public access to a particular collection of documents,	you have to grant the same level of access to all members of the public.

Parks are legally obligated under FOIA to provide an equal level of access to everyone requesting to see Federal records. If Federal records aren't exempt from disclosure, then they are open to everyone. If Federal records are exempt from disclosure, then they are closed to everyone.

Follow the same principle with regard to non-Federal records in NPS museum collections.

12. *Can I restrict access to archival or manuscript materials if the purposes or methods of a person's research is questionable?*

No. It's not ethical to censor, judge, influence, or endorse anyone's research, arguments, or interpretations. Access must be granted on an equal basis to all researchers. You cannot withhold publicly available documents from individuals because you don't approve of their research. Neither can you give special access to individuals whose research you support.

For Federal/NPS records, it's illegal to withhold or release a document based on the intentions of the researcher. Instead, you are required by law to make your decision based solely on the content of the documents. Documents that are exempt from disclosure under FOIA guidelines must be withheld from everybody. Documents that aren't exempt from disclosure must be open to everybody regardless of the purpose, nature, or methodology of their research.

V. Freedom Of Information Act (FOIA)

1. *What are the rules for determining public access to NPS or other Federal records that are part of the museum collection?*

NPS records that have been accessioned into park museum collections, such as resource management records, are subject to the Freedom of Information Act (FOIA).

Federal agencies are required to release all information that's not specifically exempted under the Freedom of Information Act.

The Freedom of Information Act applies <u>only</u> to Federal records. Donated personal papers, corporate archives, or other non-Federal archival materials in your custody are <u>not</u> subject to FOIA review.

See **Figure D.7** for a copy of the Freedom of Information Act.

2. *What are some FOIA exemptions?*

FOIA exemptions include:

- security-classified information relating to national defense or foreign policy
- privileged or confidential trade secrets and commercial or financial information

- personnel files, personal medical files, or other materials, but only if disclosure of those records "would constitute a clearly unwarranted invasion of personal privacy"

- law enforcement records, but only if disclosure of those records would:

  – interfere with enforcement proceedings

  – deprive a person of a fair trial

  – reveal a confidential source

  – reveal investigative or prosecutorial techniques

  – endanger the life or physical safety of an individual

- records related solely to a Federal agency's internal personnel rules and practices

- records of financial institutions

- privileged inter-agency or intra-agency memorandums or letters (for example, concerning management decisions that are under consideration but not yet made)

- records specifically exempted by statute, including records on:

  – protected archeological sites, including shipwrecks

  – caves

  – wells

  – endangered species

Note: FOIA exemptions include records already shielded by existing Federal laws. The Archeological Resources Protection Act of 1979, for example, presents disclosure of protected archeological sites.

3. *What are the procedures for responding to a FOIA request?*

Follow these procedures for responding to a FOIA request:

- Provide written response within 10 working days of receiving a FOIA request.

- If more than 10 days are needed to respond, notify the public affairs and FOIA officers at your park's regional office immediately. Request an extension.

- The denial of all or part of a FOIA request must be signed by the Regional Director or by the regional FOIA officer or public affairs officer.

- Parks may recover costs (based on fee schedules established by the Department of the Interior) from the requestor if the response:
  - requires more than two hours of research, or
  - entails copying more than 100 pages
- Researchers are entitled to appeal negative decisions. They should file their appeals with the FOIA officer in the Washington Office. If a researcher's appeal is denied, the researcher may appeal that decision in the appropriate United States District Court.

For further information, consult the FOIA officer at your park's regional office or read 383 *Department Manual* 15.

4. *How can FOIA-exempt information be removed from files or withheld from researchers?*

There are two ways to withhold documents or information from release:

- If an entire document is exempt, you may remove the document from its original file location. Place it in an acid-free file folder, labeled "Restricted Documents from [file name from which document was removed]." Put a separation sheet in the document's original file location (see **Figure D.5**). Give the name and date of the document and the FOIA exemption that required the document's removal. Place a copy of the separation sheet with the document itself. Place the folder containing the withdrawn document behind the original folder.
- If only a portion of a particular document is exempt, then provide the researcher with a "redacted" copy. To do this, make a copy of the original document. Then either obscure the exempted information with a heavy black marker or cut out the exempted information. Copy the redacted copy (so that it's impossible to see the original information through the black lines). Indicate the FOIA exemption in the margin next to the area that was blacked out or cut out. Provide this copy—not the original document—to the researcher.

Always redact a COPY of the original document. Never cut out or black out information on the original document.

5. *Do I have to conduct a new FOIA review every time a member of the public asks for a particular file or document?*

No. Once a file or document has been reviewed and released, it becomes permanently available to anyone who requests it. There's no need to conduct additional FOIA reviews for materials that have already been released.

6. *Should I handle all requests for information from archival and manuscript collections as if they are FOIA requests?*

No. Follow FOIA procedures only when responding to requests that are formally identified in writing as FOIA requests. Other letters, e-mails, or telephone calls that you receive may be handled as routine inquiries. See Section U.

Even when responding to a routine request for information, **you must always follow FOIA guidelines when deciding what records can be released and what records should be withheld.**

Never release Federal records that are exempt from disclosure.

7. *Should I review research proposals to determine if it's appropriate to grant access to the records?*

No. FOIA is the only basis for determining whether or not a member of the public can see NPS records.

If…	***Then …***
a document or file isn't exempt from disclosure under the FOIA,	release it to everyone who wishes to see it.
a document or file is exempt from disclosure,	withhold it from everyone.

The purposes of the requestor's research, the nature of the requestor's research proposal, and the requestor's research methodologies are irrelevant. The exemptions set forth in FOIA are the sole factor for determining release.

NPS records may never be withheld from an individual because of the nature of his or her research.

8. *Does FOIA apply to all archival and manuscript materials in NPS museum collections?*

No. FOIA is extremely limited. It applies only to certain types of Federal records—records created by Executive Branch agencies. Even within the Executive Branch, it doesn't apply to those offices that are actually part of the White House. This means that the records of all Executive Branch Departments, such as the Department of the Interior, are covered by FOIA. White House records, Congressional records, and Supreme Court records are not covered.

FOIA also doesn't cover:

- records of private sector corporations, non-profit foundations, or clubs
- personal papers of private individuals or families

Therefore, the only records in NPS museum collections that are likely to be covered by FOIA are NPS records.

9. *Are personal papers "records received by the Federal government" and therefore subject to FOIA?*

No. A collection of records may be owned by the Federal government, but that doesn't necessarily mean that they're Federal records. The papers of a private individual or the archives of a private sector corporation may be considered records. If they're accessioned into an NPS museum collection, they're the property of the Federal government, but they are not Federal records.

Federal records are records *created* by the Federal government, and they are records of Federal activity.

When a park accessions a collection of personal papers or corporation archives that it has acquired through donation or purchase, it's not creating

records. Instead, it's acquiring property. They're the papers of a private individual or the records of a private sector company, not the records of the Federal government even though the Federal government owns them.

The fact that this property happens to be a collection of records doesn't make it a collection of Federal records.

W. Use-Reference

This section focuses on guidelines relating specifically to the use of archives and manuscript collections in NPS custody. General guidance on use of NPS museum collections appears in the *Museum Handbook*, Part III: Museum Collections Use.

1. *Are researchers subject to any restrictions on using archival and manuscript collections?*

Yes. There are many restrictions that you may place on the use of archival and manuscript materials. These restrictions are outlined below. Researchers who fail to observe those restrictions may be prohibited from doing research in park facilities with original documents. They would still be entitled to purchase copies of publicly available materials.

2. *When members of the public come to the park to conduct archival research, where should they work?*

Designate a separate room or clearly defined area for use by researchers. Don't place researchers at a staff member's desk or at a vacant table in the collections storage area.

3. *May researchers be permitted to "check out" files, in the manner that someone would check a book out from a library?*

No. Original archival materials should never be checked out. They may be placed on loan, following the same rules that govern loans of all NPS museum objects. An archival repository is not a lending library and researchers should never be allowed to check out original documents.

4. *How should I configure a research room or research area?*

Follow these guidelines to set up a research room or research area.

Location of Research Rooms

- Research rooms or research areas may be adjacent to collection storage areas, but they must be separate from collection storage areas.
- Research areas should be close to collection storage areas. This minimizes the distance that archival materials will need to be transported for use. It also facilitates their quick and easy return to their regular storage locations.
- Research areas must be separate from collection storage areas to ensure proper security. This prevents researchers from having access to any archival materials other than those that they have specifically been permitted to use.

Contents of Research Rooms

- Research areas should be "clean." There should be no books, papers, files or other materials besides the documents that researchers have been authorized to use. This prevents archival materials that are brought to researchers from getting mixed up with other documents.
- Provide one or more worktables for researchers. Two or more researchers can be seated at the same table if they're working together

as a team. The team should be using the exact same documents at the exact same time. Otherwise only one researcher should be seated at a table at one time. Having two or more researchers at a single table runs the risk of getting papers from different collections mixed up. There are specially designed research tables with dividers to separate researchers (and the files they are using) from each other. These allow several researchers to work at the same table.

- Don't allow waste paper baskets or other trash receptacles near researchers. This prevents documents from being discarded by accident or through malice.

Environmental Conditions for Research Rooms

- Environmental conditions in research areas (heat, light, humidity) should be comparable to environmental conditions in collection storage areas.

- No food or beverages may be brought into research areas. Integrated Pest Management procedures should be implemented in research areas, just as they are in collection storage areas.

Security for Research Rooms

- Place lockers outside the research area, where researchers can store coats, hats, and briefcases. This is a security measure rather than a convenience for the researchers. It's intended to reduce opportunities for researchers to hide documents in their belongings and sneak them out of the research area.

- There must be a counter or desk for staff use in the research room. Situate it in such a way that staff can monitor all researchers at all times.

- Research areas should be secure. Grant entry only to authorized staff and authorized researchers. If a research area should abut a collection storage area, keep the doors locked between the two areas. This is especially important when researchers are present. Keep research areas locked or otherwise secured to prevent park visitors (other than authorized researchers) from gaining access to archival materials. This also prevents researchers from smuggling documents to someone outside the research room.

5. *What procedures should staff follow when working with on-site researchers?*

Staff are responsible for enforcing the research room rules and guidelines.

Retrieving Materials

Staff are responsible for retrieving and refiling all materials requested by researchers. Never allow researchers into the collection storage area to retrieve the papers they'll be using. Staff may pull several boxes of materials for a researcher at a time. However, the researcher may only use one box—and one folder out of that box—at a time. The researcher must put a folder back into the box before pulling another folder out. He or she must return everything to the first box and close it before opening the next box.

Monitoring

At least one staff member should remain in the research area at all times to monitor researcher activities. Staff should ensure that researchers are following the rules. In particular, staff should watch for any actions by researchers that might result in damage or rearrangement of documents. They should also be alert to any attempts by researchers to conceal documents on their persons or among their effects.

Inspecting

Staff should inspect all notes or other objects removed from the research room. Make certain that no documents are included among them.

6. *What procedures should researchers follow when they're in the research area?*

Researchers must follow these procedures when they're in the research area. Prohibit researchers from the research room if they fail to observe these rules:

- A researcher should use only one box at a time. No matter how many boxes of archival materials have been brought to a researcher, only one box may be opened at a time. Only one file folder from that box may be used at a time.

- Researchers must keep documents in the same order in which they found them. They should never move a document from one folder to another, or folders from one box to another. If researchers discover a file or document that has been misfiled, they shouldn't attempt to correct the situation themselves. They should report it to staff.

- Researchers should never write on archival materials.

- Researchers must handle individual documents carefully. If they're handling photographs or documents that are damaged or fragile, staff may require them to use gloves. The park should provide gloves to reduce the risk of damage. If researchers damage a document in the course of doing their research, they should report it to staff immediately.

- Researchers must never attempt to remove documents from the research room, unless museum staff give them permission to do so.

- If researchers are taking notes, they should use their own laptop computers. They can also write notes down on paper using *pencils* only. Never permit pens in the research area. Researchers must never use pens in the vicinity of original documents.

- Researchers are not permitted to have food, beverages, or smoking materials in the research area.

- Researchers should refrain from using cell phones or the Internet while in the research room. This is to avoid disturbing other researchers.

7. *What forms should I require researchers to complete?*

Require each researcher to complete the following forms:

Registration Form

Each researcher should complete a registration form before being permitted to use archival materials at the park. The form should include name, address, institutional address, research project, and publication plans. See **Figure D.8.** Upon completing the form, researchers should present both the form and a government-issued photo ID to a staff member. Write the type of ID and the ID's control number on the form.

Request Form

Require each researcher to complete a request form for all materials he or she wishes to view. The form should indicate the researcher's name, the date of the request, and the specific boxes, series, or files being requested. Retain request forms indefinitely, to identify individuals who had access to particular materials. This is in case you discover any missing documents. A "paper trail" of research use can deter theft. It can also serve as evidence in court cases seeking to recover lost or stolen items.

Copyright and Privacy Restrictions

Each researcher should read and sign the Copyright and Privacy Restrictions form before being permitted to use archival materials at the park. See **Figure D.9**.

Access Policies and Rules Governing Use

Each park should prepare and post its own Access Policies and Rules Governing Use for researchers to read. See the sample list of rules, **Figure D.10**.

8. *Do researchers need to meet any age restrictions?*

Archival repositories commonly prohibit individuals under the age of 21 from entering research areas and using original archival materials. Sometimes repositories make exceptions for college students working on class projects that require the use of primary sources.

9. *Should researchers make appointments before arriving to do archival research?*

Appointments are recommended but not required. Researchers should contact museum staff before they visit in order to make sure that the:

- papers they are seeking are actually in park custody
- papers in question contain the sort of information they are seeking
- materials they wish to see are available to researchers and are not exempt from disclosure

In addition, space constraints may make it advisable for researchers to make appointments to use the research area. Parks with limited space may be able to accommodate only two or three researchers at a time. Parks can handle researchers on a "first come, first served" basis. However, it may be fairer and more efficient for parks to schedule researchers in advance for specific blocks of time.

10. *What other scheduling and logistical arrangements should parks make in order to protect and facilitate the use of archival materials by outside researchers?*

Parks may make additional scheduling and logistical arrangements to facilitate researchers and protect the collections:

Pull Schedules or Retrieval Schedules

- Parks may establish "pull schedules" or "retrieval schedules," especially if there is heavy demand for archival materials. These schedules set certain times during the day as deadlines for researchers to submit requests for archival materials. The times are usually at least once in the morning and once in the afternoon. Requests received by those times ordinarily should be filled within the next one or two hours, depending upon demand. Researchers missing a deadline would have to submit their requests for the next deadline.

Supplies

- To protect the documents, parks should have supplies of white cotton gloves and pencils. Make these available for researchers to use when working with original documents.

- As a security measure, parks may also wish to provide researchers with notepaper or note cards. These should have holes punched in the upper right corner. When researchers are leaving the research room, staff can suspend a sheaf of pages or cards by inserting a pencil through the hole. Any original documents that might have been hidden among the notes would then drop out.

Use Copies; Reference Copies

Particular collections (or portions of collections) may be damaged, fragile, or receive exceptionally heavy use. Parks may choose to make photocopies, microform copies, or scanned digital copies of those materials. Researchers could then use those "reference copies" instead of the originals. (**Note:** If you make reference copies of accessioned archival materials, you should not catalog them. They are just copies, and are not part of the collection itself).

11. *How should parks provide copies of documents to private researchers?*

If at all possible, parks should provide facilities for making copies of documents, preferably at the researcher's expense.

Don't allow researchers to make copies themselves. They should indicate to staff which documents they wish to have copied. No matter what type of copies a researcher requests, he or she should complete a Researcher Duplication Form. See **Figure D.11**.

The park may adopt various procedures for making copies.

Small Numbers of Copies

Researchers may bring individual documents or files to staff in the research area for immediate copying. This depends on the availability of staff and photocopy machines. Preferably, the park should set up a cost-recovery program, so that researchers will bear the expense of copying. It might be possible to set up such a cost-recovery program through the park's cooperating association or through the park's budget office. The park may

waive fees, however, for very small numbers of copies that incur negligible costs.

Large Numbers of Copies

Researchers may need more than one or two documents photocopied during their visits. In these cases, it's advisable for them to use strips of white paper as "bookmarks." The paper indicates the location of specific documents or files that they wish to have photocopied. The staff makes the copies at a time that's convenient. These "bookmarks" should be placed so that they stick up above the file folders as they sit in a box. They're then readily apparent to staff. Researchers should write the title of the document or file unit on the bookmark (in pencil). This prevents confusion over what they want to have photocopied. The park should have cost-recovery procedures in place so that researchers pay for the photocopies themselves. The park may choose to withhold copies until full payment is received.

Photographic Copies

Researchers may desire actual photographs of textual documents, duplicate negatives of photographs, or copies of motion pictures or videotapes. In such cases, the park may set up agreements with commercial photo labs or video labs to make these copies. The park would transport the items to the lab and retrieve them after the copying is completed. The lab would then be responsible for collecting payment from the researcher. Alternatively, the park could pay the vendor and then charge the researcher through its cost-recovery program.

Note: Do not charge park staff for copies made in connection with official work assignments. If a park staff member wishes to conduct personal research while off duty, however, he or she should be subject to the same cost-recovery provisions as members of the public.

12. *What are the procedures for responding to researchers who aren't on-site?*

Instead of actually visiting the park, researchers may contact the park via regular mail, e-mail, or telephone. They may request information from or access to archival or manuscript materials in the park museum collection. Follow the procedures listed below when responding to those requests.

Response Format

- Responding by letter is always acceptable, but you may respond in whatever format the request was made. For example, you may respond to e-mail requests by e-mail and to telephone requests by telephone.

Response Time

- Respond as quickly as possible. Remember that FOIA responses must be sent within 10 working days.

- If providing a full answer would take a great deal of time, send an interim response. Provide as much information as possible and indicate that additional information will be contained in a follow-up response.

- If a researcher requests a few easily-provided facts, it's acceptable to provide those facts. In general, however, you shouldn't do the researcher's work. Focus on the availability of archival materials and on their general content. Provide finding aids for researchers to review. As a general rule, don't research questions that will take more than an hour or two to answer. Instead, advise the researcher to review the archival materials at the park, or purchase copies of relevant files.

FOIA Requests

- For formal FOIA requests for Federal/NPS records that are covered by FOIA, follow the procedures outlined in Section V. Withhold restricted information by applying the exemptions listed in Section V.

- If a researcher doesn't formally identify the request as a FOIA request, you don't have to follow the procedures outlined in Section V. This rule applies even if the request is for Federal/NPS records that are covered by FOIA. You should still respond, and you should still withhold restricted information by applying the exemptions listed in Section V.

Non-Federal Records Requests

- A researcher may request personal papers or private sector records that aren't Federal records. Apply whatever restrictions are contained in the donor agreement or in discretionary park policy.

- A researcher may submit a formal FOIA request for personal papers or private sector records that aren't Federal records. Advise the researcher that the materials in question are not covered by FOIA. Then respond as you would to any non-FOIA request for non-Federal archival materials.

- If you identify any archival materials that may relate to a researcher's request, provide a very brief description of those records. Include estimated page counts. Then, unless the materials are restricted, offer to make them available to the researcher in the park's research room. Explain to the researcher how he or she can order copies of the materials. When sending copies to off-site researchers, include a copy of the "Copyright and Privacy Restrictions" form. See **Figure D.9**.

Fees for Research Requests

- As noted in Section V, "Freedom of Information Requests," your park could establish a cost-recovery program that would require researchers to pay for research services, based on fee schedules established by the Department of the Interior. See *Museum Handbook III*, Chapter 4.

Tracking Research Requests

- Keep paper copies of incoming and outgoing letters and e-mails involving substantive information on archival holdings at your park.

- Keep track of all responses, regardless of format (letters, e-mail, telephone, face-to-face). Report the number of inquiries in your park's annual CMR submission.

X. Copyright

1. *May I give researchers copies of copyrighted materials?*

You may provide single copies of copyrighted documents to individual researchers if the:

- copyright holder has granted permission, *or*
- copies are made under the "Fair Use" provision of the copyright law

"Fair Use" permits the copying of documents without the approval or even the knowledge of the copyright holder. Fair Use covers such purposes as:

- research and scholarship
- news reporting
- criticism, parody, or commentary
- preservation of original documents (for example, making reference copies of a document for researchers to use in order to avoid wear-and-tear on the original)
- deposit of a copy in another research institution for scholarly purposes

2. *Are materials in NPS-owned archival and manuscript collections copyrighted?*

Sometimes they are. It depends on the type of material and the stipulations of donor agreements.

Federal records (such as NPS records) generally are not copyrighted. Letters, memorandums, speeches, notes, or other documents prepared by Federal employees as part of their official duties are *never* copyrighted. Those documents are in the public domain unless they are exempt from disclosure under FOIA. Documents received from other sources and incorporated into official files, however, may have copyright protection.

Personal papers, the records of private sector corporations or non-profit associations, and other donated or purchased materials may have copyright protection.

3. *How will I know if a document has been copyrighted?*

In many cases you won't know. Here are some useful indicators:

- Documents written by government employees as part of their official duties aren't copyrighted.
- Donors of personal papers or other non-Federal archival collections may assign all copyrights to the NPS. This should be documented in the donor agreement or deed of gift.
- Published documents usually include a copyright statement. Unpublished documents usually don't, but that doesn't mean they don't have copyright protection.

- Photographs may be stamped on the back with copyright information.

- Copyright protection may have expired on older documents. However, there are many variations, and it may be necessary to consult with a copyright lawyer before making a final determination. Generally, copyright protection has expired on:

  – published works that are more than 75 years old

  – unpublished works that are more than 100 years old

4. *Who's responsible for determining if a document has copyright protection?*

The researcher—not the park—is responsible for determining the copyright status of documents.

The only time a park needs to determine the copyright status of a document is if it plans to include the document in an official NPS publication.

5. *When should parks grant permission to publish copyrighted materials?*

Parks should only grant permission when they are certain they hold the copyright on a particular document. The NPS Deed of Gift form explicitly states that copyrights are being turned over to the NPS. If there is a signed deed of gift that includes the copyright transfer, then it's acceptable to grant permission to publish.

In other cases, however, you should avoid either giving permission or withholding permission:

- No permission is needed to publish Federal records because Federal records cannot be copyrighted.

- No permission is needed to publish documents whose copyrights have lapsed, because they are in the public domain.

- The NPS doesn't have the authority to grant or refuse permission if the NPS:

  – knows that another party owns the copyright on a particular document

  – doesn't know if a document is copyrighted

6. *What warnings or guidance should I give to researchers regarding the use of copyrighted materials?*

Unless you're certain that a document is in the public domain, or that the NPS owns the copyright on a document, you should do the following:

- Warn the researcher that the document may have copyright protection.

- Advise the researcher that he or she is responsible for determining copyright status.

- Advise the researcher that he or she is responsible for obtaining permission to publish from the copyright holder.

- Ask the researcher to sign the NPS "Copyright and Privacy Restrictions" form (see **Figure D.9**)

- Refer the researcher to the Copyright Search System of the U.S. Copyright Office: http://www.copyright.gov/records/.

- Refer the researcher to the National Archives Source and Permission Contact List: http://www.archives/gov/research/.

7. *Where may I find guidelines for determining if materials are likely to be in the public domain?*

Consult "Copyright Term and the Public Domain in the United States" at http://www.copyright.cornel.edu/public_domain/.

Y. Use—Publications, Exhibits, Loans

1. *How should researchers cite NPS-owned archival materials that they have used?*

The standard method for citing documents in scholarly works is to go from the specific to the general (that is, from the individual document to the repository or agency). Under this formula, citations for NPS archival and manuscript collections should indicate the:

- title and date of the document
- title of the file unit
- title of the series/subseries/sub-subseries
- title of the collection
- name of the park
- National Park Service

NPS has also recommended providing citations that start with the general and move to the specific. Under that method, the order of the elements listed above would be reversed. Either method is acceptable.

Citations, however, are entirely the responsibility of the researcher, and researchers are under no obligation to follow NPS recommendations.

Note: A researcher's willingness to follow NPS citation recommendations must never be a factor in deciding whether to provide or withhold archival materials.

2. *May the park request a complimentary copy of publications based on NPS-owned archival or manuscript collections?*

The park may *request* a courtesy copy, but cannot require one. A researcher's willingness to provide a courtesy copy must never be a factor in deciding whether to provide or withhold archival materials.

Previous guidance recommended two complimentary copies—one for the park library and another for the museum collection. This may tax both the researcher's generosity and the ability of museum staff to handle additional materials. A single library copy is sufficient.

3. *Can I loan archival materials?*

Yes. Parks are permitted to loan documents to museums and other institutions. Parks may not loan archives to individuals. Loans of documents must follow the same procedures as loans of other types of museum objects. Follow the procedures outlined in the *Museum Handbook*, Part II, Chapter 5.

Although it's inappropriate to catalog each document individually, it's permissible to catalog individual documents for a loan. You'll then have a unique catalog number to cite in the loan agreement. Alternatively, you can complete an Item Level record in the Archives Module. You would use the local collection number (which would include the item number) on the loan agreement.

4. *May archival materials be used in park museum exhibits and in park interpretive programs?*

Yes, but only if strict guidelines are observed.

- Exhibit-quality color photographs can be taken of documents, for inclusion in displays. For both preservation and security purposes, this usually is preferable to displaying original documents.

- Original documents may be displayed, but only if they are protected by UV filters. The documents must be housed in conditions that meet all security and environmental standards. It's preferable to display photographs of documents rather than original documents. Documents placed on exhibit must have either a unique catalog number or a unique Archives Module number (see item 3, above).

- Documents can be published for general distribution only if:

  – they're Federal records

  – they're in the public domain

  – donor agreement/deed of gift has relinquished copyright ownership to the NPS

- Original documents and photographs of documents cannot be published or placed on exhibit if they're:

  – exempt from disclosure under FOIA

  – restricted under donor agreement/deed of gift

- Never allow visitors to handle original documents, unless they're authorized researchers working in the research area.

Z. Understanding the Language: A Glossary

Acquired archives: Organic collections created by a non-NPS organization as a routine part of doing business but removed from the physical custody of the originating institution and now in the physical custody of the NPS. These intact organic collections maintain their provenance and original order and are still referred to as archives, although legally severed from their non-NPS creator.

Active records: Official records needed and used for current business by NPS staff.

Administrative value: Refers to the archival material's usefulness for park management, as in the case of architectural drawings and plans useful for building repairs, maps necessary for landscaping or rescue, or other park records that indicate how an ecosystem has been affected over time.

Appraisal: (1) The act of assessing an archival or manuscript collection's value--including informational value, artifactual or intrinsic value, evidential value, associational value, and monetary value--using criteria such as age, subject content, contextual documentation, condition, quality, quantity, legal restrictions, organizational problems, public relations concerns, and associational nature. (2) The act of determining if a collection contains official (i.e., appropriate for disposition by NARA) or non-official (i.e., appropriate for park retention) records by consulting guidance such as *Cultural Resource Management Guideline*, Chapter 9; *Museum Handbook*, Part II, Appendix D, Section D; and *NPS-19, Records Management Guideline*. (3) Used in NPS museums to refer strictly to establishing monetary value.

Archival assessment: Evaluation of a park's total archival and manuscript collection management needs incorporating collection surveys, the production of collection-level survey descriptions, collections evaluations, and recommendations for action. Professional assessments facilitate records management and the care of archival collections in parks that have little previous experience with these issues.

Archival collections: (1) An organic accumulation of records created by an organization as a natural part of conducting business. Archival collections have a common provenance and a shared internal order original to the collection. See **collection**. (2) The total archival and manuscript holdings of a park. See **holdings**.

Archival quality: Permanent, durable, and non-destructive storage or copying materials or equipment suitable for use with archives. Also refers to long-lived (100-year-plus) documentation formats such as silver gelatin emulsions.

Archives: (1) The non-current records of an organization, with their original order and provenance intact, maintained by the original organization. (2) The organization that created and holds the records. (3) The physical building/room in which the records are held.

Archivist: A professional knowledgeable in archival theory and practice, who is responsible for the administration or management of archival and manuscript collections.

Artifactual value: refers to the collection or item's intrinsic value as unique or rare examples of material culture. This value relates to the age, format, process, media, condition, and quality of the material.

Artificial collections: See **non-organic collections** and **assembled collections.**

Assembled collections: Accumulations of documents, most often gathered from multiple sources by a collector, generally unrelated by provenance. The documents frequently are in the same format or related to the same topic. Assembled collections are sometimes referred to as “manuscript collections.”

Associated records: All documentation generated by the activity of collecting or analyzing artifacts or specimens needed to effectively manage those related objects within museum property collections. (If there is no object or specimen, the record may not be "associated" but is instead a resource management record.) See also the definition in 36 CFR Part 79 and **resource management records**.

Associational value: Refers to the archival material's relationship, usually by ownership or use, to an eminent site-related individual or group or the material's relationship to a significant site-associated event.

Authority files: Published or unpublished lists of subject terms or names selected by a park for use in description. The lists may provide definitions, occupations, cross-references from variant versions of names or terms, and dates. Every park museum collection with archival holdings should have authority files for use in creating folder lists.

Cellulose nitrate film: A flexible film base used for motion picture film and photographic negatives between about 1890 and 1955. This film base self-destructs over time going through five stages of deterioration. The film should be handled with gloves, foldered in buffered sleeves, boxed, placed in Ziplock bags and removed to off-site (non-museum storage) storage in a freezer. See MH-I, Appendix M, Care of Cellulose Nitrate Film.

Collections: (1) An accumulation of manuscripts, archival documents, or papers having a shared origin or provenance, if organic; or having been assembled around a common topic, format of record, or association (e.g., presidential autographs), if non-organic. A collection may be any of the types of records described in section D (e.g., personal papers, organizational records, assembled collections, resource management collections, or sub-official records). (2) The total archival and manuscript holdings of a park.

Context: The circumstances of creation, history of ownership and usage, and original order of an archival or manuscript collection. A clear context gives a collection enhanced research value. See also **original order**, **organic collection**, and **provenance**.

Document: (1) Also called an "item," the smallest complete unit of record or manuscript material accumulated to form a file (e.g., a letter, photograph, or report). A document may consist of multiple sheets or may have a recto (front) and verso (back), both of which carry information. Documents are also referred to as archival collections, papers, records, and manuscripts. Documents are most clearly described when referred to by their specific formats and processes (document types), such as albumen stereographs, outgoing correspondence, diaries, ink drawings, or field notebooks. (2) Any information in a fixed format, regardless of type.

Ephemera: A broad category of documents originally created for temporary or short-term use, such as advertisements, broadsides, invitations, packaging, posters, programs, schedules, and tickets.

Evidential value: Refers to the collection's ability to serve as historical or legal proof of an activity, event, procedure, or process since the record(s) are byproducts of these activities.

Federal Records Centers (FRC): Regional repositories that serve as official records centers for the National Archives.

File unit. The second-lowest level of archival arrangement, immediately above individual items or documents. File units contain all of the documents that the records creator filed together under a particular heading, classification, or topic. "File units" are not to be confused with "file folders," which are merely physical containers for holding documents. A single file unit, in fact, may be so large that it requires multiple file folders.

Finding aid: (1) A broader term for any format of textual or electronic tool that assists researchers in locating or using archival and manuscript collections. Basic finding aids include guides (for example, repository, collection, and subject guides), descriptive inventories, accession registers, card catalogs, special lists (for example, shelf and box lists), indexes, and (for machine-readable records) software documentation. (2) The file

guides, indexes, registers, and filing system aids produced by the records creator, usually referred to as “control records” or “contemporaneous finding aids.”

Format: Refers to the document type or form, such as the document's size and shape or the configuration of the media and support. For a fuller description of document types or formats see the Getty Art History Information Program's *Art and Architecture Thesaurus*, 2nd edition, (Oxford, England: Oxford University Press, 1994) for a full hierarchical list of terms.

Genre: Refers to the document's style, content, and form, including the document's purpose (advertisements, presentation album), the document's viewpoint (panoramic view), broad topical category (landscape, still life, portrait, or street scene), method of representation (abstract, figurative), circumstances of creation (amateur works, student works), or function (dance cards, cigarette cards, death certificates). For a full list consult the *Thesaurus for Graphic Material II: Genre and Physical Characteristic Terms*, 2nd ed., 1993, Library of Congress Cataloging Distribution Service, Washington, DC 20541.

Holdings: The sum total of all archival and manuscript collections held in physical custody by a park. See also **archives**, **collections**, **physical custody**, and **repository**.

Holographic documents: Documents written in the handwriting (i.e., script) of the individual who created or signed them.

Informational value: Refers to the subject content of the archival collections, such as the people, groups, places, eras, activities, events, objects, projects, and processes documented.

Integrity: Refers to collections whose provenance and original order are intact and whose documentary context is complete.

Intellectual control: The mastery or command established over the informational and contextual content of archival and manuscript collections resulting from discovering and describing their provenance and original order and from the processes of arrangement and description.

Intrinsic value: See **artifactual value**.

Inventory: (1) A structured guide to an archival or manuscript collection that includes a brief history of the collection and a list of the materials arranged in series that functions as a type of finding aid. (2) A physical count of a collection conducted for accountability purposes. See MH-II, Chapter 4, Section A, Annual and Spot-Check Inventories and Audits. See also **survey**.

Items: Refers to individual documents or manuscripts. An item may be composed of multiple sheets or may have both a recto (front) and a verso (back) with writing or images on both sides.

Leaves: See **sheets**.

Lot: A group of related records cataloged with a single ANCS catalog record.

Manuscript collections: Groups of documents that have been assembled due to their individual literary or historical values. Manuscript collections are frequently contrasted with archives, which have a shared creator, a shared history of ownership, and a shared original order. See also **manuscripts**.

Manuscripts: Individual documents, primarily textual, that have literary or historical value. Manuscripts include a wide range of document types from correspondence, book drafts, and diaries to personal papers and resource management records. Manuscripts are often paper-based textual records.

Monetary value: Refers to the dollar value placed on rare or collectible manuscripts such as autograph letters or photographs. Monetary value is affected by all of the other values listed above.

Museum records: Official records generated by the museum property system to manage museum property, such as accession, catalog, inventory, and loan records. These records are appraised through NPS record schedule procedures (NPS-19). NPS-19 states that they are maintained in the parks as active official records for which the NPS is accountable to the National Archives and Records Administration.

Non-organic collections: A synonym for "assembled or artificial collections."

Non-records: Documents not covered under the Federal Records Act; documents that are not considered records created or received by the Federal Government. (**Note:** Do not confuse archival collections received by the park through purchase or donation as "record material" by virtue of their having been "received" by the park. Such materials in fact "non-record" because they are not received as a record of Federal activity; rather, they are acquired as museum property).

Organic collections: Files routinely created as part of the day-to-day activities of a person, group, or organization. The records have a systematic relationship to each other that reflects their function and the activities and viewpoint of their creator. Organic collections are sometimes referred to as "archives." They are said to exhibit integrity (their provenance and original order has been retained). Personal papers, organizational records (acquired archives), resources management records (including associated records), active records (including museum records), and inactive records may be organic. See **original order**, **provenance**, and **non-organic collections**.

Organizational records: See **acquired archives.**

Original order: The functional filing arrangement imposed on a document collection by its creator. The original order of collections can provide information not found elsewhere, such as when the creator received a communication, who reviewed a document, or what the sequence of an administrative activity was. Original order should be preserved or reconstructed in a collection as it allows for rapid arrangement, accurate contextual research, and additional insight into the record creator's methods and activities. If a collection has no order because of mismanagement or disaster, a decision to impose an order may be made only by an experienced archivist.

Personal papers: The records created or accumulated during a lifetime by an individual or family. They have an intact provenance and an original order. Personal papers differ from archives in that they are routinely removed from the custody of the collection creators and placed in external archival repositories, but they function as the archives of individuals and must be treated with the same respect as all organic collections. Parks may collect the personal papers of individuals related to the park, such as founding fathers, formative staff, or eminent individuals associated with the history of the site.

Photographs: A fundamental document type found in all categories of records from museum records to assembled collections. Photographs come in many formats (for example, from cartes-de-visites to stereographs), in a wide variety of vantage points (for example, bird's-eye-view, microscope images, satellite images), genres (for example, landscapes, still lifes, portraits), and processes (for example, silver gelatin, carbon). Photographs are formed by the action of radiation (usually light) upon a sensitized surface. While often thought of as a single process, photography is many hundreds of related chemical processes on a variety of supports, such as metal, paper, plastic, or glass.

Photomechanicals: Multiple copies of images made in ink from photographic printing plates. These permanent images include chromolithographs, duotones, halftones, offsets, photolithographs, photogravures, photoengravings, silkscreens, and Woodburytypes. Photomechanical reproductions were most commonly used for postcards and for illustrations in books, magazines, and newspapers.

Physical custody: Either temporary or permanent custody of an archival or manuscript collection. Physical custody does not entail intellectual control or copyright (the right to exhibit, publish, or prepare derivative works). This is particularly true for previously unpublished personal papers, organizational papers, or other historic manuscript collections. In general, the creator of the records holds the copyright. Nor does physical custody entail the right to dispose of portions of the collection without appropriate permission.

Provenance: (1) The entity (for example, person, family, organization, or office) that either created the records or accumulated them in the natural course of activity. (2) The history of physical custody of a collection or item. Note: Museum curators and archeologists use the related term "provenience" to refer to the source or origins of objects and to the exact location where the object was found or made.

Provenience: See **provenance**, definition 2.

Records: (1) All information fixed in a tangible (textual, electronic, audiovisual, or visual) form that was created by an organization as part of its daily business. (2) Two or more data fields that are grouped as a unit in machine-readable records. (3) Official NPS records, as defined by the Federal Record Act and described in DO-19 and NPS-19. These NPS records are organic collections of documentary materials created by the National Park Service to document the creation, development, organization, functions, policies, decisions, procedures, operations, or other routine activities of the NPS. They are made or received by NPS offices as a part of transacting business and preserved as evidence of the offices' actions or functions or because of the records' informational value. They may be active, in which case they are retained by the NPS, or inactive, in which case they are appraised via NARA records schedules and either disposed of or sent to a federal records center.

Records management: The process of determining the status, value, and disposition of park records throughout their lifetime (for example, official or non-official; active or inactive; appropriate to the park's scope of collections statement or not; relevant to the site's history or not; appropriate to the archival appraisal criteria or not; and appropriate for shipment to the FRC and NARA or not as listed on the records schedule). Records management also involves scheduling records for their ultimate disposition.

Recto: The facing page (front) of a single sheet of text or images.

Reformatting: Preservation duplication of original archival materials through the use of long-lived copy technology such as silver halide microfilms or large format digital files and computer output microfilms.

Separation Sheet: A form used to indicate the location of removed items within a collection and the reason for the removal.

Series: A group of documents arranged, file units, or volumes maintained together as a unit within an archival or manuscript collection because of their shared circumstances of creation, receipt, or use. Examples of series would include: 1) incoming correspondence, 2) outgoing correspondence, 3) project files, 4) annual reports, and 5) fiscal records. File units within a series usually conform to a single, consistent arrangement scheme (alphabetical; numerical; chronological, etc.). A series containing records arranged under two or more filing schemes should be divided into subseries, with each group of file units sharing a given filing scheme making up a subseries. Also see **subseries**. **Note:** If a collection is to be organized into series, there must be two or more of them. There is no such thing as a collection that is "organized" into one series. A collection may be made up of file units or individual documents that are not organized into series. If a collection is organized into series, however, then all file units or documents must fit into one of those series – even if a separate series must be established for a single item.

Sheets: Individual leaves of paper, for example a 5-page letter. An individual sheet may have both a recto (front) and verso (back).

Special collections: (1) Non-official collections of manuscripts, personal papers, non-federal corporate records, magnetic media, audio-visual materials, and other documents. (2) Non-textual records, such as magnetic or audio-visual materials.

Sub-series: A group of documents subordinate to a series, and maintained together because of their shared circumstances of creation, receipt, or use. It may be necessary to break a series up into two or more subseries because records created under the same circumstances serve different functions, cover different topics, or are arranged according to different filing schemes. See **series.**

Survey: A comprehensive and systematic review of a collection conducted either to obtain a brief overview of a collection or a park's holdings or to gain knowledge on a particular point, such as the amount of cellulose nitrate-based negatives and film in a repository, or the physical condition of a group of collections, or the level of conservation treatment needed by specific items. Surveys may be conducted on any level (item to repository) and on any topic (for example, the amount of stereographs in a repository or the level of documentation on women in the NPS).

Textual records: A broad category of written record including holographic, typed, word-processed, and mechanically printed documents, manuscripts, records, and archives.

Verso: The reverse side (back) of a single sheet of text or images.

Visual records: A broad category of records containing images including graphic, photographic, and photomechanical prints (in all formats from negative, interpositive transparency, and slide, to print); drawings; paintings; and watercolors. Visual materials may be found in all categories of records from official museum records to resource management records.

AA. Identifying Further Sources of Archival Training and Guidance

Seek further training through NPS archival training, your local universities, the National Archives and Records Administration's Modern Archives Institute, the Society of American Archivists' training courses, and through your regional archival organizations.

The Society of American Archivists offers regular training courses. Contact them at tel: 312-922-0140; e-mail at <info@SAA.mhs.compuserve.com> or @cserve<internet:archives@miamiu.acs.muohio.edu> or via fax at 312-347-1452. Their address follows in the bibliography section.

For further guidance read Federal regulations governing document creation, use, and management including the following: the *Records Disposal Act of July 7, 1943, as amended (44 USC 366-376, 378-380); the Federal Property and Administrative Services Act of 1949, as amended (44 USC 391-401); Federal Property Management Regulations, Subchapter B, Archives and Records, Part 101-11, Records Management;* Department of the Interior *Departmental Manual,* Parts 380-384, Records Creation and Disposition and Part 411, Official Records; and the Federal Property Management Regulations, Subchapter B, Archives and Records.

BB. Readings: A Bibliography

Source Key:

Items marked with an ***** are available from: the Society of American Archivists, 600 South Federal, Suite 504, Chicago, Illinois 60605, tel: 312-922-0140.

Items marked with a ^ are available from: the American Library Association, 50 East Huron Street, Chicago, Illinois 60611, tel: 312-944-6780.

Items marked with an **@** are available from: the Library of Congress Customer Services Section, Cataloging Distribution Service, Washington, DC 20541-5017, tel: 202-707-9797.

Items marked with a **#** are available from: the National Archives and Records Administration, 7th & Pennsylvania Ave., NW, Washington, DC 20408, tel: 202-707-5240.

Items marked with a > are available from: the Commission on Preservation and Access, 1400 16th Street, NW, Suite 740, Washington, DC 20036-2217, tel: 202-939-3400.

Items marked with a **%** are available from: the Smithsonian Institution Press, 955 L'Enfant Plaza, Room 7100, Washington, DC 20560, tel: 202-287-3738.

Items marked with a **+** are available (free) from: UNESCO, Place de Fontenoy, 75700, Paris, France.

Items marked with a $ are available from: the American National Standards Institute, 11 West 42nd Street, N.Y., N.Y. 10018; tel: 212-642-4900 or via the Association for Information and Image Management at 1100 Wayne Ave., Suite 1100, Silver Spring, MD 20910; tel: 301-587-8202.

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ANSI/NAPM IT9.18-1994 (Storage of Photographic Plates)
ANSI IT9.12-1991 (Vesicular Microform Stability)
ANSI/AIIM MS5-1992 (Microfiche)
ANSI/AIIM MS14-1988 (16mm and 35mm Roll Microfilm)
ANSI/AIIM MS34-1990 (Roll Microfilm Reels)
ANSI/AIIM MS51-1991 (Micrographics Resolution)
ANSI PH1.51-1990 (Photo and Micrographic Film Dimensions)
ANSI/ASC OG4.8-1985 (Residual Thiosulfate)
ANSI/AIIM MS19-1987 (Microform Identification)
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CC. List Of Figures

Figure D.1 Archival and Manuscript Collections Survey Form D:113
Figure D.2a Example of an Archival Collection That is Out of Order D:114
Figure D.2b Unarranged Materials from D.2a Restored to Original Order D:114
Figure D.3a Sample Hierarchy—Organizational Archives D:115
Figure D.3b Sample Hierarchy—Personal Papers D:116
Figure D.4a-g Sample Hierarchies/Filing Schemes for Associated Records D:117
Figure D.5 Archives and Manuscript Collection Separation Sheet....D:125
Figure D.6 Sample Finding Aid....D:126
Figure D.7 Freedom of Information Act....D:143
Figure D.8 Researcher Registration Form D:153
Figure D.9 Copyright and Privacy Restrictions Form D:154
Figure D.10 Access Policies and Rules Governing Use Form....D:155
Figure D.11 Researcher Duplication Form D:157

US Department of the Interior
National Park Service

Archival and Manuscript Collections Survey Form

COLLECTION TITLE (Creator/Format/Alternate Names/Accession/Catalog #s):

DATES (Inclusive & Bulk):

PROVENANCE (Creator/Function/Ownership & Usage history/Related collections/Language):

PHYSICAL DESCRIPTION (Linear feet/Item count/Document Processes/Formats/Genres):

SUBJECTS (Personal, Group, Taxonomic, and Place Names/Eras/Activities/Events/ Objects/Structures/Genres):

ARRANGEMENT (Series/Principle of Arrangement/Finding Aid):

RESTRICTIONS (Check and Describe) Donor_____ Privacy/Publicity _____ Copyright_____ Libel_____ No Release Forms_____ Archeological, Cave, or Well Site_____ Endangered Species Site _____ Sensitive_____ Classified_____ Fragile _____ Health Hazard_____ Other_____

LOCATIONS Building(s), Room(s), Wall(s), Shelf Unit(s), Position(s), Box(es):

EVALUATION (Check and Describe Status) Official Records __ Non-Official Records __ Fits Park SOCS __ Outside SOCS __ (Rate Collection Value: 1=Low; 3= Average; 6= High) Informational __ Artifactual __ Associational __ Evidential __ Administrative __ Monetary __

CONDITION (Check and Describe) Excellent_____ Good_____ Fair_____ Poor_____ Mold_____ Rodents_____ Insects_____ Nitrate_____ Asbestos_____ Water Damage_____ Other_____

OTHER (Please Describe)

Figure D.1 Archival and Manuscript Collections Survey Form (Sample) [Optional]

UNARRANGED RECORDS

a. Financial Ledger, Vol. C
b. Correspondence File, May-July 1910
c. Financial Ledger, Vol. A
d. Financial Ledger, Vol. B
e. Diary, 1909
f. Correspondence File, February-April 1910
g. Diary 1912
h. Financial Ledger, Vol. E
i. Box of Cancelled Checks, 1911
j. Diary, 1907
k. Diary, 1908
l. Correspondence File, August-October 1910
m. Correspondence File, November 1909-January 1910
n. Financial Ledger, Vol. D
o. Diary, 1906
p. Correspondence File, November 1910-January 1911
q. Box of Cancelled Checks, 1910
r. Correspondence File, August-October 1909
s. Diary, 1911

Figure D.2a. Example of an Archival Collection That is Out of Order

HIERARCHY, AFTER RESTABLISHING ORIGINAL ORDER

SERIES I: CORRESPONDENCE, August 1909 to January 1911, with gaps
(arranged chronologically)

SERIES II: FINANCIAL LEDGERS
(arranged alphabetically by volume)

SERIES III: DIARIES, 1906-1912, with gaps
(arranged chronologically)

SERIES IV: CANCELLED CHECKS, 1910-1911
(arranged chronologically)

Figure D.2b. Unarranged Materials from D.2a Restored to Original Order

RECORDS OF THE XYZ CORPORATION

SERIES I: RECORDS OF THE PRESIDENT'S OFFICE

SUBSERIES I: Correspondence (arranged alphabetically by correspondent, and thereunder chronologically)

SUBSERIES 2: Policy Directives (arranged by year, and thereunder numerically)

SUBSERIES 3: Speech Files (arranged chronologically)

SERIES II: RECORDS OF THE MANUFACTURING DIVISION

SUBSERIES 1: Correspondence

SUB-SUBSERIES A: Incoming Correspondence (arranged alphabetically by correspondent)
SUB-SUBSERIES B: Outgoing Correspondence (arranged chronologically)

SUBSERIES 2: Production Records (arranged by department, and thereunder by shift)

SUBSERIES 3: Supply Records (arranged alphabetically by vendor)

SERIES III: ADMINISTRATION DIVISION

SUBSERIES 1: Personnel Records

SUB-SUBSERIES A: Employee Files (arranged alphabetically by name of employee)
SUB-SUBSERIES B: Correspondence (arranged alphabetically by name of correspondent)

SUBSERIES 2: Sales Records

SUB-SUBSERIES A: Sales Agents' Reports (arranged chronologically, and thereunder alphabetically by name of sales agent)
SUB-SUBSERIES B: Advertising Files (arranged by media type, and thereunder by market)

SUBSERIES 3: Research and Development Records (arranged by project number)

SUBSERIES 4: Accounting Records

SUB-SUBSERIES A: Ledgers (arranged by volume number)
SUB-SUBSERIES B: Financial Reports (arranged by fiscal year)

Figure D.3a Sample Hierarchy for a Collection of Organizational Archives

FRED SMITH PAPERS

SERIES I: CORRESPONDENCE (arranged alphabetically by name of correspondent, and thereunder chronologically)

SERIES II: DIARIES (arranged by year)

SERIES III: RESEARCH FILES (arranged alphabetically by subject)

SERIES IV: FINANCIAL RECORDS

SUBSERIES I: Bank Statements (arranged alphabetically by bank, and thereunder chronologically)

SUBSERIES 2: Canceled Checks (arranged alphabetically by bank, and thereunder numerically)

SERIES V: STILL PICTURES

SUBSERIES 1: Albums (unarranged)

SUBSERIES 2: Prints (arranged alphabetically by subject)

SUBSERIES 3: Negatives (arranged numerically)

SERIES VI: SOUND RECORDINGS (arranged by type, and thereunder chronologically)

Figure D.3 b Sample Hierarchy for a Collection of Personal Papers

SAMPLE HIERARCHIES/FILING SCHEMES
FOR ASSOCIATED RECORDS

Most parks make or receive records relating to cultural history or natural history projects that occur in the park and recover objects or specimens that are accessioned into the park's museum collection. These are called "associated records."

These records are park records, regardlss of whether they were actually produced by park staff, other NPS staff, contractors, or outside researchers working under park research permits. **Records for a particular project do not represent a stand-alone collection.** Project files should not be cataloged individually as separate collectoins, but should be managed as file units within larger collections.

Note: Even though project files should not be cataloged as separate collections, they may still be described individually at the File Unit Level in the Archives Module.

Note: Even though project files should be managed as part of larger collections, individual files may still be co-located at partner repositories with their associated objects. For files that are co-located, complete an outgoing loan agrement and indicate in the location field of the File Unit Level screen that the file is housed off site.

Associated records for a given discipline may be handled either as a collection or as a series within a larger collection encompassing all of the park's resource management records. Within the collection or series, however, parks will have to identify appropriate hierarchies and filing schemes based on particular circumstances. **Figures D.4b-D.4g** provide sample hierarchies and filing schemes that may be adopted.

There are only a few absolutes among the proposed hierarchical structures:

1. Associated records for any given project should be handled as project files—not as collections or series. Those files should be arranged within a single series or a single collection according to a uniform filing scheme. The recommended format would be to use accession numbers as file numbers, but the park may develop its own file designations.

2. If a park accessions associated records generated by its own staff or contractors, by the regional center, or by permitted researchers, it may create separate series reflecting this (as is shown in Figures D.4c and D.4d).

3. If a park accessions associated records produced exclusively in the park, as well as records produced through multi-park permits, it may create separate series reflecting this (as is shown in Figure D.4e).

Beyond these basics, parks will have to improvise and develop hierarchies based on what kinds of records are actually present. For example:

1. Suppose a park implements the hierarchy in Figure D.4c, to the extent of having one series for park-generated records and one series for center-generated records. There is no need for the park series to maintain the same subseries structure as the center series. The park series may be broken out into subseries and sub-subseries, but the series of center records may have nothing more than a simple file unit organization (as is shown in Figure D.4a).

2. Associated records accessioned by a park may fall into a series structure completely different from the "Reports Notes and Correspondence; Still Pictures; Maps" organization used in some of the samples. There may be additional series or subseries, fewer series or subseries, or completely different series or subseries. There is no universal template.

Figure D.4a Sample Hierarchies/Filing Schemes for Associated Records

SIMPLE FILE UNIT ARRANGEMENT

It is possible that a collection of associated records would be made up of file units that are not organized into series. This is the most basic hierarchy there is:

Local Coll. No. 5001: Records Associated with Archeological Projects at XYZ National Park

File Units no. 001 to ?: Individual file units, arranged numerically by accession number (or by any other arrangement scheme the park chooses).

Figure D.4b Simple File Unit Arrangement

BASIC SERIES ORGANIZATION

The series organization outlined below is just a suggestion. An actual series organization could take different forms, depending on the actual records and how they are maintained. Within this proposed structure, all of the park's projects files for a particular discipline are handled as a collection and are organized into series by physical type. Thereunder, the documentation on each project is kept intact, and should be described individually in separate File Unit Level screens in the Archives Module. In other words, the records are managed by project, but within a hierarchical structure.

Local Coll. No. 5002: Records Associated with Archeological Projects at ABC National Park

Series I: Reports, Notes, and Correspondence

File Units 001 to ?: Individual file units, arranged numerically by accession number.

Series II: Still Pictures

Subseries A: Prints:
File Units 001 to ?: Arranged by accession number.
Subseries B: Negatives
File Units 001 to ?: Arranged by accession number.
Subseries C: Slides
File Units 001 to ?: Arranged by accession number.

Series III: Maps

File Units 001 to ?: Arranged by accession number.

Figure D.4c Basic Series Organization

SEPARATE SERIES FOR PARK-GENERATED ACCESSIONS AND CENTER-GENERATED COLLECTIONS

In some cases, associated records may be managed partly at a center and partly at a park—but all of the materials, of course, remain park property. Since parks manage the assignment of accession numbers, it should be possible to coordinate between the parks and the centers using the park accession numbers, and thus maintain a single arrangement scheme for everything (regardless of location). That is, Accessions 00123 through 00129 could be at the park, Accessions 00130-00140 at the center, Accession 00141 at the park, and so forth. This could be reflected in that same order within a single run of file unit numbers in the Archives Module.

If it proves too difficult for parks and centers to keep track of accessions in this way, then collections could be organized into series based on whether park staff or park contractors carried out a project, or whether center staff or center contractors carried out a project. Assuming that both park-generated and center-generated records are organized in the same fashion as the materials in **Figure 4.c**, a collection divided into park- and center-generated archives would look like this:

Local Coll. No. 5003: Records Associated with Archeological Projects at XYZ National Park

Series I: Regional Center Projects

Subseries A: Reports, Notes, and Correspondence
File Units 001 to ?: Individual file units, arranged by accession number
Subseries B: Still Pictures
Sub-subseries 1: Prints (arranged. by accession number)
Sub-subseries 2: Negatives (arranged by accession number)
Sub-subseries 3: Slides (arranged by accession number)
Subseries C: Maps (arranged by accession number)

Series II: Park Projects

Subseries A: Reports, Notes, and Correspondence
File Units 001 to ?: Individual file units, arranged by accession number
Subseries B: Still Pictures
Sub-subseries 1: Prints (arranged by accession number)
Sub-subseries 2: Negatives (arranged by accession number)
Sub-subseries 3: Slides (arranged by accession number)
Subseries C: Maps (arranged by accession number)

REMEMBER: Within this hierarchical structure, project files may still be described individually—but at the File Unit Level of the Archives Module, not as separate catalog records.

NOTE: The proposed series/subseries/sub-subseries structure is just an example of how a collection broken up into Regional Center projects and Park projects would work; it is not meant to be an immutable template. Also, because the breakdown would be based on park- or center-generated records (as opposed to managed), the hierarchy would not have to change if records were sent from the park to the center, or from the center to the park.

Figure D.4d Separate Series for Park-Generated Accessions and Center-Generated Collections

SEPARATE SERIES FOR PARK-GENERATED, CENTER-GENERATED, AND PERMITTED PROJECTS

It should be possible to use the park-assigned accession numbers to keep all associated records for a given discipline in serial order in the Archives Module. However, the fact that associated records for permitted research not always arrive in a timely fashion may complicate the coordination process. Just as parks might divide collections into series according to whether the work was done by center staff/contractors or park staff/contractors, they might also maintain a separate series for associated records generated through the permit process. It may be necessary to use placeholders to reserve space and maintain proper sequencing in the Archives Module if parks assign accession numbers before receiving records. The sample hierarchy below would be for a park that has assigned accession numbers to park, center, and permitted projects alike, and finds it easier to file/track them separately:

Local Coll. No. 5004: Records Associated with Archeological Projects at ABC National Park

Series I: Regional Center Projects

Subseries A: Reports, Notes, and Correspondence
File Units 001 to ?: Individual file units, arranged by accession number
Subseries B: Still Pictures
Sub-subseries 1: Prints (arranged by accession number)
Sub-subseries 2: Negatives (arranged by accession number)
Sub-subseries 3: Slides (arranged by accession number)
Subseries C: Maps (arranged by accession number)

Series II: Park Projects

Subseries A: Reports, Notes, and Correspondence
File Units 001 to ?: Individual file units, arranged by accession number
Subseries B: Still Pictures
Sub-subseries 1: Prints (arranged by accession number)
Sub-subseries 2: Negatives (arranged by accession number)
Sub-subseries 3: Slides (arranged by accession number)
Subseries C: Maps (arranged by accession number)

Series III: Permitted Research Projects

Subseries A: Reports, Notes, and Correspondence
File Units 001 to ?: Individual file units, arranged by accession number
Subseries B: Still Pictures
Sub-subseries 1: Prints (arranged by accession number)
Sub-subseries 2: Negatives (arranged by accession number)
Sub-subseries 3: Slides (arranged by accession number)
Subseries C: Maps (arranged by accession number)

Figure D.4e Separate Series for Park-Generated, Center-Generated, and Permitted Projects

SEPARATE SERIES FOR RECORDS GENERATED VIA MULTI-PARK PERMITS

Many natural history projects in NPS now involve multiple parks. In such cases, each park involved in a multi-park permitted project would get a copy of the final report, but the lead park would receive a full set of the project's records. Thus, a single park may have biological project files relating just to that park itself. A lead park could have records generated by one or more multi-park projects, involving numerous parks. To avoid confusion over park-only projects and multi-park projects, natural history collections could follow a hierarchy such as this:

Local Coll. No. 5005: Records Associated with Biological Projects at XYZ National Park

Series I: Park Projects

Subseries A: Reports, Notes, and Correspondence
File Units 001 to ?: Individual file units, arranged by accession number
Subseries B: Still Pictures
Sub-subseries 1: Prints (arranged by accession number)
Sub-subseries 2: Negatives (arranged by accession number)
Sub-subseries 3: Slides (arranged by accession number)
Subseries C: Maps (arranged by accession number)

Series II: Multi-Park Projects

Subseries A: Reports, Notes, and Correspondence
File Units 001 to ?: Individual file units, arranged by accession number
Subseries B: Still Pictures
Sub-subseries 1: Prints (arranged by accession number)
Sub-subseries 2: Negatives (arranged by accession number)
Sub-subseries 3: Slides (arranged by accession number)
Subseries C: Maps (arranged by accession number)

NOTE: These series structures are just suggestions. Actual organizational schemes would depend on what records are actually present and how they are actually arranged. Still, the basic division into series by Park Projects and Multi-Park Projects would be retained.

Figure D.4f Separate Series for Records Generated Via Multi-Park Permits

ASSOCIATED RECORDS FOR A GIVEN DISCIPLINE AS A SERIES WITHIN THE PARK'S COLLECTION OF RESOURCE MANAGEMENT RECORDS

Records associated with archeology projects at a particular park can be handled as a series within the Resource Management collection. Using the complex organizational scheme outlined in **Figure D.4d,** here is how a series of archeological records would fit into the hierarchy for a park's Resource Management Records:

Local Coll. No. 5006: Resource Management Records at ABC National Park

Series I: Land Records

- Subseries A: General Records
- Subseries B: General Grazing Files
- Subseries C: Family Grazing Allotment Records

Series II: Records Relating to Fires and Fire Management

- Subseries A: General Records
- Subseries B: Records Relating to Fires
- Subseries C: Fire Effects Studies

Series III: Construction and Maintenance Records

- Subseries A: Roads and Trails
- Subseries B: Buildings
- Subseries C: Grounds
- Subseries D: Water and Sewer
- Subseries E: Signs, Markers, and Memorials

Series IV: Records Associated with Archeological Projects

- Subseries A: Regional Center Projects
  - Sub-subseries 1: Reports, Notes, and Correspondence
    - File Units 001 to ?: Individual file units, arranged by accession number
  - Sub-subseries 2: Still Pictures
    - Sub-sub-subseries a: Prints (arranged by accession number)
    - Sub-sub-subseries b: Negatives (arranged by accession number)
    - Sub-sub-subseries c: Slides (arranged by accession number)
  - Sub-subseries 3: Maps (arranged by accession number)
- Subseries B: Park Projects
  - Sub-subseries 1: Reports, Notes, and Correspondence
    - File Units 001 to ?: Individual file units, arranged by accession number
  - Sub-subseries 2: Still Pictures
    - Sub-sub-subseries a: Prints (arranged by accession number)
    - Sub-sub-subseries b: Negatives (arranged by accession number)
    - Sub-sub-subseries c: Slides (arranged by accession number)
  - Sub-subseries 3: Maps (arranged by accession number)

Figure D.4g Associated Records for a Given Discipline as a Series Within the Park's Collection of Resource Management Records

Subseries C: Permitted Research Projects
- Sub-subseries 1: Reports, Notes, and Correspondence
  - File Units 001 to ?: Individual file units, arranged by accession number
- Sub-subseries 2: Still Pictures
  - Sub-sub-subseries a: Prints (arranged by accession number)
  - Sub-sub-subseries b: Negatives (arranged by accession number)
  - Sub-sub-subseries c: Slides (arranged by accession number)
- Sub-subseries 3: Maps (arranged by accession number)

Figure D.4g continued

US Department of the Interior
National Park Service

Archives and Manuscript Collections Separation Sheet

Document Type (map, newspaper clipping, photograph, etc.) Catalog/Accession Numbers

Document Description (Include collection name; dates; group organizational, personal, and place names; and topics [who, what, where, why, when, and how], etc.)

Item Originally Filed (Collection identifier: specific location, box #, folder #, drawer #, sequence in unit, etc.)

Item Now Filed (Specific location: room #, shelf #, box #, folder #, drawer #, sequence in unit, etc.)

Separated By: Separation Date:

NPS Form 10-645
July 1995

Figure D.5 Separation Sheet (Form 10-645) [Optional]

National Park Service
U.S. Department of the Interior

FINDING AID

RECORDS ASSOCIATED WITH ARCHEOLOGICAL PROJECTS AT ANDERSONVILLE NHS

1970-1997

SAMPLE FINDING AID
DO NOT USE FOR REQUESTING RECORDS

National Park Service

Catalog Number: ANDE 9804

Figure D.6 Sample Finding Aid

TABLE OF CONTENTS

Copyright and Restrictions……..……..D:104

History……..……D:105

Scope and Content …….D:107

Hierarchy ……..D:108

Series Descriptions ……....D:109

File Unit Descriptions ……..D:110

Container List ……..…….D:114

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HISTORY

Andersonville National Historic Site, located 10 miles northeast of Americus, in southwest Georgia, was established as a unit of the National Park Service on October 16, 1970, under Public Law 91-465. Its mission, as specified in the enabling legislation, is to "provide an understanding of the Civil War prisoner of war story, to interpret the role of prisoner of war camps in history, and to commemorate the sacrifice of Americans who lost their lives in such camps."

Included within the boundaries of the 515-acre park is the former site of Andersonville Prison, which was the most notorious prisoner of war camp during the American Civil War. Known officially during the Civil War as Camp Sumter, it was one of the Confederate Government's largest military prisons. Operating for 14 months in 1864 and 1865, Andersonville held more than 45,000 Union prisoners-of-war -- nearly 13,000 of whom perished because of disease, starvation, overcrowding, poor sanitation, or exposure. The harsh conditions at Andersonville -- while scarcely more severe than other prisoner of war camps operated by the Union and Confederacy alike -- excited such outrage after the war that its superintendent, Captain Henry Wirz, was court-martialed by the United States Army. Wirz was found guilty of war crimes, and executed in November 1865.

In addition to the prison camp, the park also includes the prison camp's burial ground (which was designated as a National Cemetery in July 1865, and which continues to inter the remains of deceased veterans), as well as the site of the camp hospital, the adjacent Confederate fort, and a National Park Service visitors center. Since 1998, the National Park Service has also maintained the National Prisoner of War Museum at Andersonville NHS; this museum tells the story of American prisoners of war throughout the Nation's history, starting with the Revolutionary War.

Archeological projects at Andersonville National Historic Site serve several academic, interpretive, and administrative purposes. They identify the existence of archeological resources, to help ensure their preservation and to prevent construction or other activity from damaging them. They provide data to help the park comply with Section 106 of the National Historical Preservation Act of 1966, which requires Federal agencies to consider the impact of their activities on historic places. They provide information on historic configurations of the prison camp, the fort, and the hospital, that can be used in interpretation and reconstructions. And they can yield artifacts that are accessioned into the park's museum collection and may be used for exhibits and research.

These archeological projects, therefore, add to the body of scholarship on Andersonville, for use by other archeologists, historians, teachers, students, and others. In addition, they contribute to a clearer understanding of the prison camp's history, and enhance the experience of those who visit the park. And they facilitate proper management of archeological resources, in order to minimize any impairment and to promote their preservation for future generations.

Notable projects include a series of studies conducted by the NPS Southeast Archeological Center between 1987 and 1990 to determine the nature, construction techniques, and location of the prison's stockade walls and gates, and to document prison conditions. The park used the findings of these studies to develop new or improved exhibits for the benefit of visitors, and to reconstruct a portion of the stockade walls.

SCOPE AND CONTENT

RECORDS ASSOCIATED WITH ARCHEOLOGICAL PROJECTS AT ANDERSONVILLE NHS
1970-1997

CATALOG NUMBER	ANDE 9804
VOLUME	12 LF
DESCRIPTION	Field notes, reports, correspondence, photographs, and maps relating to archeological projects carried out at Andersonville National Historic Site. Included are records produced by non-NPS archeologists conducting permitted research and submitted to the park under the terms of the permit, as well as records produced by NPS archeologists working on official projects. Most records are associated with accessioned objects. Records and objects associated with a single project will have the same park accession number.
ORGANIZATION	Organized into 3 series: Series I, Reports, Notes, and Correspondence; Series II, Still Pictures; Series III, Maps.
PROVENANCE	
RESTRICTIONS	NO
ASSOCIATED	
MATERIALS	

HIERARCHY

I. SERIES I: REPORTS, NOTES, AND CORRESPONDENCE

II. SERIES II: STILL PICTURES

III. SERIES III: MAPS

SERIES DESCRIPTIONS

I. *SERIES I: REPORTS, NOTES, AND CORRESPONDENCE, 1970-1997 (bulk dates: 1970-1997)*

Arranged numerically, with file numbers corresponding to park accession numbers, and thereunder arranged by subject.

Correspondence, final reports, draft reports, progress reports, trip reports, field notes, inventories, worksheets, photo logs, specimen logs, budgets, contracts, artifact analysis forms, stratigraphic profiles, and other papers relating to archeological projects at Andersonville NHS. Included are project files on surveys and tests prior to proposed construction activities, 106 compliance surveys, archeological monitoring, test excavations, and investigations of various locations throughout the park.

II. *SERIES II: STILL PICTURES, 1970-1997 (bulk dates: 1970-1997)*

Arranged by type (negatives, prints, slides), and thereunder by park accession number.

Black & white and color negatives, prints, and slides, relating to excavations, surveys, and other archeological projects at Andersonville NHS.

III. *SERIES III: MAPS, 1970-1997 (bulk dates: 1970-1997)*

Arranged by park accession number.

Maps, topographic maps, base maps, sketch maps, field maps, site plans, feature plans, grids, drawings, and tables showing artifact distribution by unit and level, relating to archeological surveys, excavations, and investigations at Andersonville NHS.

FILE UNIT DESCRIPTIONS

SERIES I: REPORTS, NOTES, AND CORRESPONDENCE

0001. ANDE 00062: SURVEY AND TESTING, 1977-1990
Cultural Resources inventory, conducted between January and June 1978, to locate and identify archeological features associated with Andersonville Prison and prehistoric sites on ANDE property. Survey carried out preparatory to proposed improvements to maintenance facilities and visitor support facilities outlined in General Management Plan, and other proposed development outlined in the Development Concept plan. Areas tested: Aboriginal site, Inner Stockade, North Gate, Middle Stockade, South Gate, Shed Hospital, Bake House, and development areas. Principal investigator: Ellen Ehrenhard, SEAC.

0002. ANDE 00166: SOIL RESISTIVITY STUDY OF THE HOSPITAL SITE, 1985-1992
Soil resistivity survey conducted at the Hospital Site by Rochelle Marrinan (Florida State University) and Kenneth S. Wild, Jr. (SEAC), July 1985.

0003. ANDE 00276: INVESTIGATIONS OF NORTHEAST CORNER FOR RECONSTRUCTION OF STOCKADE AND DEADLINE (WALKER 1987), 1986-1992
Archeological investigations of the Northeast Corner of the Stockade and Deadline, to determine the impact of reconstruction on the Stockade, conducted by John W. Walker of SEAC.

0004. ANDE 00322: INVESTIGATIONS OF NORTH GATE, 1989-1991
Archeological investigations of North Gate area, conducted in May-June 1989 by Guy Prentice, SEAC.

0005. ANDE 00355: INVESTIGATION OF SOUTHEAST CORNER OF THE INNER STOCKADE, 1990
Archeological investigation of Southeast Corner of the Inner Stockade, conducted by Guy Prentice (SEAC). The study located the Southeast Corner and an escape tunnel, and investigated units CC and DD (both of which were excavated previously by Ellen Ehrenhard).

0006. ANDE 00378: SURVEY FOR VISITOR CENTER AND ROAD, 1990-1991

Archeological survey for a visitor center and road, conducted February 1990 and September 1990 by Elizabeth A. Horvath (SEAC). Included shovel testing in area of proposed visitor center and parking lot, shovel testing in Pecan Lane area, and test trenches for entrance road.

0007. ANDE 00379: COOKHOUSE LOCATION STUDY, 1989-1994

Investigation to determine location of cookhouse, prior to construction of Visitors Center. Initial walkover conducted by Richard Faust of SEAC; full investigation conducted by Elizabeth Horvath of SEAC. Study failed to reveal the location of the cookhouse.

0008. ANDE 00409: INVESTIGATION FOR A NEW DRAIN LINE, 1991-1992

Archeological investigation for new drain line in area of North Gate, to replace 1930s era drain line installed by Civilian Conservation Corps. Project conducted by John E. Cornelison (SEAC).

0009. ANDE 00429: SECTION 106 COMPLIANCE SURVEY FOR MAINTENANCE BUILDING, 1976

Survey conducted as part of Section 106 compliance for maintenance building. The clearance effort concentrated on park property beyond boundaries of the fort, and revealed the location of a prehistoric site. Principal investigator: R. Faust, SEAC.

0010. ANDE 00430: TEST EXCAVATIONS AT STOCKADE, 1973-1977

Archeological testing in the stockade area by Lewis H. Larson, Jr., and Morgan Ray Crook, Jr., of West Georgia College, under NPS contract no. CX500031635. Objectives of the investigation were to locate and record prison features and to provide preliminary details of construction techniques.

0011. ANDE 00431: HISTORIC STRUCTURES REPORT, 1970

Historic Structures Report by Andersonville Superintendent Edwin S. Bearss.

0012. ANDE 00432: GUNBOAT STREET AND CEMETERY SECTION "P" CLEARANCE PROJECT, 1981

Archeological Clearance Project at Gunboat Street and Cemetery Section "P," conducted by Ellen Ehrenhard (SEAC).

0013. ANDE 00433: SURVEY OF TRACT 01-142 (1983), 1981-1985
Archeological survey of surplus parcel (Tract 01-142), conducted in August 1983 by Teresa Paglione and Richard Johnson of SEAC. The survey revealed the Civil War era Old Dixie Highway, the entrance road to the National Cemetery (ca. 1870-1932), and the Civilian Conservation Corps camp (1934-36).

0014. ANDE 00434: MONITORING OF PROVIDENCE SPRING PARKING AREA, 1986
Monitoring of Providence Spring Parking Area, overseen by John W. Walker (SEAC).

0015. ANDE 00435: MONITORING OF SEPTIC TANK AND DRAIN FIELD AT P.O.W. MUSEUM, 1986
Monitoring of septic tank and drain field area at Prisoner of War Museum. Project archeologist: Allen Cooper, SEAC.

0016. ANDE 00436: MONITORING OF HANDICAP ACCESS RAMPS AT SEXTANT'S HOUSE, 1988
Archeological monitoring of Handicap Access Ramps at the Sextant's House (also referred to as the Cemetery Lodge), conducted in November 1988 by Andrea C. Repp of SEAC.

0017. ANDE 00481: INVESTIGATIONS FOR NEW ENTRANCE ROAD AND VISITORS CENTER, 1993, 1993-1994
Archeological investigations for new entrance road and visitors center, involving shovel tests carried out in December 1993. Principal investigator: John Cornelison (SEAC).

0018. ANDE 00542: CEMETERY EXPANSION (SECTION "J"), 1996-1997
Archeological testing in area of proposed cemetery expansion (Cemetery, Section "J"). Principal investigator: John Cornelison, SEAC.

SERIES II: STILL PICTURES

0001. ANDE 00062
Negatives and prints.
0002. ANDE 00276
Negatives and prints.
0003. ANDE 00322
Negatives, prints, and slides.
0004. ANDE 00355
Negatives, prints, and slides.

0005. ANDE 00378
Negatives and prints.
0006. ANDE 00379
Negatives and prints.
0007. ANDE 00409
Negatives and slides.
0008. ANDE 00430
Negatives, prints, and slides.
0009. ANDE 00432
Negatives.
0010. ANDE 00433
Negatives and prints.
0011. ANDE 00481
Negatives and prints.
0012. ANDE 00542
Negatives.

SERIES III: MAPS

0001. ANDE 00062

0002. ANDE 00166

0003. ANDE 00276

0004. ANDE 00322

0005. ANDE 00355

0006. ANDE 00378

0007. ANDE 00409

0008. ANDE 00430

0009. ANDE 00432

0010. ANDE 00433

0011. ANDE 00435

CONTAINER LIST

Box 1
SERIES I: REPORTS, NOTES, AND CORRESPONDENCE

Folder 1: ANDE 62 -- Ceramic Inventory by Unit
Folder 2: ANDE 62 -- Lithics Inventory by Unit
Folder 3: ANDE 62 -- Artifact Inventory by Unit
Folder 4: ANDE 62 -- Map Inventory by Provenience
Folder 5: ANDE 166 -- Correspondence
Folder 6: ANDE 166 -- Research Design-Planning, 1984
Folder 7: ANDE 166 -- Research Design-Planning, 1985
Folder 8: ANDE 166 -- Final Report
Folder 9: ANDE 166 -- Field Notes
Folder 10: ANDE 166 -- Resistivity Survey Worksheets

Box 2
Folder 11: ANDE 276 -- General Correspondence
Folder 12: ANDE 276 -- Trip Report (Faust)
Folder 13: ANDE 276 -- Research Design (Compliance)
Folder 14: ANDE 276 -- Research Design (Planning)
Folder 15: ANDE 276 -- Draft Report (Figures, Tables, Notes)
Folder 16: ANDE 276 -- Draft Report (Partials of Final)
Folder 17: ANDE 276 -- Draft Report (Complete Final)
Folder 18: ANDE 276 -- Final Report
Folder 19: ANDE 276 -- Identification of Wood Samples
Folder 20: ANDE 276 -- Management Plan/Environmental Assessment
Folder 21: ANDE 276 -- Newspaper Article
Folder 22: ANDE 276 -- RFP and Related Correspondence
Folder 23: ANDE 276 -- Budget Expenses
Folder 24: ANDE 276 -- Field Specimen Log
Folder 25: ANDE 276 -- Photographic Log (Camera 17894)
Folder 26: ANDE 276 -- Photographic Log (Camera 17897)

Box 3
Folder 27: ANDE 276 -- Journal Recording Notes (Prentice)
Folder 28: ANDE 276 -- Loose Recording Notes (Walker)
Folder 29: ANDE 276 -- Loose Recording Notes (Crew)
Folder 30: ANDE 276 -- Transit Recording Notes
Folder 31: ANDE 276 -- Excavation Unit Forms
Folder 32: ANDE 276 -- Feature Forms
Folder 33: ANDE 276 -- Post Hole Forms

Folder 34: ANDE 276 -- Radiocarbon Assay Reports
Folder 35: ANDE 276 -- Miscellaneous Work Notes
Folder 36: ANDE 276 -- Catalog Worksheets/Analysis Forms
Folder 37: ANDE 322 -- General Correspondence
Folder 38: ANDE 322 -- Research Design

Box 4
Folder 39: ANDE 322 -- Final Report
Folder 40: ANDE 322 -- Field Specimen Provenience Form
Folder 41: ANDE 322 -- Photographic Log
Folder 42: ANDE 322 -- Field Journal Notes (Horvath)
Folder 43: ANDE 322 -- Transit Information Forms
Folder 44: ANDE 322 -- Excavation Unit Forms
Folder 45: ANDE 322 -- Artifact Inventory Forms
Folder 46: ANDE 322 -- Artifacts by Field Specimen Numbers
Folder 47: ANDE 322 -- Conservation Information/Artifact Processing Record
Folder 48: ANDE 355 -- Research Design
Folder 49: ANDE 355 -- Final Report
Folder 50: ANDE 355 -- Photo Logs
Folder 51: ANDE 355 -- Field Forms

Box 5
Folder 52: ANDE 378 -- General Artifact Inventory Phase I
Folder 53: ANDE 378 -- General Artifact Inventory Phase II
Folder 54: ANDE 378 -- Ceramic Analysis Forms
Folder 55: ANDE 378 -- CAT Worksheets/Analysis Forms
Folder 56: ANDE 379 -- Trip Reports
Folder 57: ANDE 379 -- Field Specimen Log
Folder 58: ANDE 379 -- Photo Log
Folder 59: ANDE 379 -- Field Notes (Faust)
Folder 60: ANDE 379 -- Field Notebook (Horvath)
Folder 61: ANDE 379 -- Site Plan
Folder 62: ANDE 379 -- Analysis Worksheets
Folder 63: ANDE 379 -- Catalog Worksheets

Box 6
Folder 64: ANDE 379 -- General Artifact Inventory Forms
Folder 65: ANDE 379 -- Proofing Sheets
Folder 66: ANDE 409 -- Correspondence
Folder 67: ANDE 409 -- Trip Report (Cornelison)
Folder 68: ANDE 409 -- Research Design (Cornelison)_
Folder 69: ANDE 409 -- Field Specimen Log
Folder 70: ANDE 409 -- Journal Recording Notes/Photo Log

Folder 71: ANDE 409 -- Feature Forms
Folder 72: ANDE 409 -- Artifact Analysis Forms
Folder 73: ANDE 429 -- Trip Report
Folder 74: ANDE 430 -- Correspondence
Folder 75: ANDE 430 -- 106 Compliance
Folder 76: ANDE 430 -- Research Design/Scope of Project

Box 7
Folder 77: ANDE 430 -- Project Proposal
Folder 78: ANDE 430 -- Criteria
Folder 79: ANDE 430 -- Progress Reports
Folder 80: ANDE 430 -- Research/Rough Draft for Final Report
Folder 81: ANDE 430 -- Final Report
Folder 82: ANDE 430 -- Contracts and Correspondence
Folder 83: ANDE 430 -- Bound Field Notes
Folder 84: ANDE 430 -- Loose Recording Notes/Field Journal
Folder 85: ANDE 430 -- Loose Feature Notes and Forms
Folder 86: ANDE 430 -- Transit Notes/Elevation Log
Folder 87: ANDE 430 -- Stratigraphic Profile (North Gate Feature)
Folder 88: ANDE 430 -- Illustrations

Box 8
Folder 89: ANDE 430 -- Artifact Inventory
Folder 90: ANDE 430 -- Artifact Cards
Folder 91: ANDE 431 -- Report
Folder 92: ANDE 432 -- Correspondence
Folder 93: ANDE 432 -- Trip Reports
Folder 94: ANDE 432 -- Loose Journal Recording Notes
Folder 95: ANDE 432 -- Burial Notes
Folder 96: ANDE 433 -- Correspondence
Folder 97: ANDE 433 -- Final Report
Folder 98: ANDE 433 -- Photographic Log
Folder 99: ANDE 433 -- Field Notes
Folder 100: ANDE 434 -- Correspondence

Box 9
Folder 101: ANDE 435 -- Antiquities Act Permit and Related Correspondence
Folder 102: ANDE 435 -- General Correspondence
Folder 103: ANDE 435 -- Trip Report
Folder 104: ANDE 435 -- Research Design-Planning
Folder 105: ANDE 435 -- Journal Recording Notes
Folder 106: ANDE 435 -- Shovel/Posthole Test Forms
Folder 107: ANDE 435 -- Analytical Notes/Posthole Tests

Folder 108: ANDE 436 -- General Correspondence
Folder 109: ANDE 436 -- Trip Report
Folder 110: ANDE 436 -- Research Design-Planning
Folder 111: ANDE 436 -- Publication Plates

Box 10
Folder 112: ANDE 436 -- Journal Recording Notes
Folder 113: ANDE 436 -- General Artifact Inventory Form
Folder 114: ANDE 481 -- General Correspondence
Folder 115: ANDE 481 -- Trip Report
Folders 116-17: ANDE 481 -- Research Design
Folder 118: ANDE 481 -- State Site Form
Folder 119: ANDE 481 -- Field Specimen Log
Folder 120: ANDE 481 -- Journal Recording Notes
Folder 121: ANDE 481 -- Artifact Analysis Form
Folder 122: ANDE 542 -- Section 106 Compliance
Folder 124: ANDE 542 -- Trip Report

Box 11
Folder 125: ANDE 542 -- Research Design
Folder 126: ANDE 542 -- Field Specimen Log
Folder 127: ANDE 542 -- Photo Log
Folder 128: ANDE 542 -- Journal Recording Notes
Folder 129: ANDE 542 -- Shovel Test Forms
Folder 130: ANDE 542 -- Plan Maps
Folder 131: ANDE 542 -- Analysis Forms

Box 12
SERIES II: STILL PICTURES

Negatives, ANDE 62 to ANDE 378

Box 13
Negatives, ANDE 379 to ANDE 542

Box 14
Prints, ANDE 62 to ANDE 322

Box 15
Prints, ANDE 355 to ANDE 430

Box 16
Prints, ANDE 433 to ANDE 481

Box 17
Slides, ANDE 322 to ANDE 409

Box 18
Slides, ANDE 430

Drawer A
SERIES III: MAPS

ANDE 62 to ANDE 322

Drawer B
ANDE 355 to ANDE 430

Drawer C
ANDE 432 to ANDE 435

THE FREEDOM OF INFORMATION ACT

5 U.S.C. § 552

As Amended in 2002

§ 552. Public information; agency rules, opinions, orders, records, and proceedings

(a) Each agency shall make available to the public information as follows:

(1) Each agency shall separately state and currently publish in the Federal Register for the guidance of the public--

(A) descriptions of its central and field organization and the established places at which, the employees (and in the case of a uniformed service, the members) from whom, and the methods whereby, the public may obtain information, make submittals or requests, or obtain decisions;

(B) statements of the general course and method by which its functions are channeled and determined, including the nature and requirements of all formal and informal procedures available;

(C) rules of procedure, descriptions of forms available or the places at which forms may be obtained, and instructions as to the scope and contents of all papers, reports, or examinations;

(D) substantive rules of general applicability adopted as authorized by law, and statements of general policy or interpretations of general applicability formulated and adopted by the agency; and

(E) each amendment, revision, or repeal of the foregoing

Except to the extent that a person has actual and timely notice of the terms thereof, a person may not in any manner be required to resort to, or be adversely affected by, a matter required to be published in the Federal Register and not so published. For the purpose of this paragraph, matter reasonably available to the class of persons affected thereby is deemed published in the Federal Register when incorporated by reference therein with the approval of the Director of the Federal Register.

(2) Each agency, in accordance with published rules, shall make available for public inspection and copying--

(A) final opinions, including concurring and dissenting opinions, as well as orders, made in the adjudication of cases;

(B) those statements of policy and interpretations which have been adopted by the agency and are not published in the Federal Register;

(C) administrative staff manuals and instructions to staff that affect a member of the public;

(D) copies of all records, regardless of form or format, which have been released to any person under paragraph (3) and which, because of the nature of their subject matter, the agency determines have become or are likely to become the subject of subsequent requests for substantially the same records; and

Figure D.7 Freedom of Information Act

unless the materials are promptly published and copies offered for sale. For records created on or after November 1, 1996, within one year after such date, each agency shall make such records available, including by computer telecommunications or, if computer telecommunications means have not been established by the agency, by other electronic means. To the extent required to prevent a clearly unwarranted invasion of personal privacy, an agency may delete identifying details when it makes available or publishes an opinion, statement of policy, interpretation, staff manual, instruction, or copies of records referred to in subparagraph (D). However, in each case the justification for the deletion shall be explained fully in writing, and the extent of such deletion shall be indicated on the portion of the record which is made available or published, unless including that indication would harm an interest protected by the exemption in subsection (b) under which the deletion is made. If technically feasible, the extent of the deletion shall be indicated at the place in the record where the deletion was made. Each agency shall also maintain and make available for public inspection and copying current indexes providing identifying information for the public as to any matter issued, adopted, or promulgated after July 4, 1967, and required by this paragraph to be made available or published. Each agency shall promptly publish, quarterly or more frequently, and distribute (by sale or otherwise) copies of each index or supplements thereto unless it determines by order published in the Federal Register that the publication would be unnecessary and impracticable, in which case the agency shall nonetheless provide copies of an index on request at a cost not to exceed the direct cost of duplication. Each agency shall make the index referred to in subparagraph (E) available by computer telecommunications by December 31, 1999. A final order, opinion, statement of policy, interpretation, or staff manual or instruction that affects a member of the public may be relied on, used, or cited as precedent by an agency against a party other than an agency only if--

(i) it has been indexed and either made available or published as provided by this paragraph; or

(ii) the party has actual and timely notice of the terms thereof.

(3)(A) Except with respect to the records made available under paragraphs (1) and (2) of this subsection, and except as provided in subparagraph (E), each agency, upon any request for records which (i) reasonably describes such records and (ii) is made in accordance with published rules stating the time, place, fees (if any), and procedures to be followed, shall make the records promptly available to any person.

(B) In making any record available to a person under this paragraph, an agency shall provide the record in any form or format requested by the person if the record is readily reproducible by the agency in that form or format. Each agency shall make reasonable efforts to maintain its records in forms or formats that are reproducible for purposes of this section.

(C) In responding under this paragraph to a request for records, an agency shall make reasonable efforts to search for the records in electronic form or format, except when such efforts would significantly interfere with the operation of the agency's automated information system.

(D) For purposes of this paragraph, the term "search" means to review, manually or by automated means, agency records for the purpose of locating those records which are responsive to a request.

(E) An agency, or part of an agency, that is an element of the intelligence community (as that term is defined in section 3(4) of the National Security Act of 1947 (50 U.S.C. 401a(4))) shall not make any record available under this paragraph to--

Figure D.7 continued

(i) any government entity, other than a State, territory, commonwealth, or district of the United States, or any subdivision thereof; or

(ii) a representative of a government entity described in clause (i).

(4)(A)(i) In order to carry out the provisions of this section, each agency shall promulgate regulations, pursuant to notice and receipt of public comment, specifying the schedule of fees applicable to the processing of requests under this section and establishing procedures and guidelines for determining when such fees should be waived or reduced. Such schedule shall conform to the guidelines which shall be promulgated, pursuant to notice and receipt of public comment, by the Director of the Office of Management and Budget and which shall provide for a uniform schedule of fees for all agencies.

(ii) Such agency regulations shall provide that--

(I) fees shall be limited to reasonable standard charges for document search, duplication, and review, when records are requested for commercial use;

(II) fees shall be limited to reasonable standard charges for document duplication when records are not sought for commercial use and the request is made by an educational or noncommercial scientific institution, whose purpose is scholarly or scientific research; or a representative of the news media; and

(III) for any request not described in (I) or (II), fees shall be limited to reasonable standard charges for document search and duplication.

(iii) Documents shall be furnished without any charge or at a charge reduced below the fees established under clause (ii) if disclosure of the information is in the public interest because it is likely to contribute significantly to public understanding of the operations or activities of the government and is not primarily in the commercial interest of the requester.

(iv) Fee schedules shall provide for the recovery of only the direct costs of search, duplication, or review. Review costs shall include only the direct costs incurred during the initial examination of a document for the purposes of determining whether the documents must be disclosed under this section and for the purposes of withholding any portions exempt from disclosure under this section. Review costs may not include any costs incurred in resolving issues of law or policy that may be raised in the course of processing a request under this section. No fee may be charged by any agency under this section--

(I) if the costs of routine collection and processing of the fee are likely to equal or exceed the amount of the fee; or

(II) for any request described in clause (ii)(II) or (III) of this subparagraph for the first two hours of search time or for the first one hundred pages of duplication.

(v) No agency may require advance payment of any fee unless the requester has previously failed to pay fees in a timely fashion, or the agency has determined that the fee will exceed $250.

(vi) Nothing in this subparagraph shall supersede fees chargeable under a statute specifically providing for setting the level of fees for particular types of records.

Figure D.7 continued

(vii) In any action by a requester regarding the waiver of fees under this section, the court shall determine the matter de novo, provided that the court's review of the matter shall be limited to the record before the agency.

(B) On complaint, the district court of the United States in the district in which the complainant resides, or has his principal place of business, or in which the agency records are situated, or in the District of Columbia, has jurisdiction to enjoin the agency from withholding agency records and to order the production of any agency records improperly withheld from the complainant. In such a case the court shall determine the matter de novo, and may examine the contents of such agency records in camera to determine whether such records or any part thereof shall be withheld under any of the exemptions set forth in subsection (b) of this section, and the burden is on the agency to sustain its action. In addition to any other matters to which a court accords substantial weight, a court shall accord substantial weight to an affidavit of an agency concerning the agency's determination as to technical feasibility under paragraph (2)(C) and subsection (b) and reproducibility under paragraph (3)(B).

(C) Notwithstanding any other provision of law, the defendant shall serve an answer or otherwise plead to any complaint made under this subsection within thirty days after service upon the defendant of the pleading in which such complaint is made, unless the court other wise directs for good cause is shown.

(D) Repealed by Pub. L. 98-620, Title IV, 402(2), Nov. 8, 1984, 98 Stat. 3335, 3357.

(E) The court may assess against the United States reasonable attorney fees and other litigation costs reasonably incurred in any case under this section in which the complainant has substantially prevailed.

(F) Whenever the court orders the production of any agency records improperly withheld from the complainant and assesses against the United States reasonable attorney fees and other litigation costs, and the court additionally issues a written finding that the circumstances surrounding the withholding raise questions whether agency personnel acted arbitrarily or capriciously with respect to the withholding, the Special Counsel shall promptly initiate a proceeding to determine whether disciplinary action is warranted against the officer or employee who was primarily responsible for the withholding. The Special Counsel, after investigation and consideration of the evidence submitted, shall submit his findings and recommendations to the administrative authority of the agency concerned and shall send copies of the findings and recommendations to the officer or employee or his representative. The administrative authority shall take the corrective action that the Special Counsel recommends.

(G) In the event of noncompliance with the order of the court, the district court may punish for contempt the responsible employee, and in the case of a uniformed service, the responsible member.

(5) Each agency having more than one member shall maintain and make available for public inspection a record of the final votes of each member in every agency proceeding.

(6)(A) Each agency, upon any request for records made under paragraph (1), (2), or (3) of this subsection, shall--

Figure D.7 continued

(i) determine within twenty days (excepting Saturdays, Sundays, and legal public holidays) after the receipt of any such request whether to comply with such request and shall immediately notify the person making such request of such determination and the reasons therefor, and of the right of such person to appeal to the head of the agency any adverse determination; and

(ii) make a determination with respect to any appeal within twenty days (excepting Saturdays, Sundays, and legal public holidays) after the receipt of such appeal. If on appeal the denial of the request for records is in whole or in part upheld, the agency shall notify the person making such request of the provisions for judicial review of that determination under paragraph (4) of this subsection.

(B)(i) In unusual circumstances as specified in this subparagraph, the time limits prescribed in either clause (i) or clause (ii) of subparagraph (A) may be extended by written notice to the person making such request setting forth the unusual circumstances for such extension and the date on which a determination is expected to be dispatched. No such notice shall specify a date that would result in an extension for more than ten working days, except as provided in clause (ii) of this subparagraph.

(ii) With respect to a request for which a written notice under clause (i) extends the time limits prescribed under clause (i) of subparagraph (A), the agency shall notify the person making the request if the request cannot be processed within the time limit specified in that clause and shall provide the person an opportunity to limit the scope of the request so that it may be processed within that time limit or an opportunity to arrange with the agency an alternative time frame for processing the request or a modified request. Refusal by the person to reasonably modify the request or arrange such an alternative time frame shall be considered as a factor in determining whether exceptional circumstances exist for purposes of subparagraph (C).

(iii) As used in this subparagraph, "unusual circumstances" means, but only to the extent reasonably necessary to the proper processing of the particular requests--

(I) the need to search for and collect the requested records from field facilities or other establishments that are separate from the office processing the request;

(II) the need to search for, collect, and appropriately examine a voluminous amount of separate and distinct records which are demanded in a single request; or

(III) the need for consultation, which shall be conducted with all practicable speed, with another agency having a substantial interest in the determination of the request or among two or more components of the agency having substantial subject matter interest therein.

(iv) Each agency may promulgate regulations, pursuant to notice and receipt of public comment, providing for the aggregation of certain requests by the same requestor, or by a group of requestors acting in concert, if the agency reasonably believes that such requests actually constitute a single request, which would otherwise satisfy the unusual circumstances specified in this subparagraph, and the requests involve clearly related matters. Multiple requests involving unrelated matters shall not be aggregated.

Figure D.7 continued

(C)(i) Any person making a request to any agency for records under paragraph (1), (2), or (3) of this subsection shall be deemed to have exhausted his administrative remedies with respect to such request if the agency fails to comply with the applicable time limit provisions of this paragraph. If the Government can show exceptional circumstances exist and that the agency is exercising due diligence in responding to the request, the court may retain jurisdiction and allow the agency additional time to complete its review of the records. Upon any determination by an agency to comply with a request for records, the records shall be made promptly available to such person making such request. Any notification of denial of any request for records under this subsection shall set forth the names and titles or positions of each person responsible for the denial of such request.

(ii) For purposes of this subparagraph, the term "exceptional circumstances" does not include a delay that results from a predictable agency workload of requests under this section, unless the agency demonstrates reasonable progress in reducing its backlog of pending requests.

(iii) Refusal by a person to reasonably modify the scope of a request or arrange an alternative time frame for processing the request (or a modified request) under clause (ii) after being given an opportunity to do so by the agency to whom the person made the request shall be considered as a factor in determining whether exceptional circumstances exist for purposes of this subparagraph.

(D)(i) Each agency may promulgate regulations, pursuant to notice and receipt of public comment, providing for multitrack processing of requests for records based on the amount of work or time (or both) involved in processing requests.

(ii) Regulations under this subparagraph may provide a person making a request that does not qualify for the fastest multitrack processing an opportunity to limit the scope of the request in order to qualify for faster processing.

(iii) This subparagraph shall not be considered to affect the requirement under subparagraph (C) to exercise due diligence.

(E)(i) Each agency shall promulgate regulations, pursuant to notice and receipt of public comment, providing for expedited processing of requests for records—

(I) in cases in which the person requesting the records demonstrates a compelling need; and

(II) in other cases determined by the agency.

(ii) Notwithstanding clause (i), regulations under this subparagraph must ensure--

(I) that a determination of whether to provide expedited processing shall be made, and notice of the determination shall be provided to the person making the request, within 10 days after the date of the request; and

(II) expeditious consideration of administrative appeals of such determinations of whether to provide expedited processing.

(iii) An agency shall process as soon as practicable any request for records to which the agency has granted expedited processing under this subparagraph. Agency action to deny or affirm denial of a request for expedited processing pursuant to this subparagraph, and failure by an agency to respond in a timely manner to such a request shall be subject to judicial review under paragraph (4), except that the judicial review shall be based on the record before the agency at the time of the determination.

Figure D.7 continued

(iv) A district court of the United States shall not have jurisdiction to review an agency denial of expedited processing of a request for records after the agency has provided a complete response to the request.

(v) For purposes of this subparagraph, the term "compelling need" means--

(I) that a failure to obtain requested records on an expedited basis under this paragraph could reasonably be expected to pose an imminent threat to the life or physical safety of an individual; or

(II) with respect to a request made by a person primarily engaged in disseminating information, urgency to inform the public concerning actual or alleged Federal Government activity.

(vi) A demonstration of a compelling need by a person making a request for expedited processing shall be made by a statement certified by such person to be true and correct to the best of such person's knowledge and belief.

(F) In denying a request for records, in whole or in part, an agency shall make a reasonable effort to estimate the volume of any requested matter the provision of which is denied, and shall provide any such estimate to the person making the request, unless providing such estimate would harm an interest protected by the exemption in subsection (b) pursuant to which the denial is made.

(b) This section does not apply to matters that are--

(1)(A) specifically authorized under criteria established by an Executive order to be kept secret in the interest of national defense or foreign policy and (B) are in fact properly classified pursuant to such Executive order;

(2) related solely to the internal personnel rules and practices of an agency;

(3) specifically exempted from disclosure by statute (other than section 552b of this title), provided that such statute (A) requires that the matters be withheld from the public in such a manner as to leave no discretion on the issue, or (B) establishes particular criteria for withholding or refers to particular types of matters to be withheld;

(4) trade secrets and commercial or financial information obtained from a person and privileged or confidential;

(5) inter-agency or intra-agency memorandums or letters which would not be available by law to a party other than an agency in litigation with the agency;

(6) personnel and medical files and similar files the disclosure of which would constitute a clearly unwarranted invasion of personal privacy;

Figure D.7 continued

(7) records or information compiled for law enforcement purposes, but only to the extent that the production of such law enforcement records or information (A) could reasonably be expected to interfere with enforcement proceedings, (B) would deprive a person of a right to a fair trial or an impartial adjudication, (C) could reasonably be expected to constitute an unwarranted invasion of personal privacy, (D) could reasonably be expected to disclose the identity of a confidential source, including a State, local, or foreign agency or authority or any private institution which furnished information on a confidential basis, and, in the case of a record or information compiled by a criminal law enforcement authority in the course of a criminal investigation or by an agency conducting a lawful national security intelligence investigation, information furnished by a confidential source, (E) would disclose techniques and procedures for law enforcement investigations or prosecutions, or would disclose guidelines for law enforcement investigations or prosecutions if such disclosure could reasonably be expected to risk circumvention of the law, or (F) could reasonably be expected to endanger the life or physical safety of any individual;

(8) contained in or related to examination, operating, or condition reports prepared by, on behalf of, or for the use of an agency responsible for the regulation or supervision of financial institutions; or

(9) geological and geophysical information and data, including maps, concerning wells.

Any reasonably segregable portion of a record shall be provided to any person requesting such record after deletion of the portions which are exempt under this subsection. The amount of information deleted shall be indicated on the released portion of the record, unless including that indication would harm an interest protected by the exemption in this subsection under which the deletion is made. If technically feasible, the amount of the information deleted shall be indicated at the place in the record where such deletion is made.

(c)(1) Whenever a request is made which involves access to records described in subsection (b)(7)(A) and--

(A) the investigation or proceeding involves a possible violation of criminal law; and

(B) there is reason to believe that (i) the subject of the investigation or proceeding is not aware of its pendency, and (ii) disclosure of the existence of the records could reasonably be expected to interfere with enforcement proceedings, the agency may, during only such time as that circumstance continues, treat the records as not subject to the requirements of this section.

(2) Whenever informant records maintained by a criminal law enforcement agency under an informant's name or personal identifier are requested by a third party according to the informant's name or personal identifier, the agency may treat the records as not subject to the requirements of this section unless the informant's status as an informant has been officially confirmed.

(3) Whenever a request is made which involves access to records maintained by the Federal Bureau of Investigation pertaining to foreign intelligence or counterintelligence, or international terrorism, and the existence of the records is classified information as provided in subsection (b)(1), the Bureau may, as long as the existence of the records remains classified information, treat the records as not subject to the requirements of this section.

(d) This section does not authorize the withholding of information or limit the availability of records to the public, except as specifically stated in this section. This section is not authority to withhold information from Congress.

Figure D. 7 continued

(e)(1) On or before February 1 of each year, each agency shall submit to the Attorney General of the United States a report which shall cover the preceding fiscal year and which shall include--

(A) the number of determinations made by the agency not to comply with requests for records made to such agency under subsection (a) and the reasons for each such determination;

(B)(i) the number of appeals made by persons under subsection (a)(6), the result of such appeals, and the reason for the action upon each appeal that results in a denial of information; and

(ii) a complete list of all statutes that the agency relies upon to authorize the agency to withhold information under subsection (b)(3), a description of whether a court has upheld the decision of the agency to withhold information under each such statute, and a concise description of the scope of any information withheld;

(C) the number of requests for records pending before the agency as of September 30 of the preceding year, and the median number of days that such requests had been pending before the agency as of that date;

(D) the number of requests for records received by the agency and the number of requests which the agency processed;

(E) the median number of days taken by the agency to process different types of requests;

(F) the total amount of fees collected by the agency for processing requests; and

(G) the number of full-time staff of the agency devoted to processing requests for records under this section, and the total amount expended by the agency for processing such requests.

(2) Each agency shall make each such report available to the public including by computer telecommunications, or if computer telecommunications means have not been established by the agency, by other electronic means.

(3) The Attorney General of the United States shall make each report which has been made available by electronic means available at a single electronic access point. The Attorney General of the United States shall notify the Chairman and ranking minority member of the Committee on Government Reform and Oversight of the House of Representatives and the Chairman and ranking minority member of the Committees on Governmental Affairs and the Judiciary of the Senate, no later than April 1 of the year in which each such report is issued, that such reports are available by electronic means.

(4) The Attorney General of the United States, in consultation with the Director of the Office of Management and Budget, shall develop reporting and performance guidelines in connection with reports required by this subsection by October 1, 1997, and may establish additional requirements for such reports as the Attorney General determines may be useful.

Figure D.7 continued

(5) The Attorney General of the United States shall submit an annual report on or before April 1 of each calendar year which shall include for the prior calendar year a listing of the number of cases arising under this section, the exemption involved in each case, the disposition of such case, and the cost, fees, and penalties assessed under subparagraphs (E), (F), and (G) of subsection (a)(4). Such report shall also include a description of the efforts undertaken by the Department of Justice to encourage agency compliance with this section.

(f) For purposes of this section, the term--

(1) "agency" as defined in section 551(1) of this title includes any executive department, military department, Government corporation, Government controlled corporation, or other establishment in the executive branch of the Government (including the Executive Office of the President), or any independent regulatory agency; and

(2) "record" and any other term used in this section in reference to information includes any information that would be an agency record subject to the requirements of this section when maintained by an agency in any format, including an electronic format.

(g) The head of each agency shall prepare and make publicly available upon request, reference material or a guide for requesting records or information from the agency, subject to the exemptions in subsection (b), including--

(1) an index of all major information systems of the agency;

(2) a description of major information and record locator systems maintained by the agency; and

(3) a handbook for obtaining various types and categories of public information from the agency pursuant to chapter 35 of title 44, and under this section.

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Last Updated December 23, 2002
usdoj/jmd/ls/caf

Figure D.7 continued

US Department of the Interior
National Park Service

Researcher Registration Form

Name: _____ Date: _____

Picture ID card type, State Control Number: _____

Institutional affiliation: _____

Work address: _____

_____

Phone:_____ FAX: _____ E-Mail: _____

Home address: _____

_____

Phone:_____ FAX: _____ E-Mail: _____

Contacted Park through:
Visit____ Letter____ Phone call____ FAX____ E-mail____ FOIA____ Subpoena_____

Research project summary: _____

_____

_____

Publication plans (publisher, type of publication and date): _____

_____

Researcher Duplication Form Numbers: _____

Other special requirements: _____

Collections used (Name and box number; Use reverse): _____

Figure D.8 Researcher Registration Form

US Department of the Interior
National Park Service

Copyright and Privacy Restrictions

The copyright law of the United States (Title 17, *United States Code*) governs the making of photocopies or other reproductions of copyrighted materials. The various state privacy acts govern the use of materials that document private individuals, groups, and corporations.

Under certain conditions specified in the law, libraries and archives are authorized to furnish a reproduction if the document does not infringe the privacy rights of an individual, group, or corporation. These specified conditions of authorized use include:

- non-commercial and non-profit study, scholarship, or research, or teaching
- criticism, commentary, or news reporting
- as a NPS preservation or security copy
- as a research copy for deposit in another institution

If I, the researcher, later use a copy or reproduction for purposes in excess of "fair use," I, the researcher, am personally liable for copyright, privacy, or publicity infringement and agrees to indemnify the NPS from any legal action as a result of the error. The [Park's] permission to obtain a photographic, xerographic, digital, or other copy of a document **doesn't** indicate permission to publish, exhibit, perform, reproduce, sell, distribute, or prepare derivative works from this document without first obtaining permission from the copyright holder and from any private individual, group, or corporation shown or otherwise recorded.

Permission to publish, exhibit, perform, reproduce, prepare derivative works from, sell, or otherwise distribute the item must be obtained by the researcher separately in writing from the holder of the original copyright (or if the creator is dead from his/her heirs) as well as from any individual(s), groups, or corporations whose name, image, recorded words, or private information (e.g., employment information) may be reproduced in the source material. The holder of the original copyright **isn't** necessarily the National Park Service. The National Park Service is not legally liable for copyright, privacy, or publicity infringement when materials are wrongfully used after being provided to researchers for "fair use."

This institution reserves the right to refuse to accept a copying order if fulfillment of the order is judged in violation of copyright or federal or state privacy or publicity law. This institution also places restrictions on the use of cameras, photocopiers, and scanners in the research room.

I, the researcher, understand and agree to the above terms and will indemnify, defend, save, and hold the National Park Service harmless from all claims, demands, losses, or damages (including attorney's fees and expenses) arising out of any legal action, settlement, or adjustment resulting from my not having followed the guidelines provided above.

_____	_____	_____
Printed Name	Signature	Date

Figure D.9 Copyright and Privacy Restrictions

Access Policies and Rules Governing Use
[Name of Park]

Availability
Researchers are encouraged to complete their preliminary research at archives and libraries with a broader topical focus before approaching the holdings of the [Park]. NPS has limited reference staff and research resources that must be made available to researchers whose work focuses on materials available only at the [Park]. Access to materials is dependent upon their physical condition and the level of processing to-date by the NPS. All research must be done on-site in the research room.

Access
- Researchers should submit a written request to the curatorial office, detailing their research project to the curatorial staff.
- Requests for materials should be submitted with enough lead time to allow for the evaluation of the request and the scheduling of curatorial staff to oversee the research.
- All research requests should be addressed to:
  Curatorial Office, [Park], [Street Address]
- Approval of all requests will be based on availability of curatorial staff to supervise researchers.
- The curatorial staff at [Park] requests that the researcher read the abstracts in the archival guide or finding aids before requesting to view any collection of documents.
- To ensure the conservation and security of this resource, browsing is not permitted.

Citations

- When crediting the park, list "National Park Service"; the full park name; collection title; the catalog, box, folder, and image numbers; and credit the creator of the item (e.g., photographer).

Reading Room Rules
- Only lead pencils, not pens or markers, may be used for note taking.
- Scanners, portable photocopy machines, and cameras (including digital cameras) are pro hibited to avoid damage to materials and copyright infringement.
- Use of tape recorders, typewriters, and portable computers is subject to security procedures. Use of any equipment must not bother other researchers.
- No food, beverages, or smoking will be allowed in the reading room area.
- No coats, packages, containers, folders, cases (including briefcases), or bags (including handbags larger than wallets) are permitted in the reading room area.
- Copying is available within reasonable limits at 25 cents per page.
- The reading room will close if no supervisory staff is available.
- Researchers must maintain quiet in the reading room.
- Researchers register annually and must sign in and out each time they enter or leave.

Figure D.10 Access Policies and Rules Governing Use (Sample)

Access Policies and Rules Governing Use
[Name of Park]

Reading Room Rules (continued)

- Researchers may not remove any archival or manuscript materials from the reading room.
- Researchers may work with archival or manuscript materials only in the reading room, not in museum storage or staff work spaces.
- Researchers must submit prepaid written requests for copies or duplicates.
- Researchers must submit for inspection all materials carried into and out of the reading room.
- The park reserves the right to limit access to fragile or restricted collections.
- The park archives is not a lending library. All materials must be used in the reading room.
- Researchers will work with only one document from one folder from one box of materials at a time to avoid damaging a collection's original order.
- Researchers who disregard these rules or endanger the records or the work of others will be denied access.

Permission to obtain a copy for scholarly purposes does not constitute permission to publish

[See Copyright and Privacy Restrictions Statement.]

Handling

- When handling the archival and manuscript materials, only one folder may be removed from a box at a time, and folders must be laid flat on the table.
- Documents should be handled with utmost care and viewed only one at a time.
- Manuscripts and books may not be leaned on, written on, folded, traced over, or handled in any manner that may damage them.
- Researchers must maintain the original order of documents within their folders. Attending staff should be contacted if there is any sign of damage or if items appear to be out of order.
- No attempt should be made to reorder or rearrange the documents or folders or to repair any physical damage.
- Cotton gloves must be used when handling photographic images.
- Only one box or volume of material will be issued at one time.
- Latex gloves must be worn when working with materials that may pose a health hazard.

I understand the rules listed above and will abide by them.

_____	_____	_____
Printed Name of Researcher	Signature of Researcher	Date

Figure D.10 continued

US Department of the Interior
National Park Service

Researcher Duplication Form

Name: _____

ID type and number _____ Type/Amount of deposit: _____

Affiliation _____ Date order was filled: _____ Who filled it: _____

Reason for copies: _____Publication _____Research _____Exhibit _____Product development

_____Teaching _____Criticism _____Other (Describe): _____

Please describe any special duplication needs, such as blow-ups or rush job (extra cost):

_____

_____

_____

Collection Title	Location: Box, Folder, and Item Numbers (ex.-B35, F18, I44)	Describe Item (e.g., 3x5 color photo of X, Letter by Y)	Number & Type of Copy wanted (1-8 x 10" b/w glossy photo, 1-30K gif file on 3.5" diskette, 5-photocopies)

I understand, that unless authorized elsewhere by Park staff in writing, that the copies provided here are for non-commercial and non-profit research, news reporting, criticism, and commentary purposes only. The provision of copies does not authorize me to publish, exhibit, distribute, sell, perform, reproduce, or prepare derivative works from the copies I receive. I indemnify the park from any legal liability resulting from my use of these copies.

Signature: _____ Date: _____

Figure D.11 Researcher Duplication Form

Appendix E: Archeology

Page

A. Archeology Classification E:1
When do I classify objects as archeology? E:1
How do I classify archeology objects? E:1
Can I make changes to the classification? E:1
What if the object consists of more than one material? E:1
How should I catalog floral and faunal specimens that are recovered in an archeological excavation? E:2
What are the classification terms for the archeology classification? E:2

B. Archeology Object Names E:4
How do I name archeology objects? E:4
Does ANCS+ include a table of object names for archeology? E:4

C. Cataloging Archeology E:5
Where can I find the guidelines for cataloging archeology objects? E:5
Are there specific cataloging requirements for archeology? E:5
What are the ANCS+ discipline-specific fields for archeology? E:5

D. Within Site Provenience Abbreviations E:6

E. Archeology Object Name List E:8

APPENDIX E: ARCHEOLOGY

A. Archeology Classification

1. *When do I classify objects as archeology?*

Use the archeology classification for all objects that were recovered as a result of a systematic investigation using archeological techniques. They may come from dry land or underwater excavations. You should also catalog isolated surface finds as archeology.

> ***Catalog associated archeological field records as archival and manuscript collections. Process them according to the procedures in Appendix D of this handbook. Cross-reference the records and objects.***

2. *How do I classify archeology objects?*

Classify archeology objects according to general time period and material of manufacture. The time period is divided into prehistoric (before European contact) or historic (after European contact). Historic archeological objects may have originated from known Native American groups or Anglo-European/Eurasian peoples.

The NPS classification for archeological objects has four lines. You must complete all four lines of the classification.

- line one is the discipline (archeology)
- line two is the time period based on European contact (prehistoric, historic, or unknown)
- line three is a broad class of material, such as mineral or vegetal
- line four is a specific class of material that is a subset of the material on line three, such as stone or wood

Example:	Archeology	Archeology
	Prehistoric	Historic
	Mineral	Vegetal
	Ceramic	Wood

3. *Can I make changes to the classification?*

No. The four-line classification for archeology appears in locked tables in ANCS+. You can't make changes to these tables.

Refer to Section I of Chapter 2 in the *ANCS+ User Manual* for instructions on using ANCS+ to classify and catalog archeological collections.

4. *What if the object consists of more than one material?*

Many objects are made of more than one material. Classify these objects by:

- predominant manufacture material on classification line 3, and entering only one term on classification line 4, *or*
- entering "Composite" on classification line 3, and entering more than one type of material on classification line 4

For example, you could classify a stone axe with a wooden handle using the predominant material or as a composite of stone and wood. Using the predominant material, classification lines 3 and 4 would be:

Line 3:Mineral
Line 4:Stone

Using Composite as the line 3 entry, classification lines 3 and 4 would be:

Line 3:Composite
Line 4: Stone -- Wood

5. *How should I catalog floral and faunal specimens that are recovered in an archeological excavation?*

Catalog floral and faunal specimens recovered in an archeological excavation as archeology. Enter the genus and species on the catalog record, if known. Choose a field where you will enter these data consistently for all specimens.

6. *What are the classification terms for the archeology classification?*

Use the following information in the four classification lines in ANCS+.

Classification Line 1

Archeology

Classification Line 2

Use one of these terms:

Historic	(period after European contact)
Prehistoric	(period before European contact)
Unknown	(unknown at this time)

Classification Line 3

Use one of these terms:

Animal
Composite
Human Remains
Mineral
Unidentified Material
Vegetal

Note: For an object made of more than one material, use either the predominant material or Composite. See Section A.4 above.

Classification Line 4

Classification line 4 terms are dependent on classification line 3 terms.

For Animal, choose one of the following:

Antler	
Bone	(includes teeth, carapace, fish scales)
Coral	
Feather	
Hair	
Hide	(includes skin, fur, hair, leather, sinew gut, etc.)
Horn	
Ivory	
Other Animal Materials	
Quill	
Shell	

For Composite, choose one of the following:

Antler
Artifactual
Bone
Ceramic
Clay
Coral
Feather
Fibers
Glass
Hair
Hide
Horn
Ivory
Metal
Mud
Mummified
Osteological
Other Animal Materials
Other Human Remains
Other Mineral Materials
Other Plant Materials
Paper
Quill
Reeds
Shell
Soil
Stone
Synthetic
Unidentified
Unknown
Wood

For Human Remains, choose one of the following:

Artifactual	(any artifacts made from human remains)
Mummified	(includes fortuitous desiccation)
Osteological	
Other Human Remains	

For Mineral, choose one of the following:

Ceramic
Clay
Glass
Metal
Mud
Other Mineral Materials
Soil
Stone
Synthetic

Note: Ceramic is fired. Clay, Mud, and Soil are unfired.

For Vegetal, choose one of the following:

Fibers
Other Plant Materials(includes gourds, stems, leaves)
Paper
Reeds
Wood (includes twigs, bark)

For Unidentified Material, choose:

Unidentified

B. Archeology Object Names

1. *How do I name archeolgoy objects?*

There is no required lexicon for naming archeology objects. ANCS+ has an Object field, an Alternate Name field, and a Revised Nomenclature field for entering object names. You must complete the Object field. The other two fields are optional.

To name an object, use:

- a park-specific object name list
- the object name list for prehistoric material in Section E of this appendix
- a list of object names from an NPS center, such as the Southeast Archeological Center (SEAC) or the Western Archeological and Conservation Center (WACC)
- *The Revised Nomenclature for Museum Cataloging (Revised Nomenclature)* for a list of suggested object names for historic material

If you are unsure of which list to use, contact your regional/support office curator or regional archeologist.

Note: If your region has an NPS archeological center**,** it's a good idea to get a list of names from the center. The center's list will include the types of material in your region. Using a center's list will also help keep names consistent within the region.

Be consistent when naming objects. Consistency will give you and others better access to the data in your collection.

2. *Does ANCS+ include a table of object names for archeology?*

No. The ANCS+ Object field is a user-built table for archeology. You can enter the names you want for your site. You may have entries in this table from your ANCS conversion. The program built a table from the archeology entries on your old ANCS records. Check this table to make sure that names are consistent. You can add, modify, and delete entries as needed.

C. Cataloging Archeology

1. *Where can I find the guidelines for cataloging archeology objects?*

Refer to Chapter 3 in this handbook for general guidelines on cataloging. Refer to Section I of Chapter 2 in the *ANCS+ User Manual* for field-by-field instructions for cataloging archeology objects in ANCS+.

2. *Are there specific cataloging requirements for archeology?*

Yes. Provenience data are mandatory for archeology objects. You must enter data in one of the following fields:

- Field Site Number
- State Site Number
- Site Name
- Within Site Provenience

ANCS+ will enter Not Provided in all these fields if you don't complete at least one of them.

Note: A list of within site provenience terms and abbreviations appears in Section D of this appendix.

3. *What are the ANCS+ discipline-specific fields for archeology?*

The following list of fields appears on the archeology discipline-specific screen in ANCS+. None of these fields are mandatory.

Collector
    Collection Date
    Collector
Color
Decorative Motif
Decorative Technique
Field Specimen Number
Makers Mark
Manufacturing Technique
Object Form
Object Part
Previous Catalog Number
Revised Nomenclature
Temper
Type Name

Note: These fields don't print on the paper Museum Catalog Record, Form 10-254 Rev.. You can print the data from these fields using the All Fields report in ANCS+.

D. Within Site Provenience Abbreviations

Some common within site provenience terms and abbreviations appear below.

Term(s)	Abbreviations
Above mean sea level	AMSL
Alcove	ALC
Antechamber	ACHBR
Area	AREA
Ashpit	ASHP
Associated with	ASSOC
Back	BK
Backdirt	BKD or BKDT
Bedrock	BDRK
Below datum	BD
Below ground surface	BGS
Below mean sea level	BMSL
Below surface	BS
Block	BLK
Bottom	B
Burial	BUR
Cob pit	CP
Core sample	CORE
Column sample	COL
Control	CTR
Controlled surface collection	CSC
Control	CTR
Cremation	CREM
Cross section	CS
Datum	DAT
Depth	D
East	E
East half	EH
Entry	ENTRY
Excavation unit	EU
Exterior	EXT
Feature	FEAT
Feet	FT
Fill	FILL
Find	FIND
Fire pit	FP
Floor	FL
Floor fill	FF
Fort	FORT
Front	F
General plow zone	GPZ
General surface collection	GSC
Grid	GRID
Grid square	GSQ
Hearth	H
Horizon	HOR
House	HSE
Humus	HU
Interior	INT
Kiva	K

Layer	LA
Left	LT
Level	LV
Metal detector test	MDET
Meter	M
Midden	MID
Mile	MI
Mound	MD
Natural level	NATLV
North	N
North half	NH
Original ground surface	OGS
Ossuary	OS
Outline	OL
Piece plot	PP
Pit	P
Pit house	PTHS
Plaza	PL
Plow zone	PZ
Post hole	PH
Post mold	PM
Power auger test	PAT
Profile	PROF
Present ground surface	PGS
Quadrant	Q
Quadrant northeast	QNE
Quadrant northwest	QNW
Quadrant southeast	QSE
Quadrant southwest	QSW
Outlining trenches	TROTL
Right	RT
Room	RM
Section	SECT
Shell concentration	SC
Shovel test	ST
South	S
South half	SH
Stratigraphic survey	SS
Stratum	STRA
Structure	STRU
Structured shovel test (controlled)	SST
Subfloor	SF
Surface	SURF
Square	SQ
Terrace	TERR
Test excavation unit	TU
Test pit	TP
Test square	TSQ
Test trench	TT
Top	T
Transect	TS
Trash pit	TRP
Trash mound	TM
Trench	TR
Trimmings	TRIM
Trowel test	TT
Unit	U
Village site	VS
Lost provenience	UNKNOWN

Unstructured shoveltest (uncontrolled)	UST
Unstructured surface collection (uncontrolled)	USC
Wall	WALL
West	W
West half	WH
Zone	Z

E. Archeology Object Name List

The following list of object names is adapted from the Arizona State Museum. It gives examples of object names for prehistoric objects. It is not a definitive lexicon of acceptable object names. Refer to Section B.1 for information on object names.

Abrader
Adobe
Adze Blade
Adze Head
Antler Artifact
Apache Tear
Apron
Armor Slat
Arrow
Arrow Foreshaft
Arrow Shaft
Atlatl
Atlatl Foreshaft
Atlatl Shaft
Awl
Axe

Bag
Bag Handle
Bag, Apron
Bag, Awl
Bag, Pipe
Ball
Band
Basket
Basket, Burden
Basketry Fragment
Basketry Fragment, Cord
Basketry Fragment, Sherd
Baton
Batten
Bead
Beaker
Beam
Beamer
Bell
Belt
Biface
Blade
Blank
Blank, Disk
Blanket
Blouse

Blubber Hook Prong
Blubber Scraper
Bola
Bola Weight
Bone Artifact
Bottle
Bottle, Water Bow
Bow
Bowl
Bowl, Effigy
Bowl, Rattle
Bowl, Seed
Bowl, Sherd
Box
Bracelet
Brush
Buckle
Building Material
Bull Roarer
Bundle
Bundle, Cord
Burin
Button

Cane
Cane Cigarette
Canteen
Canteen, Effigy
Cauldron
Censer
Censer, Effigy
Chisel
Chopper
Cigarette
Clasp
Clay Artifact
Cleaver
Club
Colander
Comb
Concretion
Container
Coprolite
Cord
Cord/Bead
Cordage
Core
Core, Chopper
Core, Hammerstone
Core Fragment
Core/Microblade
Core Tool
Corn Husk Knot
Corn Leaf Knot
Cover
Cover, Pot
Cradle
Cradle Board
Cradle Board Belt

Cradle Board Frame
Crystal
Cup
Cylinder

Dart, Atlatl
Debitage
Die
Digging Stick
Dipper
Dipper Handle
Dipper Sherd
Discoid
Discoid/Hammerstone
Dish
Disk
Drill

Endblade
Effigy, Animal
Effigy, Bird
Effigy Jar, Horned Lizard

Faunal Material
Fetish
Figurine
Fire Drill
Fire Drill Shaft
Flake
Flake, Retouched
Flake Tool
Flake, Utilized
Flake, Waste
Flaker
Flesher
Float
Floral Material
Flute

Gaming Piece
Gouge
Gourd
Gourd Jar
Graver
Grinding Slab
Guard, Wrist

Hairpin
Hammerstone
Handle
Harpoon Foreshaft
Harpoon Head
Harpoon Part
Harpoon Point
Heddle Stick
Hoe
Hook
Hoop
Human Remains

Ivory Artifact

Jar
Jar Base
Jar, Cord
Jar, Effigy
Jar, Gourd
Jar, Sherd
Jar, Seed
Jar, Seed, Bird Effigy

Kiaha
Kiaha Helping-stick
Kilt
Knife
Knife Handle
Knife, Tabular
Knot

Labret
Ladder
Ladle
Ladle Rattle Handle
Ladle, Effigy
Lamp
Leather Artifact
Leister
Lid
Lime Container
Line Weight
Lintel
Loom Anchor
Loop

Mano
Mat
Mat Fragment
Mat/Basketry Fragment
Mat/Cord
Mattock Blade
Maul
Medal
Medicine Box
Medicine Stone
Metate
Microblade
Moccasin
Mug

Nail
Necklace
Necklace/Bracelet
Needle
Needle Case
Net
Net Float
Net, Burden

Ojos de Dios

Pad
Paddle
Palette
Patch
Pebble
Pebble Tool
Peg
Pendant
Pestle
Pick
Pick, Ice
Pigment
Pipe
Pitcher
Pitcher, Effigy
Plank
Plaque
Plate
Plate, Jar Base
Plate, Legged
Plate, Tripod
Point, Bird
Poncho
Pot, Bird
Pot Rest
Pot Ring
Pouch and Contents
Prayer Feather
Prayer Plume
Prayer Stick
Preform
Projectile Point
Punch

Quid
Quiver

Rabbit Stick
Rasp
Rattle
Raw Material
Ring
Ring Vessel
Robe
Robe/Belt
Robe/Textile Fragment
Rod
Rope
Rope/Cord
Rope/Cord/Yarn

Sample
Sandal
Sandal Last
Sandal/Cord
Saucer
Scalp Lock

Scat
Scoop
Scoop, Effigy
Scraper
Scraper, End
Scraper, Side
Seed Beater
Shaft
Shaft Smoother
Shawl
Shell
Sherd Artifact
Sherd Disc
Sherd
Sherd, Worked
Shirt
Shovel Blade
Sinew Twister
Sinker
Slab
Sled Runner
Sling
Snare
Snare Stick
Snowshoe
Sock
Soil
Spall
Spear Point
Spindle
Spindle Stick
Spindle Whorl
Split Twig Figurine
Spoon
Stone Artifact
Stone, Polishing
Stopper
Strainer
Strip

Tablita
Textile
Textile Artifact/Plaster Cast
Thread
Throwing Stick
Tinkler
Toggle
Tooth Artifact
Tooth Fragment
Torch
Tray
Tube
Tumbler
Tump Strap

Ulu Blade
Ulu Handle
Unidentified Artifact

Vase
Vegetal Artifact
Vegetal Material
Vessel
Vessel, Effigy

Weaving Stick
Whetstone
Whistle
Wig/Cord
Winged Object
Wood Artifact
Wristlet

Yarn
Yarn/Cord
Yucca Knot
Yucca Knot/Raw Material

Appendix F: Ethnology

Page

A. Ethnology Classification F:1
When do I classify objects as ethnology? F:1
How do I classify ethnology objects? F:1
Can I make changes in the classification? F:1
What about ethnographic objects from areas outside North America and the Pacific Islands? F:2
How do I classify materials from Oceania? F:2
What if I'm unsure of the cultural area or cultural group? F:2
What if a group no longer occupies its traditional culture area? F:2
How do I classify objects affiliated with more than one group? F:2
How do I classify Euro-American style artwork by Native Americans? F:2
How do I classify non-indigenous tradegoods? F:3
What are the classification terms for the ethnology classification? F:3
What should I do about names not on the standardized classification lists in Section D? F:5

B. Ethnology Object Names F:5
How do I name ethnology objects? F:5
Does ANCS+ include a table of object names for ethnology? F:5

C. Cataloging Ethnology F:6
Where can I find guidelines for cataloging ethnology? F:6
How do I record cultural affiliation of use vs. cultural affiliation of manufacture? F:6
How do I record two distinct cultural affiliations of manufacture? F:6
What are the ANCS+ discipline-specific fields for ethnology? F:6

D. Cultural Area and Cultural Group Classification F:6

APPENDIX F: ETHNOLOGY

A. Ethnology Classification

1. *When do I classify objects as ethnology?*

Use the ethnology classification for objects produced by or associated with Native Americans or other indigenous peoples from contemporary cultures. Most NPS ethnographic collections are from Native American, Polynesian, or Micronesian peoples who:

- have occupied an area within a park, *or*
- have some other present or past park association

Note: Classify all objects recovered by archeological means as archeology.

Catalog the associated records that document the collection and study of ethnographic collections as archival and manuscript collections. Process them according to the procedures in Appendix D of this handbook. Cross-reference the records and objects.

2. *How do I classify ethnology objects?*

Classify ethnology objects according to the geographic cultural area, the cultural group, and material of manufacture.

The NPS classification for ethnology objects has four lines. You must complete all four lines of the classification.

- line one is the discipline (ethnology)
- line two is the geographic culture area (such as Arctic, Plains)
- line three is the cultural group within the area (such as Aleut, Kiowa)
- line four is the material from which the object is made

Example:	Ethnology	Ethnology
	Southwest	Northeast
	Navajo	Huron
	Clay	Plant/Stone

Note: Use the most specific cultural group known. For example, use Southen Miwok rather than Miwok.

3. *Can I make changes in the classification?*

No. The four-line classification for ethnology appears in locked tables in ANCS+. You can't make changes to these tables.

Refer to Section III of Chapter 2 in the *ANCS+ User Manual* for instructions on using ANCS+ to classify and catalog ethnology collections.

4. *What about ethnographic objects from areas outside North America and the Pacific Islands?*

NPS museum collections have few ethnographic objects from South America, Africa, and other geographic areas outside North America and the Pacific Islands. You can use the ethnology classification to catalog objects produced by indigenous peoples from these locations. The ANCS+ program:

- includes other continents as geographic areas for line two of the classification
- doesn't include cultural groups for these areas

You must use Unknown for line three of the classification, and enter the cultural group in the Cultural Identification or Culture of Use fields. If you're unsure of the cultural groups for these areas, consult G.P. Murdock's *Outline of World Cultures*, 6th Edition, 1983.

5. *How do I classify materials from Oceania?*

Use Melanesia, Micronesia and Polynesia in classification line two for the islands of Oceania. Use Island groupings, rather than specific cultural group names for classification line three. See Section D of this appendix for entries. If you know the specific island, village, or cultural group, enter it in the Additional Groups field in ANCS+.

6. *What if I'm unsure of the cultural area or cultural group?*

If you're not sure of a cultural area or cultural group, use the Possible/Probable Classification field in ANCS+. This field allows you to enter a possible or probable classification for both cultural area and cultural group. This field appears on the ethnology specialty screen.

You may also use Unknown as an entry for the cultural area and cultural group. If you're totally unsure of an entry, use Unknown.

Note: Cultural affiliation may be a sensitive issue in terms of NAGPRA. You may need to do research to prove or confirm the cultural group. Check the accession records for information. For sensitive objects, work with a NPS ethnographer on consultation strategies and identification of cultural affiliation.

7. *What if a group no longer occupies its traditional culture area?*

Many Native American peoples have been forcibly removed from their traditional homelands. For example, tribes from the Southeast have been relocated within the Plains. Classify the material culture of displaced groups within their traditional cultural area. If the object reflects influences or contacts resulting from relocation, record the appropriate cultural areas. Use the Additional Area and Additional Group fields in ANCS+ to record influence from another cultural area or group. Enter narrative information in the Description field on the catalog record.

8. *How do I classify objects affiliated with more than one group?*

Enter the primary affiliation in classification line three. Place additional cultural affiliations in the Additional Group, Cultural Identity, and Culture of Use fields in ANCS+.

9. *How do I classify Euro-American style artwork by Native Americans?*

Make decisions about this type of object on an individual basis. Living artists may have a preference as to whether they want their work to be seen as art or Native American art. In general, use the ethnology classification if you place an object in the museum collection because a recognized Native American created it.

10. *How do I classify non-indigenous tradegoods?*

You can classify trade goods such as mass-produced beads, commercially tanned leather, and brass kettles as either ethnology or history. The classification depends on who used an object. Generally, use ethnology to classify objects you collect because of their association with Native Americans or other indigenous populations. For example, use the ethnology classification when cataloging a bear trap that a Native American used. Use the history classification when cataloging an identical bear trap that a European trapper used.

11. *What are the classification terms for the ethnology classification?*

Use the following information in the four classification lines in ANCS+.

Classification Line 1

Ethnology

Classification Line 2

Select one of the culture areas from the list below.

For North America, use one of the following terms:

Culture Area	Comments
Arctic	For more specific delineation of these culture areas, consult the Smithsonian Institution's Handbook on North American Indians.
Basin	
California	
Caribbean	
Northeast	
Northwest Coast	
Plains	
Plateau	
Southeast	
Southwest	(includes Northwestern Mexico)
Subarctic	
North American Unknown	

For Oceania, use one of the following terms:

Melanesia
Micronesia
Polynesia
Oceania Unknown

For Other Areas, use one of the following terms:

Africa	
Asia	
Australia	
Central America	
Europe	
Mexico	(excludes Northwestern Mexico, see Southwest)
South America	
Other Unknown	

For Unknown Areas use Unknown.

Classification Line 3

Select one of the cultural groups from the list in Section D of this appendix. Classification line 3 terms are dependent on classification line 2 terms. Many groups are subdivisions of larger groups. Use the most specific group known.

Classification Line 4

Select one of the materials, or combination of materials, from the list below. Enter the major materials from which the object is made. Enter additional materials in the Material field on the catalog record.

Example: For a beaded, hide shirt enter Animal/Glass.
For a stone axe with a wood handle, enter Stone/Plant.

Animal	(all parts including bone, teeth, and shell)
Animal/Clay	
Animal/Glass	
Animal/Metal	
Animal/Paper	
Animal/Plant	
Animal/Stone	
Animal/Synthetic	
Animal/Unknown	
Clay	(fired/unfired clay, soil, and plaster)
Clay/Glass	
Clay/Metal	
Clay/Paper	
Clay/Plant	
Clay/Stone	
Clay/Synthetic	
Clay/Unknown	
Glass	
Glass/Metal	
Glass/Paper	
Glass/Plant	
Glass/Stone	
Glass/Synthetic	
Glass/Unknown	
Metal	(manufactured)
Metal/Paper	
Metal/Plant	
Metal/Stone	
Metal/Synthetic	
Metal/Unknown	
Paper	(particularly works of art)
Paper/Plant	
Paper/Stone	
Paper/Synthetic	
Paper/Unknown	
Plant	(all parts modified or unmodified)
Plant/Stone	
Plant/Synthetic	
Plant/Unknown	
Stone	(rock, crystal, mineral, ore…)
Stone/Synthetic	

Stone/Unknown

Synthetic
Synthetic/Unknown

Unknown

12. *What should I do about names not on the standardized classification lists in Section D?*

For cultural groups that aren't on the list, check the Smithsonian Institution's Handbook on North American Indians or other references. You should be able to place most names under a broad cultural group on the list. Check the name to see if it's out of date. For example, Moqui is an outdated term for Hopi. If the name doesn't fit under any cultural group on the list, enter "Unknown."

B. Ethnology Object Names

1. *How do I name ethnology objects?*

There is no required lexicon for naming ethnology objects. ANCS+ has an Object field, an Alternate Name field, and an Aboriginal Name field for entering object names. You must complete the Object field. The other two fields are optional.

To name an object:

- use a park-specific object name list
- *The Revised Nomenclature for Museum Cataloging (Revised Nomenclature)* for a list of suggested object names for historic material used by indigenous groups

Contact your regional/support office curator or ethnographer for additional sources for ethnographic object names.

Many parks invert the object name. Enter the name, a comma, and a modifier.

Example: Needle, Sewing

Be consistent when naming objects. Consistency will give you and others better access to the data in your collection.

Note: Record information, such as place names, native names, regional designations, and other names, that the collector recorded in the appropriate fields of the catalog record.

2. *Does ANCS+ include a table of object names for ethnology?*

No. The ANCS+ Object field is a user-built table for ethnology. You can enter the names you want for your site. You may have entries in this table from your ANCS conversion. The program built a table from the ethnology entries on your old ANCS records. Check this table to make sure that names are consistent. You can add, modify, and delete entries as needed.

C. Cataloging Ethnology

1. *Where can I find guidelines for cataloging ethnology?*

Refer to Chapter 3 in this handbook for general guidelines on cataloging. Refer to Section III of Chapter 2 in the *ANCS+ User Manual* for field-by-field instructions for cataloging ethnology objects in ANCS+.

2. *How do I record cultural affiliation of use vs. cultural affiliation of manufacture?*

Enter the cultural group that made (manufactured) the object in line three of the classification. Use the Culture of Use field in ANCS+ to note when a different group used the object. Otherwise, culture of use is assumed to be the same as culture of manufacture.

If you know the culture of use but not the culture of manufacture, enter the culture of use in line three of the classification. Enter Unknown in the cultural identity section of the catalog record. Use the Description field to note that the cultural group in the classification is the group that used the object.

3. *How do I record two distinct cultural affiliations of manufacture?*

When more than one distinct cultural affiliation of manufacture exists, enter the most recent in the classification. For example, if the Dakota made a flute, and the Nez Perce made the flute into a dance wand, choose Nez Perce for classification line 3. Place additional information in the Cultural Identity, Additional Groups, and Description fields as part of the history of the object.

4. *What are the ANCS+ discipline-specific fields for ethnology?*

The following list of fields appears on the ethnology discipline-specific screen in ANCS+. None of these fields are mandatory.

Aboriginal Name
Additional Area
Additional Group
Manufacturing Technique
Object Use
Possible/Probable Classification

Note: These fields don't print on the paper Museum Catalog Record, Form 10-254 Rev.. You can print the data from these fields using the All Fields report in ANCS+.

D. Culture Area and Cultural Group Classification

This section lists choices for ethnology classification lines 2 and 3 by culture area and cultural group. The names in parentheses are synonyms. You may use these names in other fields, but the names don't appear in the ANCS+ classification tables.

List the most specific cultural group known (for example, Copper Eskimo, rather than Central Eskimo).

The cultural group classification was developed using the following texts:

Murdock, George P. *Outline of World Cultures*. New Haven, Conn.: Human Relation Area Files, Inc., 1975.

Sturtevant, William C., ed. *Handbook of North American Indians Series.* Washington, D.C.: Smithsonian Institution, 1981.

Swanton, John R. *The Indians of the Southeastern United States.* Washington, D.C.: Smithsonian Institution, Bureau of American Ethnology Bulletin 137, 1946.

Swanton, John R. The Indian Tribes of North America. Washington, D.C.: Smithsonian Institution, Bureau of American Ethnology Bulletin 145, 1952.

Arctic Culture Area

- Aleut
  - Eastern Aleut (Unalaska)
  - Western Aleut (Atka)
- Eskimo
  - Alaskan Eskimo
    - Bering Strait Eskimo
    - Koniag
    - Kotzebue
    - North Alaskan Eskimo
    - Northern Interior Eskimo
    - Pacific Coast Eskimo
      - Agligmiut
      - Chugach
      - Ikogmiut
      - Kaialigamiut
      - Kiatagmiut
      - Kuskowagamiut
      - Magimiut
      - Nunivagmiut
      - Tugiagamiut
  - Baffinland Eskimo
  - Central Eskimo
    - Caribou Eskimo
    - Copper Eskimo
    - Iglulingmiut (Iglulik)
    - Natsilingmiut (Netsilik)
  - Greenland Eskimo
    - East Greenland Eskimo
    - Polar Eskimo
    - West Greenland Eskimo
  - Labrador Eskimo
  - Mackenzie Eskimo
- Unknown

Basin Culture Area

- Bannock
- Chemehuevi
- Gosiute
- Kawaiisu
- Paiute (Paviotso)
  - Mono Lake Paiute
  - Northern Paiute
  - Owens Valley Paiute
- Panamint
- Shoshone
  - Wind River Shoshone
- Ute
- Washoe
- Unknown

California Culture Area

Achumawi (Pitt River)
Atsugewi
Cahto
Cahuilla
Chilula
Chimariko
Chumash
Costanoan (Ohlone)
Cupeno
Diegueno
    Ipai (N. Diegueno)
    Tipai (S. Diegueno)
Esslen
Gabrielino
Hunchnon
Hupa
Karok
Kitanemuk
Konkow
Konomihu
Lassik
Luiseno
Maidu
    Nisenan (Southern Maidu)
    Northeast Maidu (Northeast/Mountain Maidu)
Mattole
Mission Indian*
Miwok
    Bay Miwok
    Central Miwok
    Coast Miwok
    Lake Miwok
    Northern Miwok
    Plains Miwok
    Southern Miwok
New River Shasta
Nomlaki
Nongatl
Okwanuchu
Patwin
Pomo
    Central Pomo
    Eastern Pomo
    Kashaya Pomo
    Northeastern Pomo (Salt Pomo)
    Northern Pomo
    Southeastern Pomo
    Southern Pomo
Salinan
Serrano
Shasta
Sinkyone
Tataviam (Aliklik)
Tolowa
Tubatulabal
Wailaki
Wappo
Western Mono (Monache)
Whilkut
Wintu
Wiyot
Yano
Yokuts
    Foothill Yokuts
    Northern Valley Yokuts
    Southern Valley Yokuts
Yuki
    Coast Yuki
Yurok
Unknown

*****Mission Indian is a name that can be associated with many tribes. Use a more specific name, if known, and enter the name of the mission in the Description field.

Caribbean Culture Area

Ciboney
Ciguayo
Island Carib
Lucayo
Sub Taino
Taino
Unknown

Northeast Culture Area

Abenaki
- Eastern Abenaki
  - Arosaguntacook
  - Kennebec
  - Penobscot
  - Pigwacket
- Western Abenaki
  - Cowasuck
  - Penacook
  - Missisquoi
  - Sokoki

Algonquin
Assateague
Bear River
Beothuk
Chawanoke
Chippewa
- Southeastern Chippewa
- Southwestern Chippewa

Choptank
Conoy
Delaware
- Munsee
- Unami

Erie
Fox (Mesquakie)
Hatteras
Housatonic
Huron
Illinois
Iroquois
- Cayuga
- Mohawk
- Oneida
- Onondaga
- Seneca
- Tuscarora

Potawatomi
Khionontateronon (Petun)
Kickapoo
Machepungo
Mahican (Mohican)
Maliseet
Mascouten
Massachusett
- Neponset
- Nonantum
- Wessagusset

Massapequa
Matinecock
Meherrin
Menominee
Miami
Micmac
Mohegan
Montauk
Nanticoke
Narragansett
- Coweset
- Pawtuxet

Neusiok
Neutral
Niantic
- Eastern Niantic
- Western Niantic

Nipissing
Nipmuck
Nottaway
Ottawa
Pamlico
Paspatank
Passamaquoddy
Paxtuxent
Paugusset
Pawtucket
- Accominta
- Agawam
- Naumkeag
- Pascataway
- Penacook

Pequot
Pocomoke
Pocumstuck
Pokanoket
Potatuck
Poteskeit
Quiripi
Roanoke
Sauk
Shawnee
Shinnecock
Stockbridge
Susquehannock
Tunxis

(continued)

Northeast Culture Area

Virginia Algonquian
- Appamatuck II

- Chickahominy
- Cuttatawomen I
- Cuttatawomen II
- Matchotic I
- Matchotic II
- Moratico
- Nansatico
- Opiscopank
- Pissasec
- Potomac
- Potapaco
- Powhattan Group
  - Appamatuck I
  - Arrohateck
  - Cantauncack
  - Caposepock
  - Cattachiptico
  - Chesapeake
  - Kecoughtan
  - Kiskiack
  - Mattaponi
  - Menapacunt
  - Nansemond
  - Orapaks
  - Pamareke
  - Pamunkey
  - Paraconoski
  - Paspahegh
  - Potaunk
  - Payankatank
  - Potchayick
  - Powhatan
  - Quacohamaock
  - Quiyoughcohannock
  - Shamapent
  - Warraskoyack
  - Weanock
  - Werowocomoco
  - Youghtanund
- Rappahannock
- Secacawoni
- Tauxenent
- Wicocomoco

Wampanoag
Weapemeoc
Wenro
Wepawaug
Winnebago
Wyandot
Unknown

Northwest Culture Area

- Alsea
- Bella Bella
  - Haihais
  - Haisla
- Bella Coola
- Chastacosta (Chasta Costa)
- Chemakum
- Chetco
- Chinook
  - Shoalwater Chinook
  - Clatsop
  - Kathlamet
  - Upper Chinook
    - Clackamas
    - Cascade
    - Hood River
    - Wishram
    - Wasco
- Clatskanie
- Coast Salish
  - Clallam
  - Chehalis
  - Copalis
  - Cowlitz
  - Duwamish
  - Humptulips
  - Lumni
  - Makah (Ozette)
  - Muckleshoot
  - Nisqually
  - Nooksak
  - Pentlatch (Puntlatsh)
  - Puyallup
  - Queets (Quaitso)
  - Quileute
  - Quinault
  - Samish
  - Satsop
  - Sechelt
  - Semiahmoo
  - Siletz
  - Skagit
  - Snoqualmi
  - Squamish
  - Swallah
  - Swinomish
  - Tillamook
  - Wynooche
- Coos (Kus)
- Eyak
- Haida
  - Kaigani
- Hoh
- Kalapuya (Calapooya)
  - Atfalati (Tualatin)
  - Chepenafa (Mary's River)
  - Lakmiut
  - Santiam
  - Yamel (Yam Hill)
  - Yoncalla (Yonkalla)
- Kwakiutl
- Kwalhiokwa
- Nootka
- Shasta
- Siuslaw
- Takelma
- Tlingit
  - Auk
  - Chilkat
  - Gonaho
  - Henya
  - Huna
  - Hutsnuwu
  - Kake
  - Kuiu
  - Sanya
  - Sitka
  - Stikine
  - Sumdum
  - Taku
  - Tongas
  - Yakutat
- Tolowa
- Tsimshian
  - Gitksan (Kitksan)
  - Niska (Nisrae)
- Tutuni
- Upper Umpqua
- Yaquina
- Unknown

Plains Culture Area

- Arapaho
- Arikara (Ree)
- Assiniboin (Stoney)
- Blackfeet (Siksika)
  - Blood
  - Piegan
- Cheyenne
- Comanche
- Crow
- Dakota (Sioux)
  - Santee
    - Mdewakanton
    - Sisseton
    - Wahpekute
    - Wahpeton
  - Teton (Lakota)
    - Brule
    - Hunkpapa
    - Miniconjou
    - Oglala
    - Sans Arc
    - Sihaspa
    - Two Kettle
  - Yankton
  - Yanktonai
- Gros Ventre
- Hidatsa (Minitaree)
- Iowa
- Kansa (Kaw)
- Kiowa
- Kiowa-Apache
- Lipan
- Mandan
- Missouri
- Omaha
- Osage
- Oto
- Pawnee
- Plains Cree
- Plains Ojibwa
- Ponca
- Quapaw
- Sarsi
- Tonkawa
- Wichita
- Unknown

Plateau Culture Area

- Cayuse
- Chelan
- Coeur d'Alene
- Columbia
- Flathead
- Kalispel
  - Lower Kalispel
  - Upper Kalispel
- Klamath
- Klikitat
- Kutenai
  - Lower Kutenai
  - Upper Kutenai
- Lake
- Lilloet
- Modoc
- Molala
- Nez Perce
- Nicola
- Okanagon
- Palus (Palouse)
- Sanpoil
- Shuswap
- Spokan
- Tenino
- Thompson
- Umatilla
- Walla Walla
- Wanapam
- Wenatchi (Wenatchee)
- Wishram
- Yakima
- Unknown

Southeast Culture Area

- Acolapissa
- Ais
- Alabama
- Amacano
  - Amacano
  - Caparaz
  - Chine
- Apalachee
- Apalachicolo
- Atakapa
- Bayogoula
- Bidai
- Biloxi
- Caddo
  - Adai
    - Adai
    - Eyeish
  - Hasinai
    - Hainai
    - Nabedache
    - Nacachau
    - Nacono
    - Nechaui
  - Kadohadacho
    - Cahinnio
    - Kadohadacho
    - Yatasi
  - Natchitoches
    - Doustioni
    - Washita
- Calusa
- Capinans
- Catawba
- Chakchiuma
  - Houma
- Chatot
- Chawasha
- Cheraw
- Cherokee
- Chiaha
- Chickasaw
- Chitimacha
- Choctaw
- Chowanoc
- Cusabo
- Eno
- Hitchiti
  - Okmulgee
- Houma
- Kaskinampo
- Kaeledji
- Keyauwee
- Koasati
- Koroa
- Lumbee
- Machapunga
- Manahoac
- Meherrin
- Michigamea
- Mobile
- Monacan
- Muskogee (Creek)
  - Abihka
  - Coosa
  - Coweta
  - Enfaula
  - Kashihta
  - Kolomi
  - Ouchai
  - Wiwohka
- Nacogdoche
- Nahyssan
- Napochi (Nabochi)
- Natchez
- Opelousa
- Pakana
- Quinipissa
- Seminole
  - Mikasuki
  - Oconee
- Taensa
- Tamathli (Tamali)
- Taposa
- Tekesta (Tequesta)
- Timucua (Utina)
  - Acuera
  - Onatheaque
  - Potano
  - Saturiwa
  - Tacatacuru
  - Yui
- Tiou
- Tohome
- Tukabahchee
- Tunica
- Tuskegee
- Tutelo
- Waccamaw
- Wakokai
- Washa
- Wateree
- Woccon
- Yadkin
- Yazoo
- Yuchi
- Unknown

Southwest Culture Area

- Apache
  - Chiricahua Apache
  - Jicarilla Apache
  - Lipan Apache
  - Mescalero Apache
  - Western Apache
- Cahita
  - Mayo
  - Mayoyahui
  - Yaqui
- Cocopa
- Halchidoma
- Maricopa
- Mohave (Mojave)
- Navajo (Navaho)
- Nayarit
  - Cora
  - Huichol
- Opata
  - Eudeve
  - Jova
  - Opata
- Pai
  - Havasupai
  - Walapai (Hualapai)
  - Yavapai
- Piman
  - Papago
  - Pima
  - Pima Bajo (Lower Pima, Nevome)
  - Sand Papago (Arenenos)
  - Tepeguan
- Piro (Socorro del Sur)
- Pueblo
  - Hopi
    - Hopi
    - Hopi Tewa (Hano)
  - Jemez
  - Keres
    - Eastern Keres
      - Cochiti
      - Santa Ana
      - Santo Domingo
      - San Felipe
      - Zia
    - Western Keres
      - Acoma
      - Laguna
  - Pecos
  - Tewa (Tegua), Northern
    - Nambe
    - Projoaque
    - San Ildefonso
    - San Juan
    - Santa Clara
    - Tesuque
  - Tiwa (Tigua)
    - Northern Tiwa
      - Picuris
      - Taos
    - Southern Tiwa
      - Isleta
      - Sandia
      - Tortugas
      - Ysleta Tiwa
        - Senecu del Sur
        - Ysleta del Sur
  - Zuni
- Seri
- Tarahumara
  - Tarahumara
  - Warihio (Varohio, Guarijio)
- Tubar (Chinipa)
- Yuma (Quechan)
- Unknown

Subarctic Culture Area

Ahtna
Attikamek
Bear Lake
Beaver
Carrier
Chilcotin
Chipewyan
Cree
East Cree
West Main Cree
Western Woods Cree
Dogrib
Han
Hare
Holikachuk
Ingalik
Inland Tlingit
Kaska
Kolchan
Koyukan
Kutchin
Montagnais
Mountain Indians
Naskapi
Ojibwa (Chippewa)
Northern Ojibwa
Saulteaux
Sekani
Slavey
Tagish
Tahltan
Tanaina
Tanana
Tsesaut
Tutchone
Yellow Knife
Unknown

Oceania

Melanesia

Admiralty Islands
Bismark Archipelago
Fiji
Loyalty Islands
New Caledonia
New Herbrides
New Guinea
Solomon Islands
Unknown

Micronesia

Bonin Islands
Caroline Islands
Gilbert Islands
Mariana Islands
Marcus Islands
Marshall Islands
Wake
Unknown

Polynesia

Austral Islands
Chatham Islands
Cook Islands
Easter Island (Rapanui)
Ellice Islands
Hawaiian Islands
Marquesas Islands
Mangareva (Gambier Islands)
New Zealand
Nive (Savage) Island
Phoenix Islands
Pitcairn
Samoa
Society Islands
Tokelau Islands
Tonga
Tuamotu Archipelago
Unknown

Oceania

The Oceania classification options above are further defined below.

Polynesia

Austral Islands (including Raivavae, Rapa Rimatara, Rurutu, Tubai)
Chatham Islands
Cook Islands (including Aitutaki, Atiu, Hervey, Mangaia, Manihiki, Peurhyn, Pukapuka (Danger), Rarotonga, Suwarrow, etc.)
Easter Island (Rapanui)
Ellice Islands (including Nukufetau, Nukulaelae, etc.)

Hawaiian Islands
Marquesas Islands (including Atuona, Fatuhiva, Hivaoa, Nukuhiva, Omoa)

Mangareva (Gambier Islands) (including Akarema, Rikitea, Taravai, Temoe, etc.)
New Zealand
Nive (Savage) Island
Phoenix Islands (including Canton, Hull, etc.)
Pitcairn
Samoa (including Apra, Manua, Pago Pago, Savali, Swains, Upolu, etc.)
Society Islands (including Bora Bora, Huahine, Mahetia, Maupiti, Taiatea, Tahiti)
Tokelau Islands (including Atafu, Fakaofu, Nukunono)
Tonga (including Eau, Haapai, Niua, Nivafou, Tobutabu, Vavau)
Tuamotu Archipelago (including Anaa, Aratiki, Fagatau, Makatea, Napuka, Raraka, etc.)

Melanesia

Admiralty Islands (including Matty, Hermit and Purdy Islands)
Bismark Archipelago (including Duke of York, New Britain, New Hanover, New Ireland, etc.)
Fiji (including Fulanga, Gau, Kambara, Koro, Lau, Oreata, Tareuni, Yasawa, etc.)
Loyalty Islands
New Caledonia
New Herbrides
New Guinea
Solomon Islands

Micronesia

Bonin Islands
Caroline Islands (including Kusaie and Mortlock)
Gilbert Islands (including Apiang, Arorae, Ibu, Koti, Maiana, Makin, Nauru, Tarawa, Takou, etc.)
Mariana Islands (including Ajuigan, Guam, Pagan, Rota, Saipan, Tinian, Tumon)
Marcus Islands
Marshall Islands (including Arno, Bikini, Ebon, Eniwetok, Jaluit, Lurunor, Majuro, Mejit, etc.)
Wake

Other areas

See Section A.4 in this appendix.

Note: For Line 3, Culture Group Entries, refer to G.P. Murdock's *Outline of World Cultures.*

Appendix G: History

Page

A. History Classification G:1
When do I classify objects as history? G:1
How do I classify history objects? G:1
Can I make changes to the classification? G:1
How do I get a copy of *Revised Nomenclature*? G:1
How do I use *Revised Nomenclature*? G:1
How do I classify an object that has been modified from its original function? G:1
How do I classify an object that serves more than one function? G:2
What are the classification terms for the history classification G:2

B. History Object Names G:2
How do I name history objects? G:2
Why does the NPS use a required lexicon for naming history objects? G:3
What if I know the function of an object but don't know its name? G:3
How do I know if a name is in the lexicon? G:3
Why do some of my records have object names that aren't in the lexicon? G:3
Are there NPS-specific rules for using *Revised Nomenclature* and naming objects? G:3
How do I name fragments and parts of objects? G:4
How do I name models and samples? G:4
How do I name product packages and containers? G:4
How do I name consumable products? G:5
What is the Supplementary History Object Term List? G:5
How do I add a name to the Supplementary Object Term List? G:5

C. Cataloging History G:6
Where can I find the guidelines for cataloging history objects? G:6
What are the ANCS+ discipline-specific fields for history? G:6

D. Revised Nomenclature Hierarchical Classification G:6

E. Supplementary History Object Term List G:8

APPENDIX G: HISTORY

A. History Classification

1. *When do I classify objects as history?*

Use the history classification for materials made or used by cultures with a written tradition up to the present time. Historic objects relate to the people, activities, and events associated with a park's mission, themes, and history.

Catalog archives and manuscript collections as history according to the procedures in Appendix D of this handbook.

2. *How do I classify history objects?*

The NPS uses *The Revised Nomenclature for Museum Cataloging* (American Association for State and Local History, 1988) to classify history objects. *Revised Nomenclature's* classification system is based on an object's original intended function.

The NPS classification for history objects has three lines. You must complete all three lines of the classification.

- line one is the discipline (history)
- line two is one of the ten broad categories in *Revised Nomenclature*, such as Furnishings or Communication Artifacts
- line three is one of the classification terms under the category in line two, such as Furniture or Documentary Artifact

Example:	History	History
	Personal Artifacts	Tools and Equipment for Materials
	Toilet Article	Animal Husbandry Tools and Equipment

3. *Can I make changes to the classification?*

No. The three-line classification for history appears in locked tables in ANCS+. You can't make changes to these tables. *Revised Nomenclature* has categories for Other Tools & Equipment and an Unclassifiable Artifacts category. Use these categories for objects that don't fit under a more specific category.

Refer to Section IV of Chapter 2 in the *ANCS+ User Manual* for instructions on using ANCS+ to classify and catalog history collections.

4. *How do I get a copy of Revised Nomenclature?*

When the NPS adopted the use of *Revised Nomenclature*, copies of the book were sent to all the parks. If you don't have a copy at your site, contact the Supply and Equipment Program of the Museum Management Program.

5. *How do I use Revised Nomenclature?*

Read the first three chapters of the book before you begin to catalog. These chapters tell you how the classification system works and explain how to use the book. Chapter III has definitions of the categories and classifications along with reference sources for identifying objects.

6. *How do I classify an object that has been modified from its original function?*

Base the classification on the most recent function. For example, classify a boot made into a lamp as a Lighting Device.

7. *How do I classify an object that serves more than one function?*

Base the classification on the primary function. For example, classify a thermometer advertising a soft drink as Meteorological Tools & Equipment.

The primary function may not always be easy to determine. It may depend on the purpose for your collection.

Note: There is also a Multiple Use Artifacts classification for objects that fit under more than one classification.

8. *What are the classification terms for the history classification?*

Use the following information in the three classification lines in ANCS+.

Classification Line 1

History

Classification Line 2

Use one of the following ten categories:

Structures
Furnishings
Personal Artifacts
Tools & Equipment for Materials
Tools & Equipment for Science & Technology
Tools & Equipment for Communication
Distribution & Transportation Artifacts
Communication Artifacts
Recreational Artifacts
Unclassifiable Artifacts

Classification Line 3

Classification line 3 terms are dependent on classification line 2 terms. See the list of classification terms in Section D of this appendix.

B. History Object Names

1. *How do I name history objects?*

You must use the *Revised Nomenclature* lexicon for naming history objects. The NPS has expanded this lexicon with object terms from the Supplementary History Object Term List. See Section E of this appendix for a copy of this list. The Object field for history records in ANCS+ has both the lexicon and the supplementary terms in a locked table. You must complete this field.

Revised Nomenclature terms are made up of a single noun or a noun and an adjective. Terms are inverted, meaning that the noun comes before the adjective.

Example: Mitt, Catcher's

ANCS+ also has an Alternate Name field and an *Art and Architecture Thesaurus (AAT)* field for naming history objects. Use of these fields is optional.

Be consistent when naming objects. Consistency will give you and others better access to the data in your collection.

2. *Why does the NPS use a required lexicon for naming history objects?*

Use of the *Revised Nomenclature* lexicon makes object names consistent within the collection and between sites. For example, purse, handbag, and pocketbook are all names for the same object. When you consistently use one term for an object, it's much easier to search your data.

Note: Use the Alternate Name field in ANCS+ to preserve regional and local names for an object.

3. *What if I know the function of an object but don't know its name?*

Chapter IV in *Revised Nomenclature* has a list of object terms for each classification. Check here when you know the function of an object but are uncertain of a name. For example, if you know a tool is from a woodworking shop, look for an appropriate name under Woodworking Tools & Equipment.

4. *How do I know if a name is in the lexicon?*

Chapter V in *Revised Nomenclature* is an alphabetical list of object terms that includes the classification for each term. You can also search the lexicon table in ANCS+.

5. *Why do some of my records have object names that aren't in the lexicon?*

The old ANCS program didn't include the *Revised Nomenclature* lexicon. Park staff had to use the book to find correct object terms. If your park didn't follow the book, your history records may have object names that aren't in the lexicon. These names were converted into ANCS+.

The NPS also adopted modifications to *Revised Nomenclature* to help standardize entries in the old ANCS program. Modifications included:

- the use of the terms Fragment and Part with any acceptable object name
- placing specific object names and modifiers in parentheses after the *Revised Nomenclature* term

Your converted records may have entries with these modifications. You may no longer make modifications in the Object field, but you can enter modified names in the Alternate Name field.

6. *Are there NPS-specific rules for using Revised Nomenclature and naming objects?*

Yes. The NPS uses the following modifications with *Revised Nomenclature*. You may:

- use an object term with any classification; you don't need to use the classification that appears in the book for a particular object (*Revised Nomenclature*, page II-3, option 3)
- use the term Problematic (as a last resort) with any classification to show that you know the object's function but not its name (*Revised Nomenclature*, page II-4)
- place any accepted object term under the Toy classification (*Revised Nomenclature*, page II-6)
- place souvenirs and mementos created primarily to record an event under the Documentary Artifact classification (*Revised Nomenclature*, page II-6)

7. *How do I name fragments and parts of objects?*

Enter the name of the object in the Object field. Use the Classification, Alternate Name, Description, and Condition fields to show whether the object is complete. For example, if you only have the drawer to a chest:

- enter Chest in the Object field
- enter Fragment in the Condition field
- classify the object as an Artifact Remnant
- enter Chest Drawer in the Alternate Name field
- note that the rest of the piece is missing in the Description field

8. *How do I name models and samples?*

Almost any object can be a model or sample. Add a dash and the term Model or Sample to the object name, and enter it in the Alternate Name field (*Revised Nomenclature*, page II-5).

Example: Car, Cable-Model

Make a note in the Description field that the object is a model or sample.

9. *How do I name product packages and containers?*

Use a generic modifier, such as Foodstuff, to describe the contents of empty product packages and containers (*Revised Nomenclature*, page II-5). Enter the brand name or specific product name in the Alternate Name field.

Example: Jar, Foodstuff in the Object field
Jar, Mayonnaise in the Alternate Name field

If the lexicon doesn't have an appropriate generic entry, enter the name for the container in the Object field. Use the Alternate Name field to enter a generic or specific product name.

The following list includes examples of generic content names

Foodstuff
Medicine
Toiletry
Pesticide
Liquor
Condiment
Tobacco
Cleaning Product

Note: Use the same procedures for naming packages and containers that contain their contents. Use the Description field to note that the package or container still has its contents.

10. *How do I name consumable products?*

If the product is in a container, see the previous question. Usually you will catalog the container and refer to the product. In rare cases, you may need to catalog the product itself. The lexicon has a few generic names for products, such as Foodstuff, Medicine, Chemical, and Raw Material. Use one of these terms and enter a specific name for the product in the Alternate Name field.

Consult your regional/support office curator or the National Catalog office if you can't find an appropriate product name.

11. *What is the Supplementary History Object Term List?*

The Supplementary History Object Term List is a list of object names that the NPS has added to the *Revised Nomenclature* lexicon. The ANCS+ lexicon for naming history objects includes the names on the list.

See Section E of this appendix for a copy of the list.

12. *How do I add a name to the Supplementary Object Term List?*

The use of ANCS+ has greatly reduced the need to add names to the lexicon. You should be able to find a broad term in the lexicon to name most objects. Use the Alternate Name field for specific names that don't appear in the lexicon.

If you…	***Then…***
can't find an appropriate name,	contact the National Catalog office at 304-535-6204 for assistance.
need to add a name to the lexicon,	fax a copy of the name and a description of the object to the National Catalog office at 304-535-6203.

Subject specialists will review the proposed addition. If it's approved, the name will be added to the lexicon in the next update of ANCS+. National Catalog staff will give you an appropriate name to use, or let you know that the name will be added to the lexicon.

Note: Webster's Third International Dictionary is the standard dictionary to use when proposing additions to the Supplementary History Object Term List.

If the name…	***Then…***
is approved to go in the lexicon,	use Problematic as the object name until the lexicon is updated, and send the record to the National Catalog with your annual submission.

You can enter the specific name in the Alternate Name field. Correct the catalog record when you receive an update of the lexicon.

Note: Section E in this appendix (Supplementary History Object Term List) will be updated as needed.

C. Cataloging History

1. *Where can I find the guidelines for cataloging history objects?*

Refer to Chapter 3 in this handbook for general guidelines on cataloging. Refer to Section IV of Chapter 2 in the *ANCS+ User Manual* for field-by-field instructions for cataloging history objects in ANCS+.

2. *What are the ANCS+ discipline-specific fields for history?*

The following list of fields appears on the history discipline-specific screen in ANCS+. None of these fields are mandatory.

Copyright
Format
Genre
Inscription/Marks
Object Use
Patent Date
Process/Technique of Manufacture
School
Significant Event
Style
Subjects
Term (AAT)
Title

Note: ANCS+ contains the lexicon for the *Art and Architecture Thesaurus (AAT)*. The *AAT* is a standardized vocabulary for fine arts, architecture, decorative art, and material culture of the Western world.

D. Revised Nomenclature Hierarchical Classification

STRUCTURES

BUILDING
BUILDING COMPONENT
SITE FEATURE
OTHER STRUCTURE

FURNISHINGS

BEDDING
FLOOR COVERING
FURNITURE
HOUSEHOLD ACCESSORY
LIGHTING DEVICE
PLUMBING FIXTURE
TEMPERATURE CONTROL DEVICE
WINDOW OR DOOR COVERING

PERSONAL ARTIFACTS

ADORNMENT
CLOTHING
- Clothing – Footwear
- Clothing – Headwear
- Clothing – Outerwear
- Clothing – Underwear
- Clothing – Accessory

PERSONAL GEAR
TOILET ARTICLE

TOOLS & EQUIPMENT FOR MATERIALS	AGRICULTURAL T&E
	ANIMAL HUSBANDRY T&E
	FISHING & TRAPPING T&E
	FOOD T&E
	  Food Processing T&E
	  Food Service T&E
	FORESTRY T&E
	GLASS, PLASTICS, CLAYWORKING T&E
	LEATHER, HORN, SHELLWORKING T&E
	MASONRY & STONEWORKING T&E
	METALWORKING T&E
	MINING & MINERAL HARVESTING T&E
	PAINTING T&E
	PAPERMAKING T&E
	TEXTILEWORKING T&E
	WOODWORKING T&E
	OTHER T&E FOR MATERIALS
	  Basket, Broom, Brush Making T&E
	  Cigar Making T&E
	  Lapidary T&E
	  Wigmaking T&E

TOOLS & EQUIPMENT FOR SCIENCE & TECHNOLOGY	ACOUSTICAL T&E
	ARMAMENT T&E
	  Armament – Firearm
	  Armament – Edged
	  Armament – Bludgeon
	  Armament – Artillery
	  Armament – Ammunition
	  Armament – Body Armor
	  Armament – Accessory
	ASTRONOMICAL T&E
	BIOLOGICAL T&E
	CHEMICAL T&E
	CONSTRUCTION T&E
	ELECTRICAL & MAGNETIC T&E
	ENERGY PRODUCTION T&E
	GEOLOGICAL T&E
	MAINTENANCE T&E
	MECHANICAL T&E
	MEDICAL & PSYCHOLOGICAL T&E
	MERCHANDISING T&E
	METEOROLOGICAL T&E
	NUCLEAR PHYSICS T&E
	OPTICAL T&E
	REGULATIVE & PROTECTIVE T&E
	SURVEYING & NAVIGATIONAL T&E
	THERMAL T&E
	TIMEKEEPING T&E
	WEIGHTS & MEASURES T&E
	OTHER T&E FOR SCIENCE & TECHNOLOGY

TOOLS & EQUIPMENT FOR COMMUNICATION	DATA PROCESSING T&E DRAFTING T&E MUSICAL T&E PHOTOGRAPHIC T&E PRINTING T&E SOUND COMMUNICATION T&E TELECOMMUNICATION T&E VISUAL COMMUNICATION T&E WRITTEN COMMUNICATION T&E OTHER T&E FOR COMMUNICATION
DISTRIBUTION & TRANSPORTATION ARTIFACTS	CONTAINER AEROSPACE TRANSPORTATION Aerospace Transportation – Equipment Aerospace Transportation – Accessory LAND TRANSPORTATION Land Transportation – Animal-Powered Land Transportation – Human-Powered Land Transportation – Motorized Land Transportation – Accessory RAIL TRANSPORTATION Rail Transportation – Equipment Rail Transportation – Accessory WATER TRANSPORTATION Water Transportation – Equipment Water Transportation - Accessory
COMMUNICATION ARTIFACTS	ADVERTISING MEDIUM ART CEREMONIAL ARTIFACT DOCUMENTARY ARTIFACT EXCHANGE MEDIUM PERSONAL SYMBOL
RECREATIONAL ARTIFACTS	GAME PUBLIC ENTERTAINMENT DEVICE RECREATIONAL DEVICE SPORTS EQUIPMENT TOY
UNCLASSIFIABLE ARTIFACTS	ARTIFACT REMNANT FUNCTION UNKNOWN MULTIPLE USE ARTIFACTS

E. Supplementary History Object Term List

The attached Supplementary History Object Term List was last updated in 1993. There have been no additions to the list since that date. Use of the Alternate Name field in ANCS+ has greatly reduced requests for new object names. The list will be updated as names are approved and added to the ANCS+ *Revised Nomenclature* lexicon.

See Section B.12 of this appendix for information on proposing additions to the list.

NATIONAL PARK SERVICE
1993 SUPPLEMENTARY HISTORY OBJECT TERM LIST

OBJECT TERM AND MODIFIER	CLASSIFICATION
ABSORBER, SHOCK	WATER TRANSP.-ACCESSORY
ABSTRACT	DOCUMENTARY ARTIFACT
ACT	DOCUMENTARY ARTIFACT
ACT, CONGRESSIONAL	DOCUMENTARY ARTIFACT
ADAPTOR, FLASH	PHOTOGRAPHIC T&E
ADAPTOR, PLUG	ELECTRICAL & MAGNETIC T&E
ADAPTOR, RING	PHOTOGRAPHIC T&E
ADDRESSOGRAPH	PRINTING T&E
ADVERTISEMENT	ADVERTISING MEDIUM
AFFIDAVIT	DOCUMENTARY ARTIFACT
ALARM, FIRE/INTRUSION	REGULATIVE & PROTECTIVE T&E
ANODE	ELECTRICAL & MAGNETIC T&E
ANTICREEPER	RAIL TRANSP.- ACCESSORY
APPARATUS, INSPECTION	SOUND COMMUNICATION T&E
APPLICATION, MEMBERSHIP	DOCUMENTARY ARTIFACT
APRON, CARPENTER'S	CLOTHING-OUTERWEAR
AQUAKNOT	SURVEYING & NAVIGATIONAL T&E
ARCHPIPE, HOT BLAST	BUILDING COMPONENT
ARRESTER, SPARK	ELECTRICAL & MAGNETIC T&E
AWARD	DOCUMENTARY ARTIFACT
BAG, BARRACK	PERSONAL GEAR
BAG, COLLAR	PERSONAL GEAR
BAG, OIL	WATER TRANSP.-ACCESSORY
BAG, TOILETRY	PERSONAL GEAR
BAG, TRASH	HOUSEHOLD ACCESSORY
BAILER, WELL	ENERGY PRODUCTION T&E
BALE, HEAD	WATER TRANSP.-ACCESSORY
BALL, GOLF	SPORTS EQUIPMENT
BALL, PISTOL	ARMAMENT-AMMUNITION
BALL, TIME	VISUAL COMMUNICATION EQ
BAND	METALWORKING T&E
BAND, CIGAR	PERSONAL GEAR
BAR, DOOR	BUILDING COMPONENT
BAR, JACK	RAIL TRANSP.-ACCESSORY
BAR, REINFORCING	MULTIPLE USE ARTIFACTS
BAS-RELIEF	ART
BASKET, SKI POLE	LAND TRANSP.-HUMAN-POWERED
BASTER	FOOD PROCESSING T&E
BATTEN	BUILDING COMPONENT
BATTLEMENT	TOY
BAYONET	ARMAMENT-EDGED
BEAM	BUILDING COMPONENT

NATIONAL PARK SERVICE
1993 SUPPLEMENTARY HISTORY OBJECT TERM LIST

OBJECT TERM AND MODIFIER	CLASSIFICATION
BEAM, TRUSS	BUILDING COMPONENT
BEAR	WATER TRANSP.-ACCESSORY
BEARING	WATER TRANSP.-ACCESSORY
BEARING, BALL	MECHANICAL T&E
BED, HOSPITAL	MEDICAL & PSYCHOLOGICAL T&E
BELL, FISHING	FISHING & TRAPPING T&E
BELT, FAN	LAND TRANSP.-ACCESSORY
BENDER, ANGLE	METALWORKING T&E
BIBLE	DOCUMENTARY ARTIFACT
BIN, DOUGH	FOOD PROCESSING T&E
BIN, FILING	WRITTEN COMMUNICATION T&E
BINNACLE	WATER TRANSP.-ACCESSORY
BITT	WATER TRANSP.-ACCESSORY
BLADE	MULTIPLE USE ARTIFACTS
BLOCK, FUSE	ENERGY PRODUCTION T&E
BLOCK-AND-TACKLE	WATER TRANSP.-ACCESSORY
BLOWER	ANIMAL HUSBANDRY T&E
BOARD, BULLETIN	WRITTEN COMMUNICATION T&E
BOARD, DRYING	LEATHER, HORN, SHELLWORKING
BOARD, GAUGE	WATER TRANSP.-ACCESS
BOARD, SERVING	TEXTILEWORKING T&E
BOAT, TORPEDO	WATER TRANSPORTATION EQ
BOBBIN, SEWING MACHINE	TEXTILEWORKING T&E
BOMB, WHALE GUN	ARMAMENT-AMMUNITION
BONNET, RAIN	CLOTHING-HEADWEAR
BOOBLEJOCK	WOODWORKING T&E
BOOK, DOCKET	DOCUMENTARY ARTIFACT
BOOK, LETTER COPY	DOCUMENTARY ARTIFACT
BOOK, MUSIC	DOCUMENTARY ARTIFACT
BOOK, PRAYER	DOCUMENTARY ARTIFACT
BOOK, RECIPE	DOCUMENTARY ARTIFACT
BOOK, RECORD	DOCUMENTARY ARTIFACT
BOOK, TICKET	EXCHANGE MEDIUM
BOOM	WATER TRANSP.-ACCESSORY
BOTTLE, BEER	MERCHANDISING T&E
BOTTLE, CHRISTENING	CEREMONIAL ARTIFACT
BOTTLE, FOODSTUFF	MERCHANDISING T&E
BOTTLE, INK	MERCHANDISING T&E
BOTTLE, LIQUOR	MERCHANDISING T&E
BOTTLE, MILK	MERCHANDISING T&E
BOTTLE, OIL	ARMAMENT-ACCESSORY
BOTTLE, PESTICIDE	MERCHANDISING T&E
BOTTLE, SAMPLE	MINING & MINERAL HARVESTING
BOTTLE, SELTZER	FOOD SERVICE T&E
BOTTLE, SPRAY	MAINTENANCE T&E
BOTTLE, WINE	MERCHANDISING T&E

NATIONAL PARK SERVICE
1993 SUPPLEMENTARY HISTORY OBJECT TERM LIST

OBJECT TERM AND MODIFIER	CLASSIFICATION
BOX, ALMS	CEREMONIAL ARTIFACT
BOX, BAIT	FISHING & TRAPPING T&E
BOX, CIGAR	MERCHANDISING T&E
BOX, FAKING	WATER TRANSP.-ACCESSORY
BOX, FOODSTUFF	MERCHANDISING T&E
BOX, FRUIT	MERCHANDISING T&E
BOX, KITCHEN	FOOD SERVICE T&E
BOX, LEAD	DRAFTING T&E
BOX, MAP	MERCHANDISING T&E
BOX, MEDICINE	MERCHANDISING T&E
BOX, NAIL	WOODWORKING T&E
BOX, NET	FISHING & TRAPPING T&E
BOX, PAINT	MERCHANDISING T&E
BOX, PESTICIDE	MERCHANDISING T&E
BOX, SEWING	TEXTILEWORKING T&E
BOX, SHOE	MERCHANDISING T&E
BOX, SPIT	HOUSEHOLD ACCESSORY
BOX, THREAD	TEXTILEWORKING T&E
BOX, TOILETRY	MERCHANDISING T&E
BOX, TOY	MERCHANDISING T&E
BRACE, BAND	WATER TRANSP.-ACCESSORY
BRASSARD	PERSONAL SYMBOL
BREASTHOOK	WATER TRANSP.-ACCESSORY
BRUSH, FIREPLACE	TEMPERATURE CONTROL DEVICE
BRUSH, LENS	PHOTOGRAPHIC T&E
BRUSH, RAZOR	TOILET ARTICLE
BUCKET, BAIT	FISHING & TRAPPING T&E
BUCKET, WELL	HOUSEHOLD ACCESSORY
BULB, FLASH	PHOTOGRAPHIC T&E
BULLETIN	DOCUMENTARY ARTIFACT
BULLSEYE	WATER TRANSP.-ACCESSORY
BULWARK	WATER TRANSP.-ACCESSORY
BURNER	FOOD PROCESSING T&E
BUSK	CLOTHING, UNDERWEAR
BUTTPLATE	ARMAMENT-FIREARM
CACHET	DOCUMENTARY ARTIFACT
CAMEO	ART
CAN, AEROSOL	MERCHANDISING T&E
CAN, COFFEE	MERCHANDISING T&E
CAN, FILM	MERCHANDISING T&E
CAN, FOODSTUFF	MERCHANDISING T&E
CAN, GASOLINE	MERCHANDISING T&E
CAN, MEDICINE	MERCHANDISING T&E
CAN, PESTICIDE	MERCHANDISING T&E
CAN, TOBACCO	MERCHANDISING T&E
CAN, TOILETRY	MERCHANDISING T&E

NATIONAL PARK SERVICE
1993 SUPPLEMENTARY HISTORY OBJECT TERM LIST

OBJECT TERM AND MODIFIER	CLASSIFICATION
CANISTER	ARMAMENT-AMMUNITION
CAP, RIDGE	BUILDING COMPONENT
CARBURETOR	ENERGY PRODUCTION T&E
CARD	WRITTEN COMMUNICATION T&E
CARD, AWARD	DOCUMENTARY ARTIFACT
CARD, DISPLAY	ADVERTISING MEDIUM
CARTRIDGE	ARMAMENT AMMUNITION
CARTRIDGE, INK	WRITTEN COMMUNICATION T&E
CASE, ALTIMETER	SURVEYING & NAVIGATION T&E
CASE, AMMUNITION	ARMAMENT-ACCESSORY
CASE, AWARD	DOCUMENTARY ARTIFACT
CASE, BANJO	MUSICAL T&E
CASE, BOBBIN	TEXTILEWORKING T&E
CASE, BOLSTER	BEDDING
CASE, BOW	ARMAMENT-ACCESSORY
CASE, CUP	PERSONAL GEAR
CASE, GLOVE	CLOTHING ACCESSORY
CASE, MAILING	CONTAINER
CASE, MAP	WRITTEN COMMUNICATION T&E
CASE, SHOULDER KNOT	PERSONAL GEAR
CASE, SLIDE TRANSPARENCY	DOCUMENTARY ARTIFACT
CASE, VACUUM BOTTLE	MERCHANDISING T&E
CASE, WAFER	WRITTEN COMMUNICATION T&E
CASSETTE, AUDIOTAPE	DOCUMENTARY ARTIFACT
CASSETTE, VIDEOTAPE	DOCUMENTARY ARTIFACT
CAST	MEDICAL & PSYCHOLOGICAL T&E
CATCHER, GRASS	AGRICULTURAL T&E
CERTIFICATE	DOCUMENTARY ARTIFACT
CHAIR, CHIROPODY	MEDICAL & PSYCHOLOGICAL T&E
CHARCOAL	ENERGY PRODUCTION T&E
CHART	DOCUMENTARY ARTIFACT
CHART, INSTRUCTIONAL	DOCUMENTARY ARTIFACT
CHART, ORGANIZATIONAL	DOCUMENTARY ARTIFACT
CHECK, BAGGAGE	WRITTEN COMMUNICATION T&E
CHECKBOOK	DOCUMENTARY ARTIFACT
CHEMICAL	CHEMICAL T&E
CHINK, IRON	FOOD PROCESSING T&E
CHINKING	BUILDING COMPONENT
CHISEL, COLD	METALWORKING T&E
CLAMP, ALLIGATOR	ELECTRICAL & MAGNETIC T&E
CLAMP, HOSE	LAND TRANSP.-ACCESSORY
CLEANER, HEARING AID	PERSONAL GEAR
CLEANER, PHONOGRAPH RECORD	SOUND COMMUNICATION T&E
CLEANER, SHRIMP	FOOD PROCESSING T&E
CLEW	WATER TRANSP.-ACCESSORY
CLIP	MULTIPLE USE ARTIFACTS

NATIONAL PARK SERVICE
1993 SUPPLEMENTARY HISTORY OBJECT TERM LIST

OBJECT TERM AND MODIFIER	CLASSIFICATION
CLIP, STRIPPER	ARMAMENT-AMMUNITION
CLIPPERS	AGRICULTURAL T&E
CLIPPING, JOURNAL	DOCUMENTARY ARTIFACT
CLIPPING, MAGAZINE	DOCUMENTARY ARTIFACT
CLIPPING, NEWSPAPER	DOCUMENTARY ARTIFACT
CLOTH, POLISHING	MAINTENANCE T&E
CLUB, FISH	FISHING & TRAPPING T&E
CLUBHORSE	WATER TRANSP.-ACCESSORY
COAL	ENERGY PRODUCTION T&E
COAT, BLANKET	CLOTHING, OUTERWEAR
COAT, SUIT	CLOTHING, OUTERWEAR
COGWHEEL	TIMEKEEPING T&E
COIL, INDUCTION	ELECTRICAL & MAGNETIC T&E
COLLAR, PARRAL	WATER TRANSP.-ACCESSORY
CONTAINER, MISSILE	ARMAMENT-ACCESSORY
COOLER, FOODSTUFF	FOOD PROCESSING T&E
CORBEL	BUILDING COMPONENT
CORD	ELECTRICAL & MAGNETIC T&E
CORD, DRUM	MUSICAL T&E
CORK	ARTIFACT REMNANT
CORONA	LAND TRANSP.-ACCESSORY
COT, BATH	FURNITURE
COUPLING, SHAFT	ENERGY PRODUCTION T&E
COVER, AIR CONDITIONER	TEMPERATURE CONTROL DEVICE
COVER, CANTEEN	PERSONAL GEAR
COVER, CARTRIDGE BOX	ARMAMENT-ACCESSORY
COVER, DUST	ARMAMENT-ACCESSORY
COVER, ELECTRICAL OUTLET	ELECTRICAL & MAGNETIC T&E
COVER, HAWSE	WATER TRANSP.- ACCESSORY
COVER, HOUSING	LAND TRANSP.-ACCESSORY
COVER, IRONING BOARD	MAINTENANCE T&E
COVER, PAPER FOLDER SET	WRITTEN COMMUNICATION T&E
COVER, PHOTOGRAPHIC PRINT	DOCUMENTARY ARTIFACT
COVER, PICTURE	ART
COVER, QUILT	BEDDING
COVER, SADDLE	LAND TRANSP.-ACCESSORY
COVER, SEA CHEST	PERSONAL GEAR
COVER, TOILET SEAT	HOUSEHOLD ACCESSORY
COVER, TYPEWRITER	WRITTEN COMMUNICATION T&E
COVER, WALLMOUNT	BUILDING COMPONENT
COVER, WINDOW	WATER TRANSP.-ACCESSORY
CRAMPON	SPORTS EQUIPMENT
CRANK	MULTIPLE USE ARTIFACTS
CRATE	MERCHANDISING T&E
CRATE, FOODSTUFF	MERCHANDISING T&E
CRATE, FRUIT	MERCHANDISING T&E

NATIONAL PARK SERVICE
1993 SUPPLEMENTARY HISTORY OBJECT TERM LIST

OBJECT TERM AND MODIFIER	CLASSIFICATION
CRATE, LIQUOR	MERCHANDISING T&E
CROCK, CONDIMENT	MERCHANDISING T&E
CROSSBAR	LAND TRANSP.-ACCESSORY
CUP, DESSERT	FOOD SERVICE T&E
CUTTER, BRUSH	AGRICULTURAL T&E
CUTTER, SOD	AGRICULTURAL T&E
CYLINDER	ENERGY PRODUCTION T&E
CYLINDER, KINETOPHONE	SOUND COMMUNICATION EQ
DAMPER	TEMPERATURE CONTROL DEVICE
DECLARATION	DOCUMENTARY ARTIFACT
DETECTOR, METAL	MINING & MINERAL HARVESTING
DIASCOPE	VISUAL COMMUNICATION T&E
DIFFERENTIAL	ENERGY PRODUCTION
DIRECTORY	DOCUMENTARY ARTIFACT
DISC	CHEMICAL T&E
DISC, DIGITAL	SOUND COMMUNICATION EQ
DISC, PHONOGRAPH	SOUND COMMUNICATION T&E
DISH, ICE	FOOD PROCESSING T&E
DISK	FUNCTION UNKNOWN
DISPENSER, COIN	MERCHANDISING T&E
DISPENSER, PAPER	MERCHANDISING T&E
DIVIDER, CARD	WRITTEN COMMUNICATION T&E
DIVIDER, FILE	WRITTEN COMMUNICATION EQ
DIVIDER, ROOM	BUILDING COMPONENT
DOCUMENT, LEGAL	DOCUMENTARY ARTIFACT
DOOR, SLIDING	BUILDING COMPONENT
DRAG	LAND TRANSP.-ACCESSORY
DRAWER	FURNITURE
DRIFTBOLT	WATER TRANSP.-ACCESSORY
DROPLIGHT	LIGHTING DEVICE
DRYER, GLOVE	CLOTHING-ACCESSORY
ELECTROSCOPE	ELECTRICAL & MAGNETIC T&E
ENGINE, ROCKET	AEROSPACE TRANSP.-ACCESSORY
EXPANDER	METALWORKING T&E
EYE	TEXTILEWORKING T&E
EYE, SERVED WIRE	WATER TRANSP.-ACCESSORY
EYEGLASSES, PROTECTIVE	PERSONAL GEAR
EYEPLATE, PAD	WATER TRANSP.-ACCESSORY
FANCYWORK	ART
FASTENER, GUY	ELECTRICAL & MAGNETIC T&E
FASTENER, PAPER	WRITTEN COMMUNICATION T&E
FASTENING	WATER TRANSP.-ACCESSORY
FAUCHARD	ARMAMENT-EDGED
FERRULE	BUILDING COMPONENT
FILMSTRIP	DOCUMENTARY ARTIFACT
FILTER, AIR	PHOTOGRAPHIC T&E

NATIONAL PARK SERVICE
1993 SUPPLEMENTARY HISTORY OBJECT TERM LIST

OBJECT TERM AND MODIFIER	CLASSIFICATION
FILTER, COFFEE	FOOD PROCESSING T&E
FITTING, BOOM	WATER TRANSP.-ACCESSORY
FITTING, GREASE	METALWORKING T&E
FITTING, LEG	FURNITURE
FLANGE, HEAD SCUPPER	WATER TRANSP.-ACCESSORY
FLASHER	MECHANICAL T&E
FLASHING	BUILDING COMPONENT
FLOOR	BUILDING COMPONENT
FLORA, PRESSED	ART
FLYER	DOCUMENTARY ARTIFACT
FOIL, PHONOGRAPH	SOUND COMMUNICATION EQ
FOLDER	DOCUMENTARY ARTIFACT
FOLDER, PAPER	OTHER T&E FOR MATERIALS
FOODSTUFF	FOOD T&E
FOOTREST	LAND TRANSP.-ACCESSORY
FORELOCK	WATER TRANSP.-ACCESSORY
FORK, BARBECUE	FOOD PROCESSING T&E
FORM	DOCUMENTARY ARTIFACT
FORM, ARCH	MASONRY & STONEWORKING T&E
FORM, SLEEVE	TEXTILEWORKING T&E
FRAME	WATER TRANSP.-ACCESSORY
FRAME, MIRROR	FURNITURE
FRETWORK	WATER TRANSP.-ACCESSORY
FUSE	ELECTRICAL & MAGNETIC T&E
GASKET	WATER TRANSP.-ACCESSORY
GAUGE, TEMPERATURE	LAND TRANSP.-MOTORIZED
GAVEL	PERSONAL SYMBOL
GEAR	MECHANICAL T&E
GLASS, WINDOW	BUILDING COMPONENT
GLOVE, EXAMINATION	MEDICAL & PSYCHOLOGICAL T&E
GOOSE	TEXTILEWORKING T&E
GRATING	WATER TRANSP.-ACCESSORY
GRINDER, FOOD	FOOD PROCESSING T&E
GUARD	ANIMAL HUSBANDRY T&E
GUARD, LEG	ARMAMENT-ACCESSORY
GUIDE, SAW SHARPENING	METALWORKING T&E
GUN, BARREL	ARMAMENT-FIREARM
GUN, PNEUMATIC	ARMAMENT-FIREARM
GUN, RAPID FIRE	ARMAMENT-ARTILLERY
GUN, SPEAR	FISHING & TRAPPING T&E
GUN, WALL	ARMAMENT-FIREARM
GUNFLINT	ARMAMENT-ACCESSORY
GUNPOWDER	ARMAMENT-AMMUNITION
GUTTER	BUILDING COMPONENT
GUY	BUILDING COMPONENT
HAMMER, ADZ EYE	WOODWORKING T&E

NATIONAL PARK SERVICE
1993 SUPPLEMENTARY HISTORY OBJECT TERM LIST

OBJECT TERM AND MODIFIER	CLASSIFICATION
HAMMER, ENGINEER'S	METALWORKING T&E
HANDLE	FUNCTION UNKNOWN
HANGER, COMB	PERSONAL GEAR
HANGER, ORNAMENT	HOUSEHOLD ACCESSORY
HANGER, PANTS	HOUSEHOLD ACCESSORY
HANGER, PLANT	HOUSEHOLD ACCESSORY
HANGER, PLATE	HOUSEHOLD ACCESSORY
HANGER, SKIRT	HOUSEHOLD ACCESSORY
HANK, JIB	WATER TRANSP.-ACCESSORY
HARDWARE, WAGON	LAND TRANSP.-ACCESSORY
HARNESS, RATION CART	LAND TRANSP.-ACCESSORY
HAT, CAMPAIGN	CLOTHING-HEADWEAR
HAT, UNIFORM	CLOTHING-HEADWEAR
HAWSE	WATER TRANSP.-ACCESSORY
HEART	WATER TRANSP.-ACCESSORY
HEATER, GAS	TEMPERATURE CONTROL DEVICE
HEATER, KEROSINE	TEMPERATURE CONTROL DEVICE
HITCH, TRAILER	LAND TRANSP.-MOTORIZED
HOLDER, BEVERAGE	FOOD SERVICE T&E
HOLDER, BUTTONHOOK	CLOTHING-ACCESSORY
HOLDER, CARD	GAME
HOLDER, CHALK	WRITTEN COMMUNICATION T&E
HOLDER, COASTER	FOOD SERVICE T&E
HOLDER, CORN	FOOD SERVICE T&E
HOLDER, CUP	FOOD SERVICE T&E
HOLDER, FILM AND PLATE	PHOTOGRAPHIC T&E
HOLDER, FISHING LINE	FISHING & TRAPPING T&E
HOLDER, LABEL	WRITTEN, COMMUNICATION T&E
HOLDER, LANTERN SLIDE	VISUAL COMMUNICATION T&E
HOLDER, LAST	LEATHER, HORN, SHELLWORKING
HOLDER, LETTER	WRITTEN COMMUNICATION T&E
HOLDER, MESSAGE	WRITTEN COMMUNICATION EQ
HOLDER, NAME CARD	WRITTEN COMMUNICATION T&E
HOLDER, PAPER	WRITTEN COMMUNICATION T&E
HOLDER, SHOT GLASS	FOOD SERVICE T&E
HOLDER, SOUFFLE DISH	FOOD SERVICE T&E
HOOD, LENS	PHOTOGRAPHIC T&E
HOOK AND EYE	CLOTHING-ACCESSORY
HOOK, CARGO	WATER TRANSP.-ACCESSORY
HOOK, CHAIN	WATER TRANSP.-ACCESSORY
HOOK, CLOTHES	HOUSEHOLD ACCESSORY
HOOK, CONNECTING	OTHER T&E FOR MATERIALS
HOOK, FIREPLACE	FOOD PROCESSING T&E
HOOK, PELICAN	OTHER T&E FOR MATERIALS
HOOK, PINTLE	ARMAMENT-ACCESSORY
HOOK, POT	FOOD PROCESSING T&E

NATIONAL PARK SERVICE
1993 SUPPLEMENTARY HISTORY OBJECT TERM LIST

OBJECT TERM AND MODIFIER	CLASSIFICATION
HOOK, S	MULTIPLE USE ARTIFACTS
HOOK, SISTER	WATER TRANSP.-ACCESSORY
HOOK, STOPPER	WATER TRANSP.-ACCESSORY
HOOK, SWAY	WATER TRANSP.-ACCESSORY
HOOK, SWIVEL	WATER TRANSP.-ACCESSORY
HOOK, TAFFRAIL	WATER TRANSP.-ACCESSORY
HOOK, TURF	AGRICULTURAL T&E
HOOP, SKIRT	CLOTHING-UNDERWEAR
HOOP, TOPMOST	WATER TRANSP.-ACCESSORY
HOPPER	AGRICULTURAL T&E
HORSE, STITCHING	LEATHER, HORN, SHELLWORKING
HOSE	LAND TRANSP.-ACCESSORY
HOSE, AIR	OTHER T&E FOR SCI. & TECH.
HOSE, ENEMA	MEDICAL & PSYCHOLOGICAL T&E
HOSE, GARDEN	AGRICULTURAL T&E
HUBCAP	LAND TRANSP.-ACCESSORY
HULL	WATER TRANSP.-EQUIPMENT
HUSK, SOUVENIR	DOCUMENTARY ARTIFACT
ICON	CEREMONIAL ARTIFACT
ILLUMINATOR	VISUAL COMMUNICATION T&E
INDICATOR, HORSEPOWER	WATER TRANSP.-ACCESSORY
INDICATOR, STEAM	MECHANICAL T&E
INSIGNIA	PERSONAL SYMBOL
INSTRUCTIONS	DOCUMENTARY ARTIFACT
INSTRUMENT, CENTERING	WOODWORKING T&E
INSULATION	BUILDING COMPONENT
INTERFACING	TEXTILEWORKING T&E
IRON, BOAT	WOODWORKING T&E
IRON, CRIMPING	TEXTILEWORKING T&E
IRON, SHARP	WOODWORKING T&E
IRON, TIRE	LAND TRANSP.-ACCESSORY
ITINERARY	DOCUMENTARY ARTIFACT
JACK, PUMP	SITE FEATURE
JACK, TELEPHONE	TELECOMMUNICATION T&E
JACKET, PHONOGRAPH RECORD	SOUND COMMUNICATION T&E
JAR, FOODSTUFF	MERCHANDISING T&E
JAR, MEDICINE	MERCHANDISING T&E
JAR, TOILETRY	MERCHANDISING T&E
JOINT, UNIVERSAL	ENERGY PRODUCTION T&E
JOIST	BUILDING COMPONENT
JOLLY, BEACH	WATER TRANSP.-EQUIPMENT
JUG, FUEL	MERCHANDISING T&E
KEEL	WATER TRANSP.-EQUIPMENT
KEELSON	WATER TRANSP.-EQUIPMENT
KIT, REPAIR	ARMAMENT-ACCESSORY
KIT, SAILMAKER'S NEEDLE	TEXTILEWORKING T&E

NATIONAL PARK SERVICE
1993 SUPPLEMENTARY HISTORY OBJECT TERM LIST

OBJECT TERM AND MODIFIER	CLASSIFICATION
KNEE	WATER TRANSP.-ACCESSORY
KNIFE, BLEEDING	ANIMAL HUSBANDRY T&E
KNIFE, CARPET	TEXTILEWORKING T&E
KNIFE, SCALING	FOOD PROCESSING T&E
KNIGHTHEAD	WATER TRANSP.-ACCESSORY
KNOB	FURNITURE
LABEL, LINEN	TEXTILEWORKING T&E
LABEL, PROPERTY	DOCUMENTARY ARTIFACT
LABEL, SHIPPING	DOCUMENTARY ARTIFACT
LACE	ART
LAG	OTHER T&E FOR MATERIALS
LAMP, AUTOMOBILE	LAND TRANSP.-ACCESSORY
LAMP, FLAME SAFETY	WATER TRANSP.-ACCESSORY
LAMP, SUN	MEDICAL & PSYCHOLOGICAL T&E
LANTERN, CARBIDE	MINING & MINERAL HARVESTING
LAST, SADDLE	LEATHER, HORN, SHELLWORKING
LATTICE	BUILDING COMPONENT
LAUNCHER, PYROTECHNIC	VISUAL COMMUNICATION T&E
LAUNCHER, ROCKET	ARMAMENT-ARTILLERY
LAUNCHER, TARGET	ARMAMENT-ACCESSORY
LAZY SUSAN	FOOD SERVICE T&E
LEAD	METALWORKING T&E
LENS, RANGE LIGHT	OPTICAL T&E
LETTER, FORM	ADVERTISING MEDIUM
LID	FUNCTION UNKNOWN
LIFTER, HAT BOX	MERCHANDISING T&E
LINE, DRIVE	ENERGY PRODUCTION T&E
LINE, STEAM	ENERGY PRODUCTION T&E
LINK	WATER TRANSP.-ACCESSORY
LINOLEUM	FLOOR COVERING
LITHOPHANE	ART
LIZARD	WATER TRANSP.-ACCESSORY
LOCKER	HOUSEHOLD ACCESSORY
LOOP, HONDA	AGRICULTURAL T&E
LOOP, MAST	WATER TRANSP.-ACCESSORY
MACHINE, DEPTH-GAUGE	SOUND COMMUNICATION T&E
MACHINE, RECORDING	SOUND COMMUNICATION T&E
MACHINE, STENCIL	WRITTEN COMMUNICATION EQ
MACHINE, TICKET PUNCH	MERCHANDISING T&E
MANDREL, PHONOGRAPH	SOUND COMMUNICATION T&E
MANUSCRIPT, MUSIC	DOCUMENTARY ARTIFACT
MAQUETTE	ART
MARKER	AGRICULTURAL T&E
MARKER, BOUNDARY	SURVEYING & NAVIGATIONAL T&E
MARKER, PATTERN	TEXTILEWORKING T&E
MASK, DIVER'S	WATER TRANSP.-ACCESSORY

NATIONAL PARK SERVICE
1993 SUPPLEMENTARY HISTORY OBJECT TERM LIST

OBJECT TERM AND MODIFIER	CLASSIFICATION
MASK, LIFE	ART
MAST	WATER TRANSP.-ACCESSORY
MAT, STOVE	FLOOR COVERING
MATTE	ART
MEASURE, PHARMACEUTICAL	MEDICAL & PSYCHOLOGICAL T&E
MEDICINE	MEDICAL & PSYCHOLOGICAL T&E
METER, GAS	MECHANICAL T&E
MILL, GRAIN	FOOD PROCESSING T&E
MIMEOSCOPE	PHOTOGRAPHIC T&E
MINUTES, MEETING	DOCUMENTARY ARTIFACT
MITT, BATH	TOILET ARTICLE
MODEL	ART
MODEL, EXHIBIT	OTHER T&E FOR COMMUNICATION
MOLD, DOUGHNUT	FOOD PROCESSING T&E
MOLDING	BUILDING COMPONENT
MONITOR, VIDEO	TELECOMMUNICATIONS T&E
MOUNT, ENGINE	ENERGY PRODUCTION T&E
NECKPIECE	CLOTHING-ACCESSORY
NIGHT-LIGHT	LIGHTING DEVICE
NOGGING	BUILDING COMPONENT
NOTE	DOCUMENTARY ARTIFACT
OATH	DOCUMENTARY ARTIFACT
OIL, LATHE	METALWORKING T&E
OIL, NEAT'S-FOOT	LEATHER, HORN, SHELLWORKING
OINTMENT, ANTI-GAS	OTHER T&E FOR SCI. & TECH.
ORDER, PAY	DOCUMENTARY ARTIFACT
ORDER, SHIPPING	DOCUMENTARY ARTIFACT
ORGANIZER, DESK	WRITTEN COMMUNICATION T&E
ORNAMENT	ART
ORNAMENT, HARNESS	LAND TRANSP.-ACCESSORY
ORNAMENT, HOLIDAY	ART
ORNAMENT, PARTY	ART
PACKET, FOODSTUFF	MERCHANDISING T&E
PACKET, PESTICIDE	MERCHANDISING T&E
PAD, SCOURING	MAINTENANCE T&E
PANELING	WATER TRANSP.-ACCESSORY
PAPER FRAGMENT	ARTIFACT REMNANT
PAPER, CARBON	WRITTEN COMMUNICATION EQ
PAPER, CIGARETTE	PERSONAL GEAR
PAPER, NEEDLE	MERCHANDISING T&E
PAPER, PINS	MERCHANDISING T&E
PAPER, ROOFING	BUILDING COMPONENT
PAPER, WAX	MERCHANDISING T&E
PASS, BOARDING	DOCUMENTARY ARTIFACT
PAVEMENT	SITE FEATURE
PELORUS	SURVEYING & NAVIGATIONAL T&E

NATIONAL PARK SERVICE
1993 SUPPLEMENTARY HISTORY OBJECT TERM LIST

OBJECT TERM AND MODIFIER	CLASSIFICATION
PENCIL/PEN	WRITTEN COMMUNICATION T&E
PHONOGRAPH, CYLINDER	SOUND COMMUNICATION T&E
PHONOGRAPH, DISC	SOUND COMMUNICATION T&E
PHONOGRAPH, FOIL	SOUND COMMUNICATION EQ
PICK, FLORIST'S	OTHER T&E FOR MATERIALS
PICK, GUITAR	MUSICAL T&E
PICK, HORS D'OEUVRE	FOOD SERVICE T&E
PICTURE, BEADED	ART
PICTURE, FEATHER	ART
PILL	MEDICAL & PSYCHOLOGICAL T&E
PIN, AWARD	PERSONAL SYMBOL
PIN, HALYARD	WATER TRANSP.-ACCESSORY
PIN, HINGE	WATER TRANSP.-ACCESSORY
PIN, INSIGNIA	PERSONAL SYMBOL
PIN, INSULATOR	ELECTRICAL & MAGNETIC T&E
PIN, PICKET	ANIMAL HUSBANDRY T&E
PIN, PIVOT	WATER TRANSP.-ACCESSORY
PIN, SHACKLE	WATER TRANSP.-ACCESSORY
PIN, TACK	WATER TRANSP.-ACCESSORY
PINRAIL	WATER TRANSP.-ACCESSORY
PIPE	WATER TRANSP.-ACCESSORY
PIPE, EXHAUST	ENERGY PRODUCTION T&E
PIPE, FOOTING	METALWORKING T&E
PIPE, SCUPPER	WATER TRANSP.-ACCESSORY
PISTOL, LINE-THROWING	ARMAMENT-FIREARM
PISTOL, SHOT	ARMAMENT-FIREARM
PLAN	DOCUMENTARY ARTIFACT
PLANE, TROLLING	FISHING & TRAPPING T&E
PLANKING	WATER TRANSP.-ACCESSORY
PLASTER	MEDICAL & PSYCHOLOGICAL T&E
PLASTIC FRAGMENT	ARTIFACT REMNANT
PLATE, BUILDER'S	DOCUMENTARY ARTIFACT
PLATE, ELECTROTYPE	PRINTING T&E
PLATE, ENGINE	ENERGY PRODUCTION T&E
PLATE, SPECIFICATION	MINING T&E
PLATE, SWITCH	BUILDING COMPONENT
PLATE, TIE	RAIL TRANSPORTATION, ACCESSORY
PLATE, WARMING	FOOD PROCESSING T&E
PLAYER, DIGITAL DISC	SOUND COMMUNICATION EQ
PLINTH	ART
PLOW, EVENER	METALWORKING T&E
PLOW, TWO-WAY	AGRICULTURAL T&E
PLUG	SOUND COMMUNICATION T&E
POLISH, STOVE	MAINTENANCE T&E
POMPON	PERSONAL SYMBOL
PORTHOLE	WATER TRANSP.-ACCESSORY

NATIONAL PARK SERVICE
1993 SUPPLEMENTARY HISTORY OBJECT TERM LIST

OBJECT TERM AND MODIFIER	CLASSIFICATION
POST, BINDING	ELECTRICAL & MAGNETIC T&E
POWDER, ANTI-DIMMING	OTHER T&E FOR SCI. & TECH.
PRESCRIPTION	DOCUMENTARY ARTIFACT
PRESS, COOKIE	FOOD PROCESSING T&E
PRESS, MEAT	FOOD PROCESSING T&E
PRESS, TENNIS RACKET	SPORTS EQUIPMENT
PRESS, WAFER	CEREMONIAL ARTIFACT
PRICKER, SAILMAKER'S	TEXTILEWORKING T&E
PRISM, DECK	WATER TRANSP.-ACCESSORY
PROCLAMATION	DOCUMENTARY ARTIFACT
PROJECTOR/PHONOGRAPH	OTHER T&E FOR COMMUNICATION
PROPELLANT	ARMAMENT-ACCESSORY
PROTECTOR, DOCUMENT	WRITTEN COMMUNICATION T&E
PULASKI	FORESTRY T&E
PULL	FURNITURE
PULLER, GEAR	MECHANICAL T&E
PULLER, SLATE	MASONRY & STONEWORKING T&E
PULLEY, EXERCISE	SPORTS EQUIPMENT
PUMP, DIVER'S	OTHER T&E FOR SCI. & TECH.
PUMP, FLOAT	WATER TRANSP.-ACCESSORY
PUMP, FUEL	SITE FEATURE
PUMP, PLUNGER	WATER TRANSP.-ACCESSORY
PUNCHEON	BUILDING COMPONENT
RACK, BICYCLE	LAND TRANSP.-ACCESSORY
RACK, CLOTHING	WATER TRANSP.-ACCESSORY
RACK, COMB	TOILET ARTICLE
RACK, CUP	HOUSEHOLD ACCESSORY
RACK, DAIRY	FOOD PROCESSING T&E
RACK, EQUIPMENT	SPORTS EQUIPMENT
RACK, KNIFE	FOOD PROCESSING T&E
RACK, TIE	HOUSEHOLD ACCESSORY
RADIO/PHONOGRAPH	OTHER T&E FOR COMMUNICATION
RAIL	WATER TRANSP.-ACCESSORY
RAMROD	ARMAMENT-ACCESSORY
RAW MATERIAL (MATERIAL NAME)	APPROPRIATE CLASSIFICATION
RECORD, DICTATING MACHINE	SOUND COMMUNICATION T&E
REEL, FILM	PHOTOGRAPHIC T&E
REGISTER	DOCUMENTARY ARTIFACT
REGULATOR, NATURAL GAS	MERCHANDISING T&E
RELEASE, HYDROSTATIC	WATER TRANSP.-ACCESSORY
RELIC, HISTORIC	DOCUMENTARY ARTIFACT
RELIEF	ART
REMOVER, INK	WRITTEN COMMUNICATION T&E
REPORT	DOCUMENTARY ARTIFACT
REQUISITION	DOCUMENTARY ARTIFACT
RESIDUE	CHEMICAL T&E

NATIONAL PARK SERVICE
1993 SUPPLEMENTARY HISTORY OBJECT TERM LIST

OBJECT TERM AND MODIFIER	CLASSIFICATION
REST, PEN	WRITTEN COMMUNICATION T&E
RESUME	DOCUMENTARY ARTIFACT
RETABLO	CEREMONIAL ARTIFACT
RIFLE, ASSAULT	ARMAMENT-FIREARM
RIFLE, SPOTTING	ARMAMENT-FIREARM
RIFLE, TRAINING	ARMAMENT-FIREARM
RING, DRAPERY	WINDOW OR DOOR COVERING
ROD	MECHANICAL T&E
ROD, CONNECTING	OTHER T&E FOR MATERIALS
ROD, DRAPERY	WINDOW OR DOOR COVERING
ROLLER, PAPER	MERCHANDISING T&E
ROOF	BUILDING COMPONENT
ROUGE, JEWELER'S	OTHER T&E FOR MATERIALS
RUBBER, SAILMAKER'S	TEXTILEWORKING T&E
SCOOP, COFFEE	FOOD SERVICE T&E
SCOREPAD	DOCUMENTARY ARTIFACT
SCRAPER, FLOOR	ANIMAL HUSBANDRY T&E
SCRAPER, ICE	MULTIPLE USE ARTIFACTS
SCUPPER	WATER TRANSP.-ACCESSORY
SEAL, COMPANY	WRITTEN COMMUNICATION T&E
SEAL, SECURITY	MERCHANDISING T&E
SEALER, HEAT	MERCHANDISING T&E
SEMICONDUCTOR	ELECTRICAL & MAGNETIC T&E
SET, DECANTER	FOOD SERVICE T&E
SET, PAINT	PAINTING T&E
SET, RIVET	METALWORKING T&E
SETSCREW	METALWORKING T&E
SHAFT, DRIVE	LAND TRANSP.-ACCESSORY
SHEATH, FID	TEXTILEWORKING T&E
SHEATH, MINCING KNIFE	FISHING & TRAPPING T&E
SHEAVE	WATER TRANSP.-ACCESSORY
SHELLER, NUT	FOOD PROCESSING T&E
SHIELD, ERASING	DRAFTING T&E
SHOE, DIVER'S	PERSONAL GEAR
SHUFFLER, CARD	GAME
SIDING	BUILDING COMPONENT
SIGN, IDENTIFICATION	VISUAL COMMUNICATION T&E
SIGN, WARNING	VISUAL COMMUNICATION T&E
SLED, DOG	LAND TRANSP.-ANIMAL-POWERED
SLEEVE, PHONOGRAPH RECORD	MERCHANDISING T&E
SLICER, EGG	FOOD PROCESSING T&E
SLIP, BANK DEPOSIT	DOCUMENTARY ARTIFACT
SNAP	CLOTHING ACCESSORY
SOCKET	METALWORKING T&E
SORTER, CRANBERRY	AGRICULTURAL T&E
SORTER, WIRE	METALWORKING T&E

NATIONAL PARK SERVICE
1993 SUPPLEMENTARY HISTORY OBJECT TERM LIST

OBJECT TERM AND MODIFIER	CLASSIFICATION
SPAR	WATER TRANSP.-ACCESSORY
SPARKPLUG	ENERGY PRODUCTION T&E
SPIKE, HAWSE	WATER TRANSP.-ACCESSORY
SPONGE	HOUSEHOLD ACCESSORY
SPREADER	WATER TRANSP.-ACCESSORY
SPREADER, MINERAL	AGRICULTURAL T&E
SPREADER, ROPE	AGRICULTURAL T&E
SPRING	MECHANICAL T&E
SPRING, COIL	MECHANICAL T&E
SPRING, LEAF	MECHANICAL T&E
STAND	HOUSEHOLD ACCESSORY
STAND, CASSEROLE	FOOD SERVICE T&E
STAND, CHURN	FOOD PROCESSING T&E
STAND, DRUM	MUSICAL T&E
STAND, FLAG	CEREMONIAL ARTIFACT
STAND, MICROPHONE	SOUND COMMUNICATION T&E
STAND, PICTURE FRAME	HOUSEHOLD ACCESSORY
STAND, PLACECARD	HOUSEHOLD ACCESSORY
STAND, ROLLING PIN	FOOD PROCESSING T&E
STAND, SHOE REPAIR	OTHER T&E FOR MATERIALS
STAND, SHOESHINE	FURNITURE
STATEMENT	DOCUMENTARY ARTIFACT
STATEMENT, CUSTOMS	DOCUMENTARY ARTIFACT
STEELYARD	WEIGHTS & MEASURES T&E
STERN	WATER TRANSP.-EQUIPMENT
STERNPOST	WATER TRANSP.-ACCESSORY
STICK, LITTER PICKUP	MAINTENANCE T&E
STOCK (MATERIAL NAME)	APPROPRIATE CLASSIFICATION
STONE, MEMORIAL	CEREMONIAL ARTIFACT
STOOL, SWIVEL	WATER TRANSP.-ACCESSORY
STOVE, CHARCOAL	TEMPERATURE CONTROL DEVICE
STOVE, COAL	TEMPERATURE CONTROL DEVICE
STOVE, KEROSINE	FOOD PROCESSING T&E
STOVE, OIL	TEMPERATURE CONTROL DEVICE
STRAW	FOOD SERVICE T&E
STRETCHER, PANTS	CLOTHING-ACCESSORY
STROP, BLOCK	WATER TRANSP.-ACCESSORY
STUD, CAMPAIGN	PERSONAL SYMBOL
SWEEPER, LAWN	AGRICULTURAL T&E
T-SQUARE/PROTRACTOR	DRAFTING T&E
TABLE, FOLDING	FURNITURE
TABLE, MASSAGE	MEDICAL & PSYCHOLOGICAL T&E
TABLET	WRITTEN COMMUNICATION T&E
TACK, CARPET	WOODWORKING T&E
TACK, UPHOLSTERY	TEXTILEWORKING T&E
TACKLE, FISHING	FISHING & TRAPPING T&E

NATIONAL PARK SERVICE
1993 SUPPLEMENTARY HISTORY OBJECT TERM LIST

OBJECT TERM AND MODIFIER	CLASSIFICATION
TAFFRAIL	WATER TRANSP.-ACCESSORY
TAG	DOCUMENTARY ARTIFACT
TAPE, PACKAGING	MULTIPLE USE ARTIFACTS
TAPE, REGISTER	MERCHANDISING T&E
TAPE, SEED	AGRICULTURAL T&E
TELEVISION	TELECOMMUNICATION T&E
TEXTILE FRAGMENT	ARTIFACT REMNANT
THREADER, PIPE	METALWORKING T&E
THRESHOLD	BUILDING COMPONENT
THUMBTACK	WRITTEN COMMUNICATION T&E
TICKET, RATION	EXCHANGE MEDIUM
TIE, BUNDLE	MERCHANDISING T&E
TIE, MASONRY	BUILDING COMPONENT
TIE, RAILROAD	RAIL TRANSP.-ACCESSORY
TIE, TWIST	MULTIPLE USE ARTIFACTS
TIN, FOODSTUFF	MERCHANDISING T&E
TIN, MEDICINE	MERCHANDISING T&E
TIN, POWDER	ARMAMENT-ACCESSORY
TIN, TOBACCO	MERCHANDISING T&E
TIN, TOILETRY	MERCHANDISING T&E
TONGS, CARGO	WATER TRANSP.-ACCESSORY
TONGS, PAPER	PHOTOGRAPHIC T&E
TOOL, COOPERING	WOODWORKING T&E
TOOL, CORNERING	WOODWORKING T&E
TOOL, ENTRENCHING	ARMAMENT-ACCESSORY
TOOL, PACKING	WATER TRANSP.-ACCESSORY
TOOL, POUCH	ARMAMENT-ACCESSORY
TOOL, PRIMING	ARMAMENT-ACCESSORY
TORTILLON	PAINTING T&E
TOWEL	TOILET ARTICLE
TRANSMISSION	ENERGY PRODUCTION T&E
TRANSOM	BUILDING COMPONENT
TRANSPARENCY	ART
TRAY, CARD	GAME
TRIDENT	CEREMONIAL ARTIFACT
TUB, FOODSTUFF	MERCHANDISING T&E
TUBE, TOILETRY	MERCHANDISING T&E
TUNER, MULTIPLEX	ACOUSTICAL T&E
TUYERE	METALWORKING T&E
TYPESCRIPT	DOCUMENTARY ARTIFACT
VALVE	FUNCTION UNKNOWN
VALVE, PRESSURE RELIEF	WATER TRANSP.-ACCESSORY
VENT, CAP	PLUMBING FIXTURE
VIBRATOR	MEDICAL & PSYCHOLOGICAL T&E
VOUCHER	DOCUMENTARY ARTIFACT
WAFER	WRITTEN COMMUNICATION T&E

NATIONAL PARK SERVICE
1993 SUPPLEMENTARY HISTORY OBJECT TERM LIST

OBJECT TERM AND MODIFIER	CLASSIFICATION
WALL	BUILDING COMPONENT
WAND	TOY
WAX	FOOD PROCESSING T&E
WAX, SAILMAKER'S	TEXTILEWORKING T&E
WAX, SKI	SPORTS EQUIPMENT
WAY, SHIPYARD	OTHER STRUCTURE
WEATHERSTRIP	TEMPERATURE CONTROL DEVICE
WEIGHT	LAND TRANSP.-ACCESSORY
WEIGHT, COUNTERBALANCE	FOOD PROCESSING T&E
WEIGHT, HITCHING	LAND TRANSP.-ACCESSORY
WHEELBOX	WATER TRANSP.-ACCESSORY
WHORL	TEXTILEWORKING T&E
WINDOW	WATER TRANSP.-ACCESSORY
WIRE, BALING	AGRICULTURAL T&E
WIRE, BARBED	AGRICULTURAL T&E
WIRE, CHICKEN	AGRICULTURAL T&E
WOOD FRAGMENT	ARTIFACT REMNANT
WORKSHEET	DOCUMENTARY ARTIFACT
YARD	WATER TRANSP.-ACCESSORY
YOKE, CONNECTING	MECHANICAL T&E

Appendix H: Natural History Collections

Page

A. Overview. H.1
What information can I find in this appendix?. H:1
What are natural history collections?..... H:1
Why does the NPS collect and maintain natural history collections?. H:2
Why are natural history collections important?. H:2
What determines how NPS natural history collections are used?. H:3
Where can I find further information on NPS natural history collections?.. ..... H:4

B. Natural History Collections. H:4
What kinds of specimens are commonly found in NPS natural history collections?. H:4
What characterizes NPS biological collections?. H:5
Why are NPS biological collections important?.. ..... H:5
What kinds of specimens are found in NPS biological collections?. H:6
What are some examples of NPS biological collections?. H:6
What characterizes NPS geological collections?.. ..... H:6
Why are NPS geological collections important?. H:6
What kinds of specimens are found in NPS geological collections?... ..... H:7
What are some examples of NPS geological collections?. H:7
What characterizes NPS paleontological collections?. H:7
What kinds of specimens are found in NPS paleontological collections?. H:8
Why are NPS paleontology collections important?. H:8
What are some examples of NPS paleontological collections?. H:9

C. Collecting Natural History Specimens… H:9
Who collects natural history specimens in the park?. H:9
What are some of the purposes for collecting?.. ..... H:9
Why is the long-term preservation of specimens important?... ..... H:10
What has driven recent growth of NPS natural history collections?.. ..... H:10
What is the Inventory and Monitoring Program (I&M)?. H:10
What is an All-Taxa Biodiversity Inventory (ATBI)?.. ..... H:11
What is a BioBlitz?. H:12
Must all specimens in a collection be collected within park boundaries?. H:12
What laws and regulations apply to collecting natural history specimens in parks?. H:13
Are there other laws or mandates that may require additional permits for collecting natural history specimens in parks?. H:13
What are Threatened and Endangered species?. H:14
Does the museum have to track living specimens?. H:14

D. Natural History Collecting Permits.. ..... H:14
How does the NPS authorize the collection of natural history specimens and determine their disposition?. H:14
What does 36CFR2.5 require?. H:15
What is the Research Permit and Reporting System (RPRS)?. H:15
What are the goals of the RPRS?. H:15
Who is required to have a permit?. H:16
Must NPS employees use RPRS?. H:16
Where can I find the General Conditions for the Scientific Research and Collecting Permit?. H:16
Can a park add additional conditions to a permit? H:16

Page

What issues should a curator consider when reviewing an application for a research permit?..... H:17
Who is responsible for curation costs?..... H:18
What is benefits sharing? H:19
What is a benefits-sharing agreement?..... H:20
What if no specimens are collected?..... H:20
How do parks handle permits for multi-park collecting projects?. H:20

E. Accessioning Natural History Collections..... H:21
Must I accession NPS natural history specimens into the park museum collection?..... H:21
How do I accession natural history collections?..... H:21
When do I accession natural history collections?..... H:21
What information do I need for an accession?. H:22
Can the NPS convey ownership of natural history collections from park lands?. H:23
May I exchange duplicate specimens?..... H:23
Can I loan natural history specimens?..... H:24
What procedures must I follow when loaning natural history collections?. H:24
Can I deaccession natural history collections?..... H:24
What documentation is required for unaccessioned specimens consumed through analysis as part of the research project?..... H:25
What documentation is required for cataloged specimens consumed through destructive analysis?. H:25

F. Cataloging Natural History Collections..... H:25
Where do I find procedures for cataloging natural history collections?..... H:25
Who is responsible for cataloging natural history collections?..... H:25
Who pays for cataloging natural history collections?..... H:25
What materials for cataloging collections must I give to the collector?. H:26
Must I use ICMS to catalog natural history collections?..... H:26
What fields on the catalog record must the collector complete?. H:26
Who is responsible for cataloging the documentation associated with the specimens?..... H:27
Who is responsible for monitoring the accuracy of the records?..... H:27
What documentation must the collector submit to you?.. ..... H:28
Who prepares the natural history labels and marks the specimens?..... H:28
How do I track changes in scientific names?..... H:28
What is NPSpecies?..... H:28
How do I handle cataloging for multi-year projects?..... H:30

G. Recording Locality..... H:30
Why is locality information important?..... H:30
What are the two types of locality information?..... H:30
Does ICMS include coordinate system fields for recording a locality?..... H:31
What is the Land Survey System?..... H:31
What is the most prevalent way to record locality today?. H:32
What is the UTM coordinate system?..... H:32
What is the latitude and longitude coordinate system?..... H:32

H. Lot Cataloging Natural History Collections..... H:32
What is lot cataloging?..... H:32
What are the rules for lot cataloging natural history collections?. H:33
How does lot cataloging relate to the research objectives of the collecting project?. H:34
What is the difference between a lot sample and a bulk sample?. H:34

Page

What constitutes a natural history cataloging lot or unit?. H:34
Does lot cataloging vary from taxon to taxon?. H:35
What constitutes a herbarium specimen?. H:35
How do I catalog specimens that are in separate “pieces”?..... H:36
How do I catalog multiple individuals or species that are in one physical unit?. H:36
What is the maximum allowable taxonomic diversity within a lot?. H:36
Are the procedures for lot cataloging natural history specimens different
from cataloging specimens individually?. H:36
What do I do if I need to remove specimens from the lot?. H:37
What if specimens in a lot are recataloged?..... H:38

I. Taxonomy and Classification. H:38
What is the difference between identification and scientific classification?..... H:38
How does taxonomy affect the organization of my natural history collection?. H:39
Does the organization of a biological collection always strictly follow taxonomy?.. ..... H:40
Why is having the complete taxonomic hierarchy so important?.. ..... H:40
Are there other ways that parts of a natural history collection may be organized?..... H:40
What are taxonomic rank suffixes?..... H:41
Is there any difference in the classification used for biology and paleontology?..... H:41
How do I classify unidentified specimens?.. ..... H:42
Where can I find classification aids?..... H:42
What is the HCO?. H:43
What is a type specimen?..... H:43
What is a voucher specimen?..... H:44
How does a voucher specimen differ from a photo “voucher”?.. ..... H:44

J. Scientific Name…..... H:45
What is a scientific name?.. ..... H:45
Can a natural history specimen have more than one scientific name?.. ..... H:45
What abbreviations and notations can I use to denote uncertain identification?. H:45
What are annotations?..... H:46
What should I do with older scientific name annotations?..... H:46
What are synonyms?... ..... H:47
What is a descriptive name?..... H:47
What is a common name?.. ..... H:47
Do fossils have common names?..... H:48
How do I handle hybrid names?. H:48

K. ITIS. H:49
What is ITIS?. H:49
Are there limitations to ITIS?. H:49
Do all researchers use ITIS?. H:50
How do I add additional classifications and names to ITIS?. H:50
Are fossil taxa included in ITIS?. H:50
Are abbreviations and notations available in the ITIS table in ICMS?..... H:51
What is a TSN?..... H:51
Can I use the TSN to help classify unidentified specimens?..... H:51
Can I use ITIS for hybrids?. H:51

L. Difficult Classifications. H:51
How do I classify lichens?..... H:51

Page

What is an environmental sample?..... H:51
How do I classify composite samples?..... H:52
What is a cast?. H:52
How should I catalog casts?. H:52
What are trace fossils?.... ..... H:53
How should I catalog trace fossils?..... ..... H:53
Should I include specimens mounted on slides as part of the collection?.... ..... H:53
How do I catalog specimens on slides?. H:53
How do I catalog and preserve tissues?..... H:54
How do I preserve DNA samples?..... H:54
How do I catalog DNA samples?.. ..... H:55
How do I document a loan of DNA sample that is a component part of a specimen?.. ..... H:55
How do I care for frozen specimens?.. ..... H:56

M. Repositories for Natural History Collections.. ..... H:56
What is a partner repository?..... H:56
What kinds of standards must a partner repository meet?.. ..... H:57
How do I choose a partner repository?..... H:57
How do I track specimens stored at a partner repository?. H:57
Can specimens be placed on “permanent” loan?..... H:57
Can specimens be placed in private collections?..... H:58
How do I create a repository agreement?. H:58
Who pays for curation costs at a non-NPS repository?..... H:58
What are the costs involved with curation at a repository?. H:59
Does the NPS have any servicewide repository agreements?.. ..... H:59
What is a material transfer agreement?.. ..... H:60
What are orphan collections?.. ..... H:60

N. Natural History Specimen Labels..... H:61
What are natural history specimen labels?..... H:61
Why are labels important?. H:61
Must I use NPS labels?. H:61
Where can I get natural history labels?. H:61
Who completes the natural history specimen label?. H:61
What information goes on the label?. H:61
What if the label is incomplete?... ..... H:61
What labels do I use for a specimen?. H:62
Do NPS specimens at repositories have both the NPS and the repository labels?. H:62
How do I modify existing labels in ICMS to meet specific needs?.. ..... H:62
Can I remove old labels?. H:62

O. Labeling and Marking Specimens....... H:62
What supplies do I need to mark and label natural history specimens?. H:62
How do I label wet specimens?. H:63
Are there other forms of wet specimen labels?. H:64
How do I mark a number on a natural history specimen?. H:64
How do I mark plant specimens?..... H:65
How do I mark vertebrate specimens?. H:65
How do I mark invertebrate specimens?. H:66
How do I mark paleontology specimens?..... H:66
How do I mark geology specimens?..... H:67

Page

How do I mark microscopic specimens?. H:67
When do I use an annotation label?. H:67

P. Associated Records. H:67
What are associated records?. H:67
What policies and other guidance cover the management of associated records?. H:68
Who owns the associated records?. H:68
What if no research permit was issued?. H:69
Who owns records generated by USGS or other federal agencies stationed at the park as partners?. H:69
Could there by overlap or duplication between a park's natural history records and an independent researcher's collection of personal papers?. H:69
How should I handle, preserve, and house the associated records?. H:70

Q. Accessioning Associated Records. H:70
Should I accession associated records?. H:70
Why is it necessary to accession associated records?. H:70
Should I accession records for projects that don't produce specimens?. H:70
Do I accession associated records from non-NPS researchers as a gift?. H:70
May researchers keep copies of the associated records they generate?. H:71
Should all archival materials relating to natural history automatically be considered park records?. H:71
Are there restrictions on site data in the associated records for natural history collections?. H:71
Can I restrict access to the associated records?. H:71

R. Archival Collections. H:71
What is a collection?. H:71
Why isn't each different project a separate collection?. H:72
How do I manage project files if they are kept together in a single collection?. H:73
Should I keep together all the documents relating to a particular project?. H:73
May I mix documents from different projects in the same file units or file folders?. H:73
What if a single field notebook contains information about multiple projects?. H:73

S. Cataloging Associated Records. H:73
How should I catalog associated records?. H:73
What steps do I need to take before I can begin to catalog a collection of associated records?. H:74
What steps do I need to take to catalog a collection of records associated with natural history projects?. H:74
What if previously accessioned project files were already cataloged separately?. H:76
How should I handle new accessions that come in after I have cataloged a collection of associated records?. H:76
What if you are filing accessions by accession number, but accessions are not received in the order in which the accession numbers were issued?. H:77
Should my park report accretions to existing collections on the Collections Management Report?. H:77
How should I catalog associated records for accessions that are housed at off-site repositories?. H:78
How should I catalog associated records for network projects?. H:78
How do I manage associated records created under a multi-park permit?. H:79

Page

What if my park has to send network-related project files to a network coordinator at another park? H:79

T. Bibliography. H:79

U. List of Figures. H:84
Figure H.1 Decision Flowchart for Curators. H:85
Figure H.2 Natural History Labels. H:86
Figure H.3 Attaching String to Specimen Label. H:91
Figure H.4 Geological Time Scale H:92
Figure H.5 Requesting Wet Specimen Labels H:93

Tabs
Sample Repository Agreement. H:94
Hierarchies for Associated Records. H:105
HCO for Geology. H:124

Appendix H: Natural History Collections

A. Overview

1. *What information can I find in this appendix?*

This appendix contains a general overview of the management of natural history collections. It includes information on:

- the importance of natural history collections to the NPS
- who makes and uses natural history collections
- policies and regulations that cover natural history collections
- the NPS research permitting system
- documenting natural history collections
- taxonomy and classification of natural history specimens
- working with partner repositories
- associated documentation for natural history specimens
- natural history specimen labels

2. *What are natural history collections?*

Natural history collections consist of specimens taken from the living and non-living components of the natural world. Often these items are collected as part of a scientific research project in order to:

- serve as vouchers documenting research
- document an area's natural features
- provide a better understanding of a natural process
- document changes in the environment over time
- manage park resources

Natural history collections have scientific value. A natural history specimen records the occurrence of a particular natural resource at a specific location, at a specific time. Specimens can fall into three broad categories:

- biological organisms (non-living specimens)
- geological materials such as rocks and minerals
- fossils, both body and trace

Additionally, some natural history specimens may also have cultural significance. They may be the raw materials from which people make cultural items such as stone tools and clay pots. They may be plants

harvested for medicinal purposes. They may also have historical significance because of their association with an eminent figure or as part of a cultural landscape.

Note: The NPS is developing a system for tracking living biological specimens.

3. *Why does the NPS collect and maintain natural history collections?*

The NPS maintains natural history collections primarily to voucher, or document, the presence of plants, animals, fossils, rocks, minerals, and other resources in a park at a particular place and time. Researchers and resource managers use this information for science and resource management decisions. Parks use research results and specimens in exhibits and as the basis for education and interpretive programs. Natural history collections and their associated records, which are managed as archival collections, document the park's:

- natural environment
- geological history
- current conditions
- changes over time

For example, the collections can:

- form the basis for resource management decisions, such as eradication or restoration of species
- provide evidence of environmental change, such as in water or air quality
- document the occurrence of environmental toxins, such as DDT or mercury

4. *Why are natural history collections important?*

Natural history collections are integral to resource management, science, and education in the parks. Director's Order #24: NPS Museum Collections Management, states that NPS museum collections inform and enhance every aspect of park work.

Natural history specimens with appropriate documentation provide the basis to verify and to authenticate the presence and diversity of biological, geological, and paleontological resources found in the park.

Natural history collections provide:

- baseline documentation
- vouchers for research, documenting the existence of a species at a given place and time
- a foundation for science, resource management, and interpretation

- reference specimens for comparison to aid in the identification of similar specimens or to confirm new discoveries of these natural resources in the park (also referred to as synoptic reference samples)

Note: Synoptic is defined as affording a general view of a whole. A synoptic reference collection is made to provide a set of examples of:

- a specific group of natural history specimens
- parts of specimens in order to serve as a reference to aid in the identification of other specimens

Such a collection documents the presence and variety of these specimens in the park. A synoptic collection may not have been made to address a specific research or resource management question.

Examples include:

types of igneous rocks
types of dragonflies
examples of each of the major groups of fossil brachiopods
cones of each type of conifer

In addition, individual specimens and groups of specimens may have special significance or use. These include specimens that are:

- holotypes (individual specimens used to formally describe a new taxon)
- extirpated, rare, endangered or extinct species
- of special historical value
- rare to museum collections
- indicators of ecological health
- collected specifically for destructive sampling or for interpretive programs (not accessioned into the museum collection)

5. *What determines how NPS natural history collections are used?*

Natural history collections provide a foundation for management of park natural resources. Collections use depends on:

- available documentation and access venues, such as ICMS, Web Catalog, Index Herbariorum
- the specimens or parts available
- available expertise
- methods of preservation

- preservation quality

Researchers may use natural history collections to document:

- species occurrence
- gender variation
- variations among individuals and age groups
- seasonal variation
- habitat variation
- geographic variation and distribution
- ecological relationships and associations

6. *Where can I find further information on NPS natural history collections?*

For more information on NPS natural history collections, see:

- NPS *Management Policies 2006*, Chapter 4, Natural Resource Management
  http://www.nps.gov/policy/mp/policies.html
- Reference Manual 77: *Natural Resource Management*
- Director's Order #77-7: *Integrated Pest Management Manual*
- NPS-75, Natural Resources Inventory and Monitoring
- NPS Park Museum Management Program. *Museum Handbook*, Part I, Museum Collections:
  - Appendix Q: Curatorial Care of Natural History Collections
  - Appendix T: Curatorial Care of Biological Collections
  - Appendix U: Curatorial Care of Paleontological and Geological Collections

  http://www.nps.gov/history/museum/publications/
- NPS Park Museum Management Program , *Conserve O Gram* series, Section 11: Natural History Collections
  http://www.nps.gov/history/museum/publications/conserveogram/cons_toc.html

Note: Additional references on the care of specific types of natural history collections are found in the bibliography at the end of this appendix.

B. NPS Natural History Collections

1. *What kinds of specimens are commonly found in NPS natural history collections?*

NPS natural history collections are divided into three categories:

- Biological Collections: plants, fungi, insects, arachnids, other

invertebrates (such as snails), reptiles, amphibians, fish, bird, and mammal specimens and related derivatives

- Geological Collections: rocks, minerals, surface process samples, and soils

- Paleontological Collections: plant, animal, and trace fossils

2. *What characterizes NPS biological collections?*

Park biological collections may consist of all of the kingdoms of life collected within park boundaries. These include: Animalia, Chromista, Fungi, Monera, Plantae, and Protozoa.

Taxonomic experts are currently reviewing changes to the Kingdoms. The list will be updated when ITIS (see Section K) contains the changes.

Assembled and managed collections of plant, fungi, monera, and protista are called herbaria. Most parks have a herbarium as part of their museum collection.

Note: Major park herbaria are listed in the Index Herbariorum, which the New York Botanical Garden maintains at http://sciweb.nybg.org/science2/IndexHerbariorum.asp. Including park herbaria in the index increases worldwide accessibility to park collections.

Biological collections document the non-human biology of the park at a given time and place. When researchers make observations about the park environment, they often collect voucher specimens to vouch for, or testify to, their observations. If these specimens are not destroyed or consumed in analysis, they become part of the park's collection.

The NPS has an ongoing Inventory and Monitoring (I&M) program to inventory and monitor living resources in the parks. This program generates many specimens for the museum collections.

Many park biological collections are on loan to partner repositories for management.

3. *Why are NPS biological collections important?*

Biological collections can inform park planning, natural resource management, cultural landscape management, and interpretive programs.

Over time, NPS biological collections can also document changes in the park environment and changes in species. For example, the Yosemite National Park collection has 50 specimens of the foothill yellow-legged frog, *Rana boylii*. The Yosemite Field School collected these specimens in the 1930s. This frog has now been extirpated from the region. The decline of frog and toad fauna is among the most serious and urgent conservation concerns in the Yosemite region today.

Natural History collections made from the same location at different times can document patterns of change in ecosystems. These collections can provide baseline data on species diversity and abundance prior to a

disturbance such as a fire, volcanic eruption, flood, or insect infestation. Such data may guide restoration efforts and aid in documenting patterns of how invasive species may enter an area after a disturbance.

4. *What kinds of specimens are found in NPS biological collections?*

Specimens in NPS biological collections include:

- pressed plants mounted on herbarium sheets
- specimens mounted on microscope slides (such as algae and pollen)
- seeds collected specifically as museum specimens and not for propagation
- bones (osteological collections)
- eggs and nests
- animal skins
- animal tissues or whole animals or plants preserved in liquid
- mounted or freeze-dried animal specimens
- marine and fresh water shells
- insects mounted on pins or in vials
- casts of tracks and tunnels

5. *What are some examples of NPS biological collections?*

Examples of park biological collections include:

- herbarium at Yellowstone National Park
- tree snail collection at Everglades National Park
- specimens from Great Smoky Mountains National Park documenting the park's All-Taxa Biodiversity Inventory

6. *What characterizes NPS geological collections?*

Geological specimens document all aspects of the geology of the park. These specimens document the processes that formed them and their origins. For example, in a rock specimen, the mineral composition, structure, and texture reveal the origin of the unit from which it came (such as a granitic pluton). The surface may show the physical processes of its most recent history (such as glacial striations). Its chemical alteration may record the weathering process through the breakdown of feldspars and oxidation and hydration of other minerals.

7. *Why are NPS geological collections important?*

Geological collections can inform park planning and development, natural and cultural resources management, and interpretation. For example, knowledge of rock types helps planners select sites for buildings. Soil analysis may explain the abandonment of an archeological site. Geological specimens also allow scientists to reconstruct past environments from rocks, such as wind-deposited sandstone.

8. *What kinds of specimens are found in NPS geological collections?*

Specimens in NPS geological collections include:

- rocks
  - igneous (volcanic rocks, such as obsidian, lava, ash)
  - sedimentary (rocks formed as a result of wind and water action, such as shale, sandstone, limestone)
  - metamorphic (rocks transformed under heat and pressure, such as marble and gneiss)
- mineral specimens (such as iron oxide, malachite, and crystals)
- surface process materials, such as evidence of desert varnish or glacial action
- ores (often associated with historical mines in parks)
- samples of cave formations
- soils
- samples from quarries that produced building stones
- extraterrestrial materials, such as meteorites
- environmental samples (such as air and water)

9. *What are some examples of NPS geological collections?*

Examples of park geological collections include:

- agate, chalcedony, and quartz specimens at Badlands National Park
- sandstone and basalt specimens at Zion National Park
- slate, quartz, and schist specimens at Bering Land Bridge National Preserve
- calcite, gypsum, and limestone specimens at Mammoth Cave National Park
- granite, marble, and ore sample specimens at Sequoia and Kings Canyon National Parks

10. *What characterizes NPS paleontological collections?*

Paleontology specimens are fossils of plants and animals and naturally occurring tracks, impressions, and casts. They record past life on earth. In addition, the collections often include human-made molds and casts of specimens. Fossils range in size from microscopic pollen and spores, studied with scanning electron microscopes, to dinosaurs 100 feet in length.

The primary NPS paleontological collections reflect the resources in parks that were established specifically for their paleontological significance. However, paleontological specimens are important in parks throughout the system.

11. *What kinds of specimens are found in NPS paleontological collections?*

NPS paleontological collections cover the entire span of geological time and represent all kingdoms of life (Monera, Protista, Fungi, Plantae, and Animalia). Most paleontological collections are identified as:

- vertebrates
- invertebrates
- plants

Fossils can be divided into two main categories—body fossils and trace fossils, as follows:

Body Fossils	**Trace Fossils**
Petrified wood	Tracks
Fossil bones	Trails
Fossil shells	Burrows
Fossil plants	Borings
Fossil tissue	Gnaw or bite marks
Fossil pollen	Coprolites (fossilized feces)

In both body and trace fossils, the original specimen or track won't often be preserved, and only an impression will be left in the rock. This impression may be secondarily filled by sediments producing a natural cast or copy of the original.

12. *Why are NPS paleontology collections important?*

The science of paleontology studies the history of life on earth. It documents the world's past biodiversity and how it:

- has responded to climatic and environmental change
- contributes to the development of new ideas about evolution and ecology

Fossils are the foundation of this knowledge, along with the associated data that provides both a geographic and geologic context for the specimens. These collections contribute to the science of paleontology and provide the tangible evidence of this resource and its distribution within a park. The information from paleontological collections can aid managers in making decisions regarding the management of this park resource. Fossils may also be used in exhibits to inform park visitors about the history of past life in the park and its geological context.

The NPS protects unique geological features, such as Halfdome, and biological features, such as Sherman Tree. Some parks/monuments, such as Petrified Forest, were created specifically to preserve unique fossil resources. Since the same erosional forces that expose fossils eventually destroy them, some types of fossils cannot be left in place. They must be brought into the museum for protection. This not only ensures their long-term preservation but supports good science as well. Since science must be testable and repeatable, the curation of fossil collections is crucial to the science of paleontology. The discipline must satisfy those criteria and permit other researchers to confirm any conclusions based on a fossil.

13. *What are some examples of NPS paleontological collections?*

Examples of park paleontological collections include:

- Sauropod (a dinosaur and the largest land animal) specimens at Dinosaur National Monument
- fish at Fossil Butte National Monument
- insects and leaves at Florissant Fossil Beds National Monument
- "petrified" logs at Petrified Forest National Park
- camel, rhinoceros, and sloth specimens at John Day Fossil Beds National Monument
- mastodon, saber-toothed cat, and horse specimens at Hagerman Fossil Beds National Monument
- sponges, brachiopods, and trilobites at Guadalupe Mountains National Park

C. Collecting Natural History Specimens

1. *Who collects natural history specimens in the parks?*

Collectors can be:

- individuals qualified and experienced to conduct scientific studies
- representatives of scientific or educational institutions
- representatives of federal, tribal, or state agencies
- contract employees
- park employees

2. *What are some of the purposes for collecting?*

There are multiple reasons for collecting natural history collections.

Researchers in biology, geology, or paleontology collect specimens as primary information to answer basic scientific questions in these disciplines.

Biologists and paleontologists collect living organisms or fossils to better understand the taxonomy and relationships of organisms or to study their ecology or paleoecology.

Geologists collect rock samples in order to better understand the geology of the park and its geological history.

Resource managers may need to collect environmental samples to provide baseline data for specific types of park resources. These samples may help resource managers document changes in the resource, the cause of the change, and the rate of change, and provide guidance on ecosystem

restoration after a natural or man-made disturbance.

3. *Why is the long-term preservation of specimens important?*

Long-term preservation of specimens in a museum collection:

- enables future researchers or resource managers to re-examine the original specimens and their associated data that were used as the basis for the conclusions reached in original studies
- provides the basis of replicability, the cornerstone of science
- may have legal value to support resource management decisions

4. *What has driven recent growth of NPS natural history collections?*

In the latter part of the 20th century, the NPS became concerned that it lacked adequate documentation, vouchers, and data from the many research projects on park lands. These projects had collected important baseline data. Yet parks often did not know where or how to access it. In response, NPS established a new regulation (36 CFR 2.5g) that became effective April 30, 1984. It required that all specimens collected in parks and retained in museum collections:

- have NPS labels
- be cataloged in the NPS National Catalog

In addition, the permitting system was standardized in 2001. Both these requirements have contributed significantly to the ability of parks to track and use research information and specimens. The permit system is extremely important for tracking research projects and data.

Many projects conducted under the auspices of the Inventory and Monitoring Program (I&M), BioBlitz projects, and All-Taxa Biodiversity (ATBI) projects have generated natural history collections. See questions C.5, C.6, and C.7 in this appendix for additional information on these projects.

Note: Despite the growth of natural history collections, they still represent only two percent of the total NPS museum collections reported on the annual Collection Management Report. However, the continued growth of natural history collections represents more impact on park museum programs than the 2% figure indicates. Specimens often require more curation and catalog effort per item than other disciplines. Time is also needed for the continued management of loans and for providing researcher access.

5. *What is the Inventory and Monitoring Program (I&M)?*

In 2000, under the Natural Resource Challenge, the NPS initiated the NPS Inventory and Monitoring Program (I&M). I&M is a long-term ecological monitoring program that provides NPS managers with the information and expertise needed to maintain ecosystem integrity. NPS scientists are currently conducting baseline inventories of basic biological and geophysical natural resources for all natural resource parks. These inventories may result in both collections of specimens and corresponding data, in various forms. The program has focused primarily on vertebrates and vascular plants in parks, since it's fiscally and logistically impossible to initially inventory and monitor all biological organisms within each park.

The I&M Program consists of 32 eco-regional networks and includes those parks that share a common ecology. Each park belongs to a specific I&M network depending on its ecology.

I&M is part of the NPS effort to "improve park management through greater reliance on scientific knowledge." A primary role of I&M is to collect, organize, and make available natural resource data. The program contributes to the Service's institutional knowledge by facilitating the transformation of data into information through analysis, synthesis, and modeling. For more information on the program, go to http:/science.nature.nps.gov/im/.

The primary goals of the I&M Program are to:

- inventory the natural resources under NPS stewardship to determine their nature and status
- monitor park ecosystems to better understand their dynamic nature and condition and to provide reference points for comparisons with other, altered environments
- establish natural resource inventory and monitoring as a standard NPS practice that transcends traditional program, activity, and funding boundaries
- integrate natural resource inventory and monitoring information into NPS planning, management, and decision making
- share NPS accomplishments and information with other natural resource organizations and form partnerships for attaining common goals and objectives

6. *What is an All-Taxa Biodiversity Inventory (ATBI)?*

The purpose of an All-Taxa Biodiversity Inventory (ATBI) is to inventory as many species of living organisms as possible found in a defined area. Many parks have started ATBIs to build on the work done by the I&M Networks. An ATBI will develop checklists, reports, maps, databases, and natural history profiles that describe the biology of the park. Some of the data collected may be in hard copy and placed in the park's archives. Another portion of the data may be provided to NPSpecies for inclusion in the database they maintain for the park. Other data may serve as a data layer in the park's GIS database to aid resource management decisions.

Knowledge of species level biological diversity is central to the ATBI. Documenting the taxonomic diversity in a specific ecosystem also provides a broader ecological and conservation context for the park's biodiversity. An ATBI encourages understanding of an ecosystem at multiple levels of organization such as species associations and their possible interaction. In addition, DNA analysis of the collected specimens provides data on the genetic variation within a species.

ATBIs can potentially generate large numbers of natural history specimens that will need curation. Long-term care of these specimens and their associated records is critical to the success of the ATBI and the park's management of natural resources. These specimens and associated records

are the primary documentation for the presence of a species within a park. They may have significant impact on natural resource management decisions in the future. Therefore, all ATBIs should have a curation plan.

It's critical that the park curator and/or regional curator work closely with the ATBI coordinators. The curator must be involved in:

- planning for the long-term preservation of the specimens and any associated records resulting from the ATBI
- evaluating whether the specimens can be properly curated at the park
- evaluating and recommending outside repositories for specimens that can't be curated at the park
- ensuring that sufficient funding is included in the project budget to cover associated curation costs and cataloging

Usually organisms removed from an ecosystem will not be consumed in analysis. Each time specimens are collected, even taxa already present in the park's museum collections, they provide a unique snapshot in time. They represent the status of a resource that can never be repeated. Always consider their potential contribution to future science or resource management decisions. Not to preserve specimens in the park collections because of expediency is wrong and irresponsible management and runs counter to D.O. #24 and 36 CFR 2.5g. Even for large collections, preserving at least a sample or a subset of the larger sample is desirable.

7. *What is a BioBlitz?*

A BioBlitz is a 24-hour inventory of living organisms in a given area. The term "BioBlitz" was coined by NPS naturalist Susan Rudy while assisting with the first BioBlitz at Kenilworth Aquatic Gardens, Washington, D.C. A BioBlitz often includes teams of scientists, volunteers, and community members. Participants collaborate to find, identify, and learn about as many local plant and animal species as possible. The BioBlitz has the dual aims of both establishing the degree of biodiversity in an area and popularizing science. Like an ATBI, planning for a BioBlitz should include the long-term preservation and curation of the specimens that are collected. Even if no specimens are collected, all field data and records resulting from the BioBlitz should be placed in the park archives.

8. *Must all specimens in a collection be collected within park boundaries?*

Most specimens in park natural history collections come from within park boundaries. However, ecosystems, both living and fossil, and geological features extend beyond park boundaries. It's sometimes necessary to include specimens that originate outside park boundaries to aid in better understanding the park's natural resources. Items collected from outside the park should fall within the definition of collections identified in the park's Scope of Collections (SOC).

The curator should work closely with the investigator when specimens are collected from outside the park. The investigator must ensure that the specimens are collected with permission of the land owner. Place copies of all permits and permissions in the accession file, including signed donation forms from the landowner.

Note: Specimens from outside a park's boundaries must be accessioned as gifts, purchases, transfers, or exchanges. They aren't field collections.

9. *What laws and regulations apply to collecting natural history specimens in parks?*

Appendix A, Section C, in this handbook contains a list of the laws, regulations, and conventions that apply to natural history collections.

10. *Are there other laws or mandates that may require additional permits for collecting natural history specimens in parks?*

Yes. Many species of animals and plants are protected by specific federal and state laws. Researchers working with these protected species must have permits from the agencies that are responsible for enforcing these laws. It's the researcher's responsibility to get ALL of the necessary permits from the appropriate regulatory agencies before beginning the research. NPS staff are also required to get the necessary permits. Include copies of the permits in the accession folder for any protected species or parts of protected species that are specified in these laws:

- **Bald and Golden Eagle Protection Act (16 USC 668), 50 CFR 22**
    - Permits are issued by the U.S. Fish and Wildlife Service.

- **Marine Mammal Protection Act (16 USC 1361) 50 CFR 18 and 216**
    - The National Marine Fisheries Service in the Department of Commerce exercises authority over whales, porpoises, seals, and sea lions.
    - The Secretary of the Interior is responsible for manatees, walruses, polar bears and sea otters. Administered through NOAA Fisheries.

- **Endangered Species Act (16 USC 1531 et seq.) 50 CFR 14, 17, and 23. The list of ESA protected species is in Title 50 of the Code of Federal Regulations: Endangered or threatened wildlife 50 CFR 17.11. Endangered or threatened plant life 50 CFR 17.12.**
    - Permits are issued by the U.S. Fish and Wildlife Service.

- **Migratory Bird Treaty Act [16 USC 703 et. Seq.] [50 CFR 10, 20, 21]. Enacted in 1918**
    - Permits are issued by the U.S. Fish and Wildlife Service.

Note: See Appendix A in this handbook for additional information on laws, regulations, and conventions related to NPS natural history collections.

A city, county, or state may also require a permit to collect certain specimens. In such cases, the researcher is expected to check with the state, county, or city to find out whether the federal permit is sufficient. The NPS isn't responsible for non-NPS researchers who don't get all the necessary permits. This situation would typically arise in parks:

- where there is concurrent jurisdiction--such as Golden Gate NRA

- if collecting occurred along a park road with a right-of-way under

the jurisdiction of the state, county, or city

11. *What are Threatened and Endangered species?*

According to the Endangered Species Act (ESA), species may be listed as either "endangered" or "threatened." Endangered is defined as a species that is in danger of extinction within its native range. Threatened is defined as a species that is likely to become endangered, potentially in the near term, within part or a majority of its native range. All species of plants and animals, except pest insects and non-native species, can be listed as endangered or threatened.

As of August 2012, the U.S. Fish and Wildlife Service (FWS) has listed 2,018 species worldwide as either endangered or threatened. Currently, 1,400 of these species are found in the United States. See http://www.fws.gov/endangered/factsheets/ESA_basics.pdf

In addition to T&E Species there are also Species of Special Concern (SSC) recognized by states. SSC is an administrative designation and carries no formal legal status. The intent of designating SSCs is to:

- focus attention on animals at conservation risk by the Department; other state, local and federal governmental entities; regulators; land managers; planners; consulting biologists; and others
- stimulate research on poorly known species
- achieve conservation and recovery of these animals before they meet Endangered Species Act criteria for listing as threatened or endangered

12. *Does the museum have to track living specimens?*

No. Live specimens including specimens collected for propagation, are specifically excluded from being managed as museum specimens. A collections management system for living collections, including microorganisms, is under development.

D. Natural History Collecting Permits

1. *How does the NPS authorize the collection of natural history specimens and determine their disposition?*

Parks encourage and permit scientists to collect specimens to further the park mission and provide the scientific basis for resource management decisions. Specimen collection is governed by 36 CFR, Section 2.5 and the Research Permit and Reporting System (RPRS).

Specimens collected on park lands and not consumed in analysis are permanently retained. They remain federal property and become part of the park museum collection, as stated in:

- Title 36 of the Code of Federal Regulations, Chapter 1, Part 2, Section 2.5 (revised 1984) www.nps.gov/history/museum/laws/specimens.html
- NPS General Permit Conditions https://science1.nature.nps.gov/research/ac/html/AppFAQ (Intranet) or (Internet)
- https://science.nature.nps.gov/research/ac/html/AppFAQ

The sampling strategy for a project is determined by the:

- research question asked
- collecting techniques used
- size of the sample needed to provide the data to answer the question

Some collecting techniques may result in more specimens than are needed to provide the required data. In such cases, only a small subset of the total sample may need to be placed in the park museum collection. The researcher and park resource managers should determine the sample size and whether to retain the entire sample or only a subset. The cost of curation is determined by the sample size. Include this cost in the project budget.

2. *What does 36CFR 2.5 require?*

Section 2.5g, requires that specimen collection permits contain the following conditions:

- specimens placed in exhibits or collections will have official NPS museum labels and be cataloged in the NPS National Catalog
- specimens and data derived from consumed specimens will be made available to the public and reports and publications resulting from a research specimen collection permit will be filed with the superintendent

Place unpublished reports and data related to research projects in the park archives. The project may or may not include data on consumed specimens or specimens placed in the park's museum collections. Place copies of formal publications derived from the project either in the archives or the park library.

3. *What is the Research Permit and Reporting System (RPRS)?*

The RPRS is an online system for research applications. Researchers generating scientific specimens and associated documentation use RPRS to apply for and receive a permit. RPRS can be accessed at: https://science.nature.nps.gov/research/ac/ResearchIndex

4. *What are the goals of the RPRS?*

The RPRS is designed to enable potential investigators to:

- apply for permission to conduct natural resource or social science field work within a specific NPS unit
- review permit application requirements and field work restrictions before applying for permission to conduct a study
- review the objectives and findings of previously conducted scientific studies before formulating plans for a new study
- search and review the types of research activities park managers are most interested in attracting

The RPRS also provides an easy way for investigators to provide annual

accomplishment reports. A park may also request other comprehensive annual reports or publications as part of the park-specific conditions.

The RPRS is designed to enable NPS staff to:

- review applications for permits to conduct natural resource or social science field work
- issue permits with park-specific conditions
- review Investigator's Annual Reports or other comprehensive annual reports specified by the park

Parks can add park-specific curatorial conditions that apply to all permits so that researchers must take those conditions into consideration when applying for a permit.

5. *Who is required to have a permit?*

All non-NPS researchers are required to apply for a permit using RPRS. This includes researchers in other federal agencies that conduct cooperative research with the NPS, such as USGS or FWS.

6. *Must NPS employees use RPRS?*

The answer depends on the park. Some park superintendents require a permit for all research. Some superintendents may authorize NPS staff to conduct routine inventory, monitoring, research, and related duties without requiring a Scientific Research and Collecting Permit. The authorization should be in writing. Place a copy in the accession folder for each accession that was collected under that authority. However, as per NPS *Management Policies 2006*, 4.2., NPS staff must comply with:

- all laws, regulations, policies, and professional standards pertaining to survey, inventory, monitoring, and research
- the General Conditions for Scientific Research and Collecting Permit
- general and park-specific research and collecting permit conditions

Superintendents are strongly encouraged to have a policy that requires park staff to use RPRS. This policy helps to keep track of all research in the park and any specimens or data produced by the research. It also ensures compliance with the above regulations.

7. *Where can I find the General Conditions for the Scientific Research and Collecting Permit?*

The general conditions are under "Admin Info, Conditions" in RPRS. Collections managers should be familiar with these conditions.

8. *Can a park add additional conditions to a permit?*

Yes. A park may add additional conditions to a permit as appropriate to the resource and park-specific conditions. Standard park-specific conditions, many of which address collections, are listed by park on the RPRS web at https://science1.nature.nps.gov/research/ac/parks/ParkInfo.

Some examples of park specific conditions include:

- The names of all assistants and descriptions and license plates of all vehicles will be provided to park staff.

- The area where research will be conducted shall be marked on a 7.5 minute topographic map. The primary corners of the boundaries of this area should be identified using a formal coordinate system such as lat/long or UTM.

- The park annually requires copies of field notes, data, reports, publications and/or other materials resulting from studies conducted in NPS areas.

- Preference is for non-digital photographs and images (slides or prints, color or monochrome). If digital photographs are provided to the park, they should be in .tif or .jpg formats, with a minimum resolution of 300 dpi. Digital photos should be submitted on CD or DVD, along with hard copies printed on photo paper or acid-free paper. All photos should have accompanying metadata. Metadata specifications are available from the park data manager.

- Permittee must furnish an inventory and locality description of any or all specimens proposed to be collected. The permittee must submit the inventory to the park for approval before specimens are removed.

- Information on cataloging, labeling, and submission of records must be included in the study proposal**.**

9. *What issues should a curator consider when reviewing an application for a research permit?*

The RPRS provides a standardized approach to the information in a research application. However, each project will differ depending on the goals of the research project. One of the favorable factors for evaluation of study proposals, as stated in the "Application Procedures and Requirements for Scientific Research and Collecting Permits" is that the study proposal "discusses plans for the cataloging and care of collected specimens." See the decision tree for curators (Figure H.1) to help identify major issues that the curator should address.

Park curators should review <u>all</u> permit applications to:

- ensure that researchers understand their responsibilities to provide project documentation, such as copies of the data, photos, reports, and results of destructive analysis

- provide guidance to researchers on submission of specimens and associated records

- evaluate proposed non-NPS repositories for curation of park specimens, including review of storage and access conditions

- manage loans of specimens to other institutions for research and repository purposes

A memo calling for actions to improve natural resource collections management was issued in January 2009. In regards to research permits,

parks must ensure that:

- Appendix A of the permit application is signed in advance by all non-NPS repositories that are designated in the permit
- the signed Appendix A is on file in the Study File for all permits issued in 2009 and beyond
- collection managers review all permits that involve the collection and permanent retention of specimens and the submission of resource management records and complete the Collection Manager Review section on all permits issued in 2009 and beyond
- researchers subject to the General Conditions for Scientific Research and Collecting Permit (General Conditions) have park-specific instructions on cataloging specimens and submission of specimens and records by:
    - posting park-specific instructions for submission of specimens and catalog data on the RPRS web site at https://science1.nature.nps.gov/research/ac/parks/ParkInfo
    - sending an e-mail providing park-specific instructions to all researchers authorized to collect specimens for permanent retention and filing a copy of this correspondence in the Study File (see RPRS Administrative Guidance)
- collections managers confirm that catalog records and the associated field records for all permanently retained specimens have been completed and the specimens and records have been submitted to the NPS or placed on a documented NPS loan to a non-NPS repository before identifying projects as "completed" in the Investigator's Annual Report (IAR)

10. *Who is responsible for curation costs?*

Director's Order # 24 states that project budgets must include funding for the basic management of collections that are project-generated. Collections management includes:

- cataloging and labeling
- conservation examination and treatment (including specimen preparation)
- initial storage of objects and specimens
- organization and storage of project documentation, including appraisal, arrangement, description, finding aid production, and appropriate archival housing
- photography, if appropriate to the material

If the project generating the natural history collections…	***Then…***
is initiated and funded by the NPS,	it's the responsibility of the NPS personnel in charge of the project to ensure sufficient funds are included in the project budget to cover the necessary curation costs whether the specimens are housed at the park or a partner repository.
is initiated by an outside researcher,	the curator should work with the permit coordinator to review study proposals and ensure that a proposal includes a plan for cataloging and care of collected specimens and specifies responsible parties, including responsibility for funding these tasks.

Both Director's Order #24 and Director's Order #77 state that it's the superintendent's responsibility to ensure projects include curation costs.

11. *What is benefits sharing?*

Benefits sharing occurs when the NPS enters into an agreement with another entity to share in monetary or non-monetary benefits from a discovery or invention that:

- has potential commercial value
- results from research originating under an NPS Scientific Research and Collecting Permit, or other permit or authorization.

In 2010, following completion of an Environmental Impact Statement, NPS issued a Record of Decision to enter into benefits sharing. Policy (DO 77-10) and procedural guidance specific to benefits sharing will provide further information regarding implementation. Although curators aren't likely to be responsible for negotiating benefits-sharing agreements, they may be involved in the negotiations. They must ensure that standard clauses on benefit sharing are included in loan agreements and other agreements involving curation and use of specimens. They will also have responsibility for tracking museum specimens and parts that result from research using specimens collected from NPS lands.

See DO 77-10: NPS Benefits Sharing and the associated *Benefits-Sharing Handbook*.

12. *What is a benefits-sharing agreement?*

The Scientific Research and Collecting Permit General Conditions, loan agreements, and other similar authorizations for research use of collected specimens require users with potential commercial applications for their research results to enter into an approved benefits-sharing agreement with NPS or obtain other NPS authorization prior to commercialization**.**

If…	***Then…***
the researcher develops research results using collected park specimens, and the results become part of a commercial application,	the researcher must enter into an approved agreement with the NPS wherein the NPS will share benefits or decline to share benefits.

13. *What if no specimens are collected?*

Even if no natural history specimens are collected during a project, the data collected from a project is of value to the park. This data may include but is not limited to:

- field notes and observations
- records of weather conditions
- sound recordings, such as bird calls
- maps
- photographs of geologic or stratigraphic sections of the geology
- reports

The park should catalog this material as resource management records and maintain the materials in the park archives. See Sections P, Q, R, and S for information on associated records.

14. *How do parks handle permits for multi-park collecting projects?*

Using RPRS, researchers have the option of applying to more than one park for a multi-park collecting project. In most cases, staff at each individual park will analyze the proposed study and process the application. Parks adjacent to each other geographically or managing similar resources may agree to approve a single permit for a multi-park project. The permit would cover field activities at more than one park unit. If this occurs, one park will normally take the lead responsibility for processing the permit application.

The lead park ensures that staff at all the parks involved with the study are aware of the proposed activities. The lead park also ensures all the parks in the project are involved in the analysis of the study proposal. Before applying for a multi-park permit, it's the responsibility of the applicant to review each park's specific conditions.

See Section S in this appendix for information on cataloging associated records for multi-park or network projects.

E. Accessioning Natural History Collections

1. *Must I accession NPS natural history specimens into the park museum collection?*

Yes. Both regulation (36 CFR 2.5g) and NPS policy require that natural history specimens be accessioned into the museum collection. NPS *Management Policies 2006* states:

4.2.3 Natural Resource Collections
Field data, objects, specimens, and features obtained for preservation during inventory, monitoring, research, and study projects, together with associated records and reports, will be managed over the long term within the museum collection. Specimens that are not authorized for consumptive analysis remain federal property and will be labeled and cataloged into the NPS cataloging system (ICMS, or its successor) in accordance with applicable regulations (36 CFR 2.5).

Accession specimens and their associated data. The associated data becomes part of the park's archives. You must also accession the project data for projects that don't generate specimens.

2. *How do I accession natural history collections?*

Follow the procedures in the *Museum Handbook*, Part II, Chapter 2. Most natural history collections are accessioned as field collections. Assign one accession number to each project. However, one project may have multiple permit numbers over time.

Note: The collector must give you information for accessioning the specimens. You must assign an accession number to the collection and give the number to the collector.

3. *When do I accession natural history collections?*

There are two different approaches on when to accession collections:

- You can begin the accessioning process before the final approved permit is released. Withholding the release of the permit provides an incentive for the researcher to contact the park curator for an accession number.

- You can wait until you receive information on the specimens that have been collected to assign an accession number.

When you assign an accession number, discuss with the researcher what information the park needs for collected specimens. The discussion should also include the need for the resource management records, such as notes, photos, and reports.

There should be a single accession number for multi-year projects that generate new natural history specimens each year.

Note: For multi-year accessions, adjust the number of items in the accession after the first year. Note that the adjustment is due to a multi-year accession. You can mention the additions to the accession in the

Noteworthy section of the Collections Management Report (CMR).

See the *Museum Handbook*, Part II, Chapter 2, Section N, for information on multi-year accessions.

4. *What information do I need for an accession?*

Questions to ask when accessioning natural history collections include:

- Do I have the principal investigator's name, contact information (including phone numbers and email), professional affiliation, and home institution?
- What is the study number of this project?
- Is this a new study or an ongoing one?
- Does the research involve more than one park? The collector needs an accession number from each park in which specimens are collected. If only data are collected:
    - a lead park can assign one accession number for all the data, or
    - each park can assign an accession number for park-specific data
- Will specimens be permanently maintained or consumed in analysis? If consumed in analysis, the deliverables must include a list of specimens collected and the results of the analysis.
- Will the specimens be housed at the park or at a partner institution as a repository loan? Do I need to prepare loan forms or a repository agreement?
- Have all of the specimens been identified, or do some specimens need to be sent to a specialist in order to confirm their identification?
- Are all specimens properly prepared according to the professional standards of the discipline? Are they stored in appropriate storage containers with labels? Have the methods of preservation and chemicals used been recorded? For example, in the case of wet specimens, the formula/name for the fixative and preserving fluid should be recorded.
- Do any of the specimens require special storage that cannot be provided by the park?
- At the time of curation does each specimen have the appropriate NPS label?
- Does the park have a copy of the field notes, maps, photographs, or other records related to the specimens being accessioned?
- Have arrangements been made for the investigator to provide the park with a copy of any publications based on the specimens, such

as technical publications or project reports?

- Has a follow-up mechanism been arranged in case the investigator has forgotten to provide any research data or copies of reports?

- Has the investigator provided the park with information on the special status of any of the specimens, such as type specimens, rare or endangered species?

- Has the investigator provided the park with copies of any required permits associated with the project issued by other government agencies such as the Fish and Wildlife Service?

5. *Can the NPS convey ownership of natural history collections from park lands?*

No. NPS natural history specimens have ongoing and increasing public benefit and value for park resource management, science, and education. The NPS has authority to control, possess, and manage these collections, which are federal property. As long as these collections conform to NPS mission and policy, the NPS has no authority to convey them to other entities.

This topic is specifically addressed at the RPRS website at https://science1.nature.nps.gov/research/ac/html/CollectionFAQ.

Note: The NPS doesn't convey ownership of specimens, but does encourage their use through long-term loans to appropriate repositories.

6. *May I exchange duplicate specimens?*

No. Species are morphologically and genetically heterogenous, such as males vs. females or different developmental stages in insects. Species also may vary over time. There may be seasonal changes, such as coloration in the feathers of ptarmigans. There may be anatomical changes as an animal becomes older. There are also often geographic differences, such as body size. For example, the small Key Deer in Florida and the large White-tailed Deer in Pennsylvania are the same species. The closest example of a possible duplicate specimen would be multiple clippings of leaves and branches from a single plant collected at one time. There is no such thing as a true duplicate specimen in a natural history collection. This is especially true since modern studies often examine multiple distinct populations and the genetic differences within a species over a broad geographic area. Samples from the same species may be collected at different times of the year or over a long period of time. Analysis of samples of the same species collected at different times may help identify changes to this park resource. Further, multiple specimens collected from the same individual, such as a plant, may have separate histories as museum specimens. For example, each specimen may be subjected to different studies and analyses or different storage environments that affect its long-term preservation and usefulness for research.

Some disciplines, most often botany and entomology, can easily acquire multiple examples of a single species from a single locality. There is a long-standing tradition of exchanging these "duplicates" with other institutions to enhance and diversify their collections. Specimens collected from within a park may be loaned to a secondary institution. As with all NPS specimens, these remain NPS property, must be cataloged in ICMS with a separate catalog number, and tracked as a loan. The collecting institution cannot use NPS specimens in an exchange with another

institution in order to enhance their own collections.

7. *Can I loan natural history specimens?*

Yes. You can loan natural history collections:

- to a reputable researcher working out of a cultural, educational, or scientific institution for the purpose of research, but the specimens may not be used for commercial purposes without prior authorization, and the loan is to the institution, not the researcher
- to a non-NPS partner repository for the purposes of long-term collection management
- for the purpose of exhibition

You may not lend natural history specimens to private individuals.

8. *What procedures must I follow when loaning natural history collections?*

Document loans using the Outgoing Loan Agreement (Form 10-127 Rev.) See the *Museum Handbook*, Part II, Chapter 5, Outgoing Loans, for loan procedures. For repository agreements, use the loan agreement as a way to track the transaction in the Interior Collection Management System (ICMS). You don't have to have the agreement signed by the repository. See Section M of this appendix for information on repository agreements.

Note: You can prepare a complete list of specimens for the loan agreement after the collection is fully processed. Use the accession number on the loan form until the complete list of specimens has been prepared.

9. *Can I deaccession natural history collections?*

Yes, you can deaccession natural history collections but only under the following categories:

- loss, theft, or involuntary destruction
- voluntary destruction due to damage
- destructive analysis

Natural history specimens collected on park lands in compliance with 36 CFR 2.5g cannot be deaccessioned as outside the park's scope of collections. This means they **cannot** be:

- transferred
- exchanged
- conveyed (donated)

See the *Museum Handbook*, Part II, Chapter 6, Deaccessioning, for deaccession procedures.

Note: Check with the appropriate regulatory agency before deaccessioning Threatened and Endangered species or other specimens requiring permits to collect. See Section C, Question 10 for information on protected species.

10. *What documentation is required for unaccessioned specimens consumed through analysis as part of the research project?*

36 CFR, Chapter 1, Part 2, Section 2.5, g (2) states: Specimens and data derived from consumed specimens will be made available to the public and reports and publications resulting from a research specimen collection permit shall be filed with the superintendent. The data are part of the project records and cataloged as part of the archives.

11. *What documentation is required for cataloged specimens consumed through destructive analysis?*

A specimen or part of a specimen may be consumed in analysis. A copy of the report on the analysis must be furnished to the park. Place the report in the accession file for that specimen. If an entire cataloged specimen is consumed during analysis, the specimen is deaccessioned. Follow the deaccession procedures for Destructive Analysis in the *Museum Handbook*, Part II, Chapter 6. Keep the catalog record in the database, but note that the specimen no longer exists. Don't reuse the catalog number.

F. Cataloging Natural History Collections

1. *Where do I find procedures for cataloging natural history collections?*

See the *Museum Handbook*, Part II, Chapter 3, Cataloging, for general procedures on cataloging. See Chapter 2 of the *ICMS User Manual* for procedures on cataloging biology, geology, and paleontology in ICMS.

2. *Who is responsible for cataloging natural history collections?*

Responsibility for cataloging natural history collections depends on who made the collections.

If the collections are made by…	***Then…***
NPS staff,	NPS staff catalog the collections. This may require hiring seasonal employees or other temporary staff to complete the work, and those costs should be part of the project budget.
non-NPS staff,	the collector or contractor conducting the permitted research within the park must ensure that all collected specimens are cataloged.

3. *Who pays for cataloging natural history collections?*

Director's Order #24 specifically requires that budgets for project-generated collections include funding for cataloging. This includes projects that parks initiate.

Unless otherwise stated in a permit, the permit's General Conditions require permittees to accomplish this work within the scope and budget of their projects.

See the RPRS web site at:
https://science.nature.nps.gov/research/ac/html/CollectionFAQ.

https://science1.nature.nps.gov/research/ac/html/CollectionFAQ.

Note: Parks need to address the catalog backlog for all natural history collections. Enter projects in the Project Management Information System (PMIS), and catalog backlogged collections when funded.

4. *What materials for cataloging collections must I give to the collector?*

Before the end of the project, you must give the collector:

- an accession number for the collection
- a block of catalog numbers (when the researcher knows the quantity needed)
- instructions on submitting the data in the appropriate electronic format for importing into ICMS, including the data fields to include
- the ICMS program and the *ICMS User Manual*, if the collector will be using ICMS to catalog
- sample catalog records, and instructions on printing labels from ICMS, if the collector is using ICMS

Note: Track the catalog numbers that you issue for each accession. Check to make sure that the collector has used all the numbers.

5. *Must I use ICMS to catalog natural history collections?*

Yes. However, you can import/export catalog data into ICMS from other software applications, such as Excel and Access. It's critical that the curator work with the collector to determine the appropriate application, data fields, and format for importing data. See Section IV of Chapter 8 in the *ICMS User* Manual for information on importing and exporting data. You can access the manual online at http://nps.gov/history/museum/publications/ICMS.html.

Note: A park can give a copy of ICMS to a collector or non-NPS repository to catalog NPS collections. The installation software includes a contractor agreement form. Have the collector/institution complete the form and send a copy to Re:discovery Software, Inc.

Excel templates will be available on the RPRS web site for the import/export of ICMS natural history catalog records at:
https://science/nature.nps.gov/research/ac/html/CollectionFAQ

6. *What fields on the catalog record must the collector complete?*

You can determine the catalog fields that you want the collector to complete. This will vary by discipline. For example, plant specimens should always include a family name. At a minimum, the collector should complete the following DOI mandatory fields for natural history collections. Encourage the researcher to complete all the data fields for which there are data.

- Catalog Number
- Accession Number
- Class 1(Class 2-4 for Geology)

- Kingdom
- Phylum/Division
- Class
- Scientific Name: Genus and Species
- Object Scientific Name (Geology)
- Item Count or Quantity and Storage Unit
- Collection Number
- Collection Date
- Collector
- Condition
- Cataloger
- Identified By
- TRS, UTM/Z/E/N, or Lat/Long
- Period/System (Paleontology and Geology)
- Formation (Paleontology and Geology)

Note: Collectors can enter the mandatory data in another software application, such as Excel or Access. The fields in the software must be compatible with ICMS fields and must be easily imported into ICMS.

7. *Who is responsible for cataloging the documentation associated with the specimens?*

The park is responsible for cataloging the associated documentation. Refer to Sections P, Q, R, and S in this appendix for information on associated records. The permit may include park-specific guidance for submission of the associated documentation. Providing this guidance can decrease the time needed to process and catalog the documentation.

Note: The collector might not turn the field records over to the park until he/she has published or produced a final report. This may take several years. The park should track outstanding field documentation until the collector turns it over to the park.

8. *Who is responsible for monitoring the accuracy of the records?*

The collector should send the completed electronic database to the park for review. The permit conditions should state that the collector must make corrections or changes to the database based upon park review. It's a good idea to review the database at the start of cataloging in order to catch problems early.

Incorrect information with a specimen is worse than no information. It can lead future researchers studying the specimen to draw incorrect conclusions. Always note on the catalog record any question as to the accuracy or validity of the associated data. Never guess or speculate

regarding a data entry. Whenever possible double check with the researcher regarding any unclear information pertaining to the specimen.

9. *What documentation must the collector submit to you?*

The collector must submit:

- approved electronic copies of the catalog data
- copies of all associated documentation

Note: When the park submits the records to the National Catalog, the National Catalog will print paper copies of the catalog records at the park's request.

10. *Who prepares the natural history labels and marks the specimens?*

The collector is responsible for marking the specimens (as needed) with the catalog number and labeling the specimens. See the General Conditions for Scientific Research and Collecting Permit and D.O. #24 Section 4.3.16.

The park can provide the collector with printed NPS labels from ICMS using the collector's database.

Use the field collection number as a reference until the collections are labeled.

See Sections N and O in this appendix for marking techniques.

The National Catalog can print wet specimen labels on a thermal printer at the park's request. See Figure H.5 for information on wet specimen labels.

11. *How do I track changes in scientific names?*

It's impossible for any one individual to be aware of all the potential changes in the scientific names of specimens in the park collection. This is due to the diversity of organisms in parks and ongoing taxonomic studies in many different groups. Curators often depend on park natural resource staff or outside researchers to inform them of changes in scientific names.

The inclusion of the Integrated Taxonomic Information System (ITIS) database in the natural history section of ICMS partially solves the challenge of updating scientific names. The National Museum of Natural History (NMAH) maintains the ITIS database. NMAH staff enter updated taxonomic information on a regular basis. Re:discovery Software, Inc., downloads the updated taxonomy annually and provides copies of the updated database to the parks. One function in the natural history portion of ICMS is the Mass Taxonomy Update, located under Edit on the Menu bar. Using this function will replace older (invalid) scientific names with the current accepted (valid) scientific name for the specimen.

ICMS tracks changes to scientific names in the Scientific Name supplemental record. See Chapter 3, Section XXII in the *ICMS User Manual* for information on this record.

12. *What is NPSpecies?*

NPSpecies is the NPS master database for documenting the occurrence and status of species in parks. The database includes data from more than 270 National Park units that contain significant natural resources. NPSpecies allows data integration and sharing across parks and with other agencies

and organizations. The database contains standardized information associated with the occurrence of species in parks, including:

- scientific names and their synonyms
- common names
- abundance
- residency
- nativity
- T&E status
- reasons why a species may be of particular management interest to a park (for example, invasive, weedy, overabundant, globally or regionally rare, state-listed species)
- a cross reference of historical and currently-accepted scientific names using the Integrated Taxonomic Information System and the USDA PLANTS database as the taxonomic standards

Note: See Section K in this appendix for an explanation of the ITIS database.

Within NPSpecies each species record is supported by evidence in the form of:

- voucher specimens (both in park collections and outside repositories)
- references (scientific reports or datasets), *and/or*
- observation records that document the occurrence of the species in the park

Records are managed in a standard data structure and are periodically verified (certified) by subject-matter experts. The goal is to provide high quality, scientifically-credible, and continually improved data to users.

Due to data availability and funding constraints, the initial focus of NPSpecies has been on vertebrates and vascular plants in 270 parks. However, the data system is designed to manage species information for all taxa and all parks.

Part of the initial data used to build the NPSpecies database came from park natural history museum collection records. For many species, these specimens provide the primary documentation of the presence of a species in the park. Ongoing research in parks, BioBlitzes and ATBIs are increasing the number of species known for parks. Museum specimens generated by these projects will continue to serve as the primary vouchers documenting the new species records. NPSpecies will continue to rely on NPS museum records to ensure the accuracy of their database.

More information on the NPSpecies can be found at: https:/irma.nps.gov/App/Species/Welcome/.

13. *How do I handle cataloging for multi-year projects?*

The number of specimens collected each year will determine how quickly a researcher can get them properly preserved, identified, and cataloged. After the end of each field season, the researcher should have an estimate of how many specimens were collected. The researcher should request sufficient catalog numbers from the park curator to cover the sample. Over the course of a multi-year study, the researcher should be providing the park curator with catalog records on a regular basis. The researcher should not wait until the end of the project to start the cataloging.

It's the park curator's job to inform the park research coordinator of any problems regarding a researcher's cataloging. For multi-year studies, the renewal of a research permit each year should be contingent on the submission of catalog records. The researcher should submit catalog records for some or all specimens collected the previous year, depending on the number of specimens.

The NPS provides the funding for some multi-year projects. For these projects, release of funds may also be made contingent on the timely submission of catalog records.

G. Recording Locality

1. *Why is locality information important?*

Providing accurate and complete locality information for a natural history specimen is absolutely critical to ensuring its scientific value. Locality information is needed for scientific study and as the basis for resource management decisions. It may also have important legal implications. For example, locality data can confirm whether an endangered species or poached specimen was collected from inside or outside a park.

2. *What are the two types of locality information?*

Locality information may be descriptive or may be based on a coordinate system. Universal coordinate systems are the Universal Transverse Mercator (UTM) or longitude and latitude. Coordinate systems allow the specimen data to be included in a Geographic Information System (GIS) and utilized with other data in spatial analysis.

ICMS has fields to record a locality both descriptively and by using coordinate information. Descriptive locality information may include how to reach the locality from a specific starting point. The more details that are provided the easier it is for future researchers to relocate the spot where the specimen was collected.

There is a distinction between directions to find a locality (example 1) and a description of a locality (example 2). Both are valid information in a catalog record.

Example 1: Drive north on Highway 4 from the park visitor center 1.2 miles, and turn left on the dirt road on the west side of the highway, and continue until the road ends. Fossils were collected at the base of the cliff at the end of the road.

Example 2: The spring on the north side of Arroyo Seco, 100 yards south of where county road 10 crosses it in Sandoval County, New Mexico.

The two sources of information are complementary and provide varying degrees of precision. Both may not be necessary or available. For historical specimens collected before GPS and in areas lacking topographic maps, only a description of how to find the area where the specimen was collected was possible. If sufficient details were recorded it is often possible to find the locality and collect GPS data after the fact.

The level of descriptive details provided depends on the specimens collected and the standards for a discipline. For insects this may be very specific, as a species may live in a very small type of habitat. For a species of tree, the habitat may be very large, and the required level of precision is not as critical.

3. *Does ICMS include coordinate system fields for recording a locality?*

ICMS has fields for recording three types of coordinate systems. Including data for at least one of these systems is mandatory. All GPS data is collected relative to one of two datums: NAD 27 or NAD 83. At the time the GPS reading is made, the datum used should be recorded.

North American Datum of 1927 (NAD27) is a datum based on the Clarke ellipsoid of 1866. The reference or base station is located at Meades Ranch in Kansas. There are over 50,000 surveying monuments throughout the US, and these have served as starting points for more local surveying and mapping efforts. Use of this datum is gradually being replaced by the North American Datum of 1983.

North American Datum of 1983 (NAD83) is an earth-centered datum based on the Geodetic Reference System of 1980. The size and shape of the earth was determined through measurements made by satellites and other sophisticated electronic equipment. The measurements accurately represent the earth to within two meters.

There are differences in the two ellipsoids ranging from 200-300 feet in the western US to several tens of feet in the central and eastern US.

Note: For older specimens that don't have coordinate data, enter "Unknown" or "Not Provided" in the Latitude/Longitude field.

4. *What is the Land Survey System?*

Historically, data was recorded using the Land Survey System which includes:

- Township, Range, Section Number (1-36) and
- quarter sections (NW, SW, NE, and SE) up to three times

A Township is a square 6 miles on a side, so it covers 36 square miles. It contains 36 Sections, so a Section is one square mile, and the first quarter Section is one quarter of a square mile (160 acres). That Section is divided again in quarters (40 acres) and is divided into quarters again (into 10 acre plots). Much of the legacy data for natural history specimens contains this type of information.

The map name on which the Township, Range and Section are located is

identified as a Quadrangle (or Quad). The name should be recorded along with the scale of the map, which is usually 1:24,000. However, maps with other scales may be used.

5. *What is the most prevalent way to record locality today?*

Much of the current coordinate data collected during research projects is obtained using satellites and the Global Positioning Systems (GPS). The data are recorded either as UTM or latitude and longitude.

6. *What is the UTM coordinate system?*

The Universal Transverse Mercator (UTM) coordinate system is a grid-based method of specifying locations on the surface of the earth. The UTM system divides the surface of the earth between 80° S latitude and 84° N latitude into 60 zones. Each zone is 6° of longitude in width and centered over a meridian of longitude. Zones are numbered from 1 to 60. Zone 1 is bounded by longitude 180° to 174° W and is centered on the 177th West meridian. Zone numbering increases in an easterly direction. Each zone is further identified as being either North (N) or South (S) depending on whether it's in the northern or southern hemisphere.

The point of origin of each UTM zone is the intersection of the equator and the zone's central meridian. Within the zone the locality is further specified by the easting and northing coordinate pair. The easting is the projected distance of the position from the central meridian. The northing is the projected distance of the point from the equator. Both are distances measured in meters (m). The easting is identified by 6 digits, and the northing by 7 digits. If a geology specimen was collected at Old Faithful, the UTM coordinates would be given as Zone 12, 513833mE, 4922888mN.

In ICMS, the zone number, easting and northing are entered directly into the field and are separated by slashes.

7. *What is the latitude and longitude coordinate system?*

Latitude and Longitude is the coordinate system that describes a location on earth by two numbers -- its latitude and its longitude. These numbers are actually two angles, measured in degrees, "minutes of arc" and "seconds of arc." These are denoted by the symbols (°, ', "). For example, 35° 43' 9" means an angle of 35 degrees, 43 minutes and 9 seconds. A degree contains 60 minutes of arc, and a minute contains 60 seconds of arc.

The 0 reference line for latitude is the equator, and latitude is recorded as being north or south. The 0 reference line for longitude is the Prime Meridian, which passes through Greenwich, England. Longitude is recorded as being east or west of that line. If a geology specimen was collected at Old Faithful, the latitude and longitude would be given as 49° 27' 33" N, 110° 49' 34" W. The degrees may also be entered as decimal degrees, so the data would be givens as 49.4591° N, 110.8261° W.

H. Lot Cataloging Natural History Collections

1. *What is lot cataloging?*

Lot cataloging is a method of cataloging a group, or lot, of specimens rather than cataloging them individually. See the *Museum Handbook*, Part II, Appendix I, for additional information about lot cataloging. A variation of lot cataloging is bulk samples. See question H.4.

2. *What are the rules for lot cataloging natural history collections?*

The rules for lot cataloging natural history specimens depend on the taxa and the research objectives of the collecting project. In general, to lot catalog natural history collections, the lot must be:

- from the same accession
- from the same locale (same collection effort)
- from the same collection date
- from the same collector(s)
- studied together as a unit
- stored as a unit

Example:

Accession 1:	50 mixed insects and arachnids from a 5-minute sweep net sample
1 lot catalog record:	sweep net sample in a single vial of alcohol
Object/Specimen Name:	Sweep Net Sample
Quantification:	Item Count =50 and Storage Unit = EA
Accession 2:	thousands of insects from a single light trap that was run overnight
1 lot catalog record:	light trap sample in a single vial or jar
Object/Specimen Name:	Light Trap Sample
Quantification:	Item Count = 0, Quantity = 1, and Storage Unit = Vial or Jar
Accession 3:	10 dental and skeletal fragments from a paleontological specimen
Object/Specimen Name:	Coryphodon radians (genus and species)
Quantification:	Item Count = 10 and Storage Unit = EA

Incorrect lot cataloging can destroy the research value of a collection. The scientific integrity of any natural history collection depends on accurate information. The mixing of specimens with differences in their collection history or other attributes can result in faulty scientific analysis.

3. *How does lot cataloging relate to the research objectives of the collecting project?*

Some studies require collecting and studying samples that include many individual specimens. The collector collected the specimens as a unit and intends to study them as an assemblage. The definition of collection unit will, to some extent, be an arbitrary decision of the collector. The same is true for such collection data as date and time. For example, a light trap sample may represent hours of sampling time.

Locality is another variable. The collector determines if specimens collected within centimeters or meters of each other are from the same locality.

The cataloger will usually not have to be concerned with determining what to lot catalog. The researcher/collector has already made this decision as part of his/her research design. An object/specimen may be in many pieces and defined and labeled by the original collector as one collection unit.

4. *What is the difference between a lot sample and a bulk sample?*

A lot sample is composed of a single species, collected from one place at a single time. A bulk sample is composed of multiple species collected from a single place at a single time. A bulk sample may be kept intact because the important information is the relative number of individuals of each species. Subdividing it into smaller samples may result in loss of the information for which it was originally collected. A lot sample can be assigned to a specific taxon such as *Sardinops sagax*. It will have a specific number count such as 50 individuals. For a bulk sample, a general description will suffice rather than a specific taxonomy. Use the Description field to list the names of the species and the number of individuals for each species in the sample.

Examples of descriptive names for bulk samples:

- Plankton Tow Sample
- Water quality sample with insect larvae and other aquatic invertebrates
- Pollen sample
- Sediment sample with plant or mollusk remains

5. *What constitutes a natural history cataloging lot or unit?*

What constitutes a unit to be classified and cataloged varies among the different types of natural history specimens. Often a specimen consists of one physical unit or multiple components of one unit, such as:

- one complete species of plant, which may be mounted on one or more herbarium sheet(s)
- a complete study skin of a bird
- the bones in a skeleton
- group of seeds all collected at one time from one plant

Note: The definition of the specimen unit to be cataloged represents the judgment of what constitutes a single collection. Most of the time a cataloger will follow the specialist's decision in the classification and

cataloging process. The collector/specialist will have already prepared, mounted, and labeled most collections. This in itself creates the definition of the collection unit and usually specifies the object/specimen name as well.

6. *Does lot cataloging vary from taxon to taxon?*

Yes. Mammals, birds, and reptiles are generally collected as individuals and are rarely lot cataloged. Smaller reptiles and amphibians are occasionally lot cataloged if they are collected on the same date from small sampling plots. Fish, particularly smaller, more common species, are frequently cataloged as a lot. Numerous specimens may be collected from a single seine haul or during electro-fishing or rotenone sampling.

Invertebrates are lot cataloged more than vertebrates. There are well-developed sampling techniques for invertebrates. For example, there are malaise traps, light traps, and pitfall traps for terrestrial arthropods. There are various grab, core, sled, or dredge samples for benthic and epibenthic organisms. There are a variety of net samplers for planktonic organisms.

Most plant specimens, like vertebrates, are collected as single individuals. Generally, give each herbarium sheet one catalog number. Count it as one item, even if the sheet has more than one plant of the same species. On occasion, numerous individuals of the same species are collected on the same date from a single sampling area. In these cases, you may lot catalog the specimens using more than one herbarium sheet. For example, if the specimens from the sample are on four herbarium sheets, give them all the same catalog number. Enter 4 in the Item Count field on the catalog record.

Assign one catalog number and lot catalog paleontological specimens that make up one individual. You can also lot catalog a matrix that has a mix of fossils from several individuals of the same species.

7. *What constitutes a herbarium specimen?*

One plant because of its size may be collected as a series of separate parts, such as:

- two flowering branches
- several leaves that are not physically attached to one another
- separate fruits or nuts that were originally part of one infructescence but are now separate

All of these parts might be mounted on one herbarium sheet and cataloged as a single specimen. In other cases, components may be too large or their cumulative size too great for a single herbarium sheet. They then may be mounted on multiple sheets but given a single catalog number.

Catalog plants separately when:

- multiple sets of parts are collected from a single plant for placement in separate repositories
- numerous plants of the same species are collected from a single sampling area and will be placed in separate repositories

8. *How do I catalog specimens in separate "pieces"?*

Some natural history specimens always consist of more or less separate "pieces" but are always maintained as a single item. Examples include separate bird eggs in a nest or loosely joined frog eggs that comprise a single egg mass. The context of these individual units is provided by the larger sample and their co-occurrence. Therefore they are cataloged as a single unit.

9. *How do I catalog multiple individuals or species that are in one physical unit?*

Some natural history specimens may be comprised of multiple individuals or even multiple species that are present in one physical unit. A common example is a piece of rock representing a piece of sea floor that contains fossils of a variety of different marine organisms. Samples or collections may be expressly made to:

- sample the diversity of biological communities
- provide information on the relative abundance of different species

Catalog these as a single unit. Examples include a sweep net sample from a stream and plankton samples.

10. *What is the maximum allowable taxonomic diversity within a lot?*

Taxonomic diversity means that the sample has more than one species in it. The amount of diversity will depend on the nature of the sample and the type of habitat from which it is collected. A plankton sample from the ocean may have many more species than one from a high mountain lake. There is no limit on the taxonomic diversity in a lot. It depends on the reason why it was collected. Maintaining the original sample intact in order to document the relative abundance of each species often provides the critical data and reason for the collection of the sample. The single sample may be treated as a lot. It may also be desirable as part of the research to separate out various taxonomic groups. The number of groups in each lot is determined by the lowest taxonomic level to which the specimens are identified when you accession them. This will vary depending on the:

- difficulty of identification within the group
- level of expertise of the collector, donor, or curator

11. *Are the procedures for lot cataloging bulk samples of natural history specimens different from cataloging specimens individually?*

No. The specific steps and guidelines for lot cataloging bulk samples are essentially the same as those you use to catalog specimens individually. Treat the entire lot (rather than the individual components of the lot) as a single specimen. Enter the number of specimens (or number of parts of one specimen) in the Item Count field in ICMS.

Use the Description field in ICMS to describe, in general terms the:

- contents of the lot
- specifics about the collection procedure, date, time of day
- associated data about climate and environment

Example: Approximately 50 *Daphnia pulex* in various stages of development from a ten-meter plankton tow using a 100 micron mesh plankton net.

If a taxonomic identification of the sample is not possible, then a general description will suffice, such as Plankton Tow Sample.

Place a completed NPS natural history label in the storage container for the lot. The label includes the catalog number and other pertinent information and identifies the lot. In some cases components of the lot have their own labels, such as pinned insects. It is not necessary to affix catalog numbers to individual items in a lot. A single specimen label for the sample is sufficient.

12. *What do I do if I need to remove specimens from the lot?*

Future researchers may use natural history specimens in different ways and for different reasons from the original collector. While a sample may originally contain multiple species, future researchers may want to focus on one species in that sample. In order to facilitate the research, it may be necessary to remove some specimens from the sample. When specimens are removed from the lot, assign them separate catalog numbers.

Having a link between the catalog number of the new record and the original is critical. Modify the original record to note the removal and separate cataloging of the specimens. For example, a fish specimen may contain internal parasites. A researcher studying fish parasites may remove the parasites from the internal organs. Catalog the parasites separately, but cross-reference the catalog records to show the relationship between the parasite and host species.

Scientists also frequently borrow specimens for identification purposes. You need to track specimens that you remove from a lot temporarily for study. Record the following information:

- a full description and count of the specimens
- the name of the person who will be responsible for them
- where they will be kept
- the date they were removed
- the date they are to be returned

If the specimens removed from a lot…	***Then track them…***
will be gone for less than 30 days,	with a Receipt for Property, Form DI-105.
will be gone for more than 30 days,	with an Outgoing Loan Agreement, Form 10-127.

Refer to the *Museum Handbook*, Part II, Chapter 5, for information about loans.

Place an Object Temporary Removal Slip, Form 10-97, or a note with the remainder of the lot. Refer to the *Museum Handbook*, Part II, Chapter 4, Section II, for information about Form 10-97. Record the same information on the note as in the list above. Use black ink on acid-free paper.

13. *What if specimens in a lot are recataloged?*

In the course of future study, it is likely that researchers will identify or re-identify specimens within a lot. Assign individual catalog numbers to single specimens or smaller lots of specimens. For example, a specialist may use environmental monitoring samples to document changes in species diversity over a period of twenty years. During that time, the specialist may identify all or some of the specimens in the original lot. As this happens:

- store the identified specimens with other fully identified specimens of the same or related taxon
- cross-reference to the catalog record for the original lot
- adjust the Item Count field for the original lot to show the removal of specimens
- include a cross-reference on the original record to the catalog records for specimens that have been removed from the lot

Note: If a specialist identifies many specimens of a single species from a lot, you can create another lot catalog record at the species level.

I. Taxonomy and Classification

1. *What is the difference between identification and scientific classification?*

Identification is the job of the specialist. The collector or specialist identifies the genus and species of a specimen (for biological and paleontological specimens) or the type of rock or geological sample.

At the time of cataloging, a natural history specimen may have a field label that records:

- the location where the specimen was collected
- date of collection
- other pertinent information

Many natural history specimens may only have a field tag with a collection number. This depends on the types of specimens at the time of cataloging. The number links the specimen to data recorded in field notebooks. Other field labels may record more information, such as:

- the location where the specimen was collected (either descriptive or with GPS coordinates)
- date of collection
- other pertinent information, such as type of habitat the specimen was collected in or field measurements, such as body dimensions and weight

Classification places specimens within a taxonomic framework, which facilitates retrieval of data tied to the specimen. It may also determine where a specimen is placed in the collection. Taxonomy is the orderly classification of biological collections according to their presumed natural relationships. It is used in different formats to determine how a collection will be organized.

Cataloging a specimen requires including its classification. In the context of cataloging, classification is **not** the process of identifying and classifying an organism from "scratch." Ideally, the specimens have been fully labeled. The researcher who collected the specimen usually provides the classification information. The park curator must ensure that the appropriate data fields related to the taxonomy of the specimen are completed accurately by using the:

- field label/tag
- associated research data, *and*
- classification provided in the Integrated Taxonomic Information System (ITIS) module in ICMS

Note: While both biology and paleontology utilize the same classification structure, this structure is different for geology. See the Hierarchical Classification Outline for Geology at the end of this appendix for information about classifying geology specimens.

2. *How does taxonomy affect the organization of my natural history collection?*

The organization of most biological collections and some paleontological collections is by taxonomy. Classifications and taxonomy are information retrieval systems based on a set of formal relationships. Therefore an individual familiar with the taxonomic relationships of a group of organisms can quickly find the specimen of interest.

Modern classification systems reflect the phylogeny (the history of a lineage as it has changed through time) of an organism. These systems are arranged from early primitive forms to later more advanced or derived forms.

Traditionally, the formal classification of a group is the basis for organizing most natural history collections. Classification differs depending on the group of organisms. The primary organization of biological and paleontological collections starts with the separation of the plant and animal kingdoms. These are the zoology and botany areas. Within each of these broader categories, the collections may be arranged in order:

- by phylum
- within phylum by class
- within the class by order
- within order by family
- by genus

- by species

Eventually all of the same species within a genus are stored together in one area.

Note: Collection organization also needs to address health and safety issues. For example, in many collections, the types of preservation, such as wet specimens in alcohol, may determine the collection organization.

3. *Does the organization of a biological collection always strictly follow taxonomy?*

No. While most collections of animals follow this strict phylogenetic order, plant collections often do not. Often herbarium collections are organized alphabetically by taxonomic groups. Alphabetical organization facilitates finding specimens more quickly. Herbaria are often organized alphabetically by:

- family without regard to class and order,
- genus within a family
- species within a genus

4. *Why is having the complete taxonomic hierarchy so important?*

Researchers use the database to determine what specimens pertinent to their research are available in the collection. They may search at different taxonomic levels: family, subfamily, tribe, genus, or species. An accurate and current taxonomy ensures that specimens can be easily and quickly located so that researchers will receive the appropriate specimens for their research. Taxonomy often determines the order in which biological specimens are stored and their location within the collection or cabinet. An incorrect taxonomy, such as an incorrect or invalid scientific name, may result in a specimen being misplaced in the collection. The specimen is then difficult to locate. Use of such a specimen as a reference specimen, may result in the incorrect identification of a new specimen.

5. *Are there other ways that parts of a natural history collection may be organized?*

Fossil collections may or may not be organized taxonomically. If a strict taxonomic arrangement is used then it would be in a phylogenetic sequence:

- from the most primitive phylum (single-celled organisms such as foraminifera)
- to the most advanced (vertebrates)

Alternatively, many fossil collections are primarily organized chronologically (biostratigraphic) from the oldest to youngest using the geological time scale:

- by period
- within period by epoch.

Within each time period, the second level of organization is:

- by locality (country, state, county, specific locality)
- within an individual locality taxonomically by class, order, family,

genus and species

For vertebrates there may be a fourth level of organization. A particular species may be organized by individual skeletal elements preserved from a single site. This organization is dependent on the number of bones.

6. *What are taxonomic rank suffixes?*

For many taxonomic ranks the suffixes of the names are standardized. ITIS provides these standardized names. For names that aren't in ITIS, spelling the user-defined name correctly with the appropriate suffix is important. Some of these suffixes only apply to specific groups of organisms. Standard suffixes include:

- Phylum – There is no standard name ending for animals, but for plants the Division name should end with *"-phyta,"* and for fungi it should end with "*-mycota.*"
- Subdivision – Plant names end with "*-phytina,"* and fungi names end with "*-mycotina.*"
- Class or a subclass – Plant names end with "*-opsida"* (class) and *"idea,"* but not "*-viridae."* Algae names end with "*-phyceae"* (class) and "*-phycidae"* (subclass). Fungi names end with "*-mycetes"* (class) and "*-mycetidae"* (subclass).
- Order - In birds and fish names end with "*-iformes*."
- Superfamily – In animals names end with "*-oidea*."
- Family – Animal names end with "*-idea*." Plant names end with *"-aceae."*
- Subfamily – Animal names end with "*-inae*." Plants names end with " *–oideae."*
- Tribe – Animal names end with "*–ini*." Plant names end with "*-eae*"
- Subtribe – Plant names end with "*-inae"* (but not "*-virinae"*).

Lichens are a symbioses of two organisms -- a fungus and algae. Taxonomically lichens are classified by their fungal components.

7. *Is there any difference in the classification used for biology and paleontology?*

No. Biology and paleontology use the same system of taxonomy. The classification fields in ICMS are the same for both biology and paleontology. The classification scheme for both disciplines is:

- Class 1 = Biology or Paleontology
- Kingdom
- Phylum/Division
- Class
- Order

- Family

In the ITIS database created to standardize the taxonomy used by U.S. federal agencies that work with biological organisms there are currently 6 Kingdoms of life recognized. Other researchers may recognize other Kingdoms, but for the purposes of the taxonomy used in ICMS the six used are:

- Animalia (animals)
- Chromista (algae whose chloroplasts contain chlorophylls *a* and *c*, formerly included in the Protista or Protozoa)
- Fungi (fungus and lichens)
- Monera (the true bacteria eubacteria, the true bacteria, and cyanobacteria, blue-green algae)
- Plantae (plants)
- Protozoa (unicellular eukaryotes such as amoebas and ciliates)

Since paleontology includes many extinct forms, it includes classification hierarchy groups not represented in biology.

8. *How do I classify unidentified specimens?*

No single individual possesses the background knowledge necessary to identify all natural history specimens that might be present in a park. Park curators will depend on the expertise of the individual creating the collection to provide current and accurate taxonomic identifications of biological and paleontological specimens. While ITIS is the primary taxonomic source used by the NPS, it does not contain taxonomic information for all groups. When missing taxonomic information for a collection that is not in ITIS, check with the researcher for the missing information. You can also ask the researcher to recommend references that will provide the necessary information. Some examples are provided in the Taxonomic Resources and References in Section T.

Note: Sometimes a specimen cannot be fully identified. If you don't know the classification, you may use Unidentified in the classification fields as needed. Refer to the Biology, Geology, and Paleontology sections of Chapter 2 in the *ICMS User Manual* for specific instructions.

9. *Where can I find classification aids?*

It's impossible to provide a list of references to every taxonomic group. However, the publications and web pages in the bibliography in Section T may prove useful. These are examples of taxonomic resources and aren't comprehensive in their coverage. The classification of many groups is now accessible on the internet. As in all cases of using the web, consider the source of the information before utilizing it. Whenever possible consult with the researcher who provided the identification to find out the complete classification.

Many organizations have created databases that provide quick access to classification information. It's important to recognize that not all of these databases will provide the exact same classifications. This is because taxonomic classification is a dynamic discipline. Researchers and

specialists will have differing opinions on an organism's scientific name and its relationship to other organisms. Both of these factors will affect classification. Different specialists may assign a particular species to different genera. A particular genus may be placed in different families and so on. It would make life easier for a cataloger or collection manager if there was a consensus on an organism's classification. However, this is not often the case, and is not likely to ever change.

10. *What is the HCO?*

The NPS developed and used the Hierarchical Classification Outline (HCO) to classify natural history specimens. The NPS now uses ITIS as the taxonomic standard. The NPS no longer uses the HCO for biology and paleontology, but still uses the HCO to classify geology.

The Geology HCO appears at the end of this appendix.

11. *What is a type specimen?*

The term "type" forms part of many compound terms used by taxonomists to distinguish between particular kinds of specimens. Only some of these are name-bearing types; that is the name created is directly tied to a physical specimen. The International Code of Zoological Nomenclature or International Code of Botanical Nomenclature regulates three categories of specimens:

- Holotype
- Lectotype
- Hapantotype

Holotype

Whenever a new species of an organism is described in a scientific publication, the author must identify the specimen upon which the new name is based. This single specimen is called the holotype. A holotype is the original specimen upon which a new scientific name is based. The holotype carries with it a special value as the standard reference by which other specimens may be assigned to that species. The NPS designates **ALL** holotypes, whether for modern or fossil specimens, as controlled property (requiring inventory every year).

Paratype

An author may identify in a publication that multiple specimens were used as the basis of describing a new species. This is the Type Series and includes all the specimens on which the author established a nominal species-group taxon.

After the holotype has been labeled, any remaining specimens of the type series should be labeled as a "paratype." Paratypes identify the components of the original type series.

Syntype

Syntypes are specimens of a type series that collectively constitute the name-bearing type. These specimens may have been expressly designated as syntypes. For a nominal species-group taxon established before 2000, all the specimens of the type series are automatically syntypes if neither a holotype nor a lectotype has been specifically identified. When a nominal species-group taxon has syntypes, all have equal status in nomenclature as components of the name-bearing type.

Lectotype

At times a specific specimen was not identified in the original publication as the holotype. A later researcher may then designate a lectotype from among the syntypes. The lectotype becomes the unique bearer of the name of a nominal species-group taxon and the standard for its application.

Neotype

A neotype is the name-bearing type of a nominal species-group taxon designated under conditions specified when:

- no name-bearing type specimen (holotype, lectotype, syntype or prior neotype) is believed to be extant, *and*
- an author considers that a name-bearing type is necessary to define the nominal taxon objectively

Allotype

The term "allotype" may be used to indicate a specimen of opposite sex to the holotype. An "allotype" has no name-bearing function.

Hapantotype

A “hapantotype” consisting of one or more preparations or cultures may be designated when a nominal species-group taxon of extant protistans is established. This hapantotype is the holotype of the nominal taxon.

12. *What is a voucher specimen?*

A voucher is a natural history specimen specifically collected to be preserved in a museum collection. Voucher specimens document the presence of a biological organism or other natural history specimen from a specific location at a specific time.

13. *How does a voucher specimen differ from a photo “voucher”?*

Photo “vouchers” are not vouchers in the scientific sense. They don’t provide detailed information about the species except the data recorded when the photo was taken. The data provides date and location plus any other information entered into the field notes. Photo vouchers don’t provide DNA or permit examination for:

- toxic substances
- isotope studies
- parasites
- details of anatomy
- other information that may be of interest to future researchers
- the anatomical details necessary to ensure accurate identification for closely related species or subspecies

Photo “vouchers” may be taken when a researcher is working with an endangered or threatened species. Photo “vouchers” may be taken when obtaining an original specimen is not permissible, possible, or practical. Photo “vouchers” should **NOT** be treated like an original specimen or cataloged into ICMS as an original specimen. Treat the photo and associated data as an archive record. File the photos as part of the documentation of the project.

Likewise, sound recordings of birds, insects or other organisms, can serve

as a "voucher" for the presence of an organism. Treat these as archive records and not as actual specimens.

J. Scientific Name

1. *What is a scientific name?*

A scientific name is the genus and species names that the specialist or collector assigns to the specimen. The species may include a modifier, an authority, and a year. There are several sub-specific categories that may be part of the name:

- subspecies, authority and year
- variety, authority and year
- forma, authority and year

Note: To find the scientific name of a specimen, check the field tags and field data.

2. *Can a natural history specimen have more than one scientific name?*

Yes, some biological or paleontological specimens have the potential for two or more scientific names. In these cases, the researcher determines the primary name based on the reason for collecting the specimen. Use the primary name as the scientific name on the catalog record. Secondary names can be entered in the description of the specimen. For example, a leaf may be collected to specifically document a leaf mine made by an insect. Catalog the specimen by the name of the species that produced the leaf mine, such as the sawfly, *Fenusa pusilla*. In the specimen description, include the name of the plant species where the leaf mine was formed, such as the paper birch *Betula papyrifera*.

Another case would be wolf scat, where there may be identifiable animal and plant remains present. Catalog the scat as *Canis lupus*, since the wolf produced the scat. List the plant and animal remains found in the scat as part of the specimen description.

In the case of fossils, the leg bone of a fossil rhino, *Subhyracodon*, may have tooth marks from a scavenger, *Archaeotherium*. The primary taxonomy would be for the animal from which the leg bone originated. In the description, list the name of the animal that made the tooth marks.

3. *What abbreviations and notations can I use to denote uncertain identification?*

Many times it may not be possible to fully identify a natural history specimen based on the preserved parts. The specimen may lack the anatomical part characteristics of a specific taxon that permit an unambiguous identification. In order to indicate the uncertainty of the identification, taxonomists have adopted standardized abbreviations. These abbreviations are used to indicate different levels of uncertainty regarding the identification of the specimen.

cf

The abbreviation cf. is from the Latin "*confer*" meaning compare. The abbreviation cf. indicates that the specimen compares most closely with the genus or species name after the abbreviation. For example:

- cf. *Canis* for a single bone means the specimen most closely compares with a bone of a dog-like animal of the genus *Canis*

- *Canis* cf. *latrans* means the specimen is sufficient to assign it to the dog genus *Canis* and that it most closely compares with a coyote (*Canis latrans*)

aff

The abbreviation aff. is short for "affinity." It indicates that the preserved specimen is closely related to the species but seems to differ from that species in some characters. For example, *Acer* aff. *rubrum* indicates that the features found on a leaf most closely resemble the red maple, *Acer rubrum.*

near and see

"Near" and "see" are other terms that may be used to indicate uncertainty of identification. Both terms are used in conjunction with two scientific names. The terms indicate at what level in the taxonomic hierarchy the specimen can be placed and at what level there is uncertain identification. An example is Magnoliopsida (the Class for dicots) near Apiales (the Order for carrots, celery, parsley, and ivy). The name indicates that the plant can be identified as a dicot with certainty. The name also indicates that the specimen appears to be most similar to a member of the Order Apiales. "See" is used in a similar sense. It indicates the taxonomic level, species, genus, and so forth that the specimen most closely resembles.

4. *What are annotations?*

Sometimes a specimen bears more than one scientific name because of annotation. Taxonomy and classification is a dynamic discipline. New techniques, such as DNA analysis, often change our knowledge of the relationship of organisms. New techniques may also change the formal groups to which an organism belongs. Specimens in natural history collections may undergo multiple name changes through time. This is particularly true of older historical specimens.

Annotation occurs when a specialist in a particular group of organisms reviews a specimen and suggests a change in scientific name. This may be a correction of an initial misidentification. It may merely reflect changes in the scientific name that are a result of more detailed study of that group. Enter annotations on the Annotation label (Form 10-510). Attach the label to the specimen, or store it with the specimen in the same manner as other labels.

The annotation label should include the author, title, and institution of the annotator. Older annotations may not be dated, but any new annotation should include the date when it was made.

Enter the most recent annotated scientific name on the catalog record. The catalog record should also include the annotator's name and the date the annotation was made.

Anytime a catalog record is modified to reflect a taxonomic change, submit it to the National Catalog as a recataloged record.

5. *What should I do with older scientific name annotations?*

Annotations are an important source of information. Don't discard them. Most annotations will be left with the specimen. In some cases annotations may be filed in the accession or catalog folder once they are recorded on the catalog record. Older annotations may have been made on non-archival paper. They may require conservation in order to ensure their long-term preservation.

Do not modify, remove or discard the scientific name on earlier labels attached to the specimen. These labels are frequently attached to amphibians, reptiles, birds and mammals, or herbarium sheets. The labels are part of the intellectual history of the specimen. On plant specimens the annotation is sometimes written directly on the herbarium sheet.

You can record the history of changes to the scientific name using the Scientific Name supplemental record in ICMS. See Section XXII in Chapter 3 of the ICMS User Manual. It's recommended that you also cite the older scientific name in the Description field on the catalog record.

6. *What are synonyms?*

The taxonomic study of organisms is based on ongoing research and is not static. New species are being discovered and described. With multiple researchers in different countries, a single, unique organism or group of organisms may have been given more than one name over time. Subsequent research may determine that duplicate names have been assigned to a plant or animal. These are considered synonyms of the accepted name, which is usually, but not always, the earliest published name for that organism. For example, the accepted name for reptiles, the Class Reptilia, includes as synonyms the names: Anapsida, Archosauria, Diapsida and Lepidosauria. These synonyms are no longer accepted names and are listed as invalid in ITIS. Another example is the snail Orders Monotocardia and Pectinibranchia. They were previously considered distinct groups but are now considered part of the Order Mesogastropoda (periwinkles and conchs). The ITIS module in ICMS includes synonyms and terms that are no longer accepted.

If…	***Then…***
the scientific name you wish to apply to the specimen is not an accepted term, because it is a synonym,	the program will not backfill the complete taxonomy: select the next highest taxonomic name for the specimen that is valid from the ITIS module, *or* enter the appropriate names in each taxonomic field individually.

7. *What is a descriptive name?*

A descriptive name is often required for samples that contain multiple taxa, such as an insect sweep net or a plankton tow sample. Keep the sample intact rather than catalog the individual species. Use a descriptive name in the Scientific Name subfield Desc Name to accurately describe and provide information about the contents of bulk, composite, or environmental samples that contain multiple taxa.

8. *What is a common name?*

The common name may also be referred to as the vernacular name. Most people recognize a particular plant or animal based on its common name rather than its scientific name. Therefore including a common name may facilitate searches and information transfer. However, common names represent a special problem in systematics. Many species are referred to by

several "common names" both within a country and between countries. The names depend on local traditions, language variations, and so forth.

Entry of a common name is optional. The Integrated Taxonomic Information System (ITIS) database includes common names for many of the taxa. ITIS will automatically fill the common name field if the Taxonomic Serial Number (TSN) is used. See Section K for information on ITIS and the TSN.

The first name of a common name is not capitalized unless it is a proper name, such as Swainson's thrush or Baltimore oriole. If a common name is used, it should be applied consistently.

Common names are not often standardized except in some rare instances. For example, the popularity of bird watching has resulted in the creation of widely accepted common names for all species. The American Ornithologists Union (AOU) maintains a web site listing of all living birds at http://www.aou.org/checklist/north/index.php. The checklist includes both the scientific name and the standardized common name used in the birding community. Not all groups of organisms have standardized common names. The rarer groups that are not likely to be encountered on a regular basis usually don't have common names.

9. *Do fossils have common names?*

Fossil species are less likely to have common names than modern species. Often the common name is a transliteration of the scientific name or is simply descriptive. For example, *Spermophilus rexroadensis* is called the Rexroad Ground Squirrel in reference to the name of the locality where the fossil species was first found. *Castoroides ohioensis*, or *Paenemarmota barbouri* are called the giant beaver or giant marmot respectively. The name reflects their large size in comparison with their modern relatives.

10. *How do I handle hybrid names?*

A hybrid is an organism resulting from the cross breeding of two different but usually closely related species. For example, the white oak, *Quercus alba*, may cross with a chestnut oak, *Quercus prinus*. A mallard duck, *Anas platyrhynchos*, may breed with a mottled duck, *Anas fulvigula*.

Hybrids may sometimes form by breeding between different genera, such as a swan (*Cygnus*) with a goose (*Anser*). Hybrids are designated by an X between the scientific names of the two species that formed the hybrid. Hybrids between representatives of two or more taxa may also be given a single name. The hybrid nature of a taxon is indicated by placing the multiplication sign × before the:

- name of an intergeneric hybrid
- epithet in the name of an interspecific hybrid

Example: *xSchimlinia floribunda* is a hybrid between *Franklinia alatamaha* and *Schima argentea*. *Lycopodium* X *habereri* is a hybrid of the species *Lycopodium digitatum* and *Lycopodium tristachyum*.

K. ITIS

1. *What is ITIS?*

The Integrated Taxonomic Information System (ITIS) is the approved taxonomic and classification standard for all government agencies working with modern organisms. The NPS Natural Resources Division has adopted ITIS as its taxonomic standard for living organisms. The classification in ITIS is also the taxonomic basis for NPSpecies. The NPS museum program has adopted ITIS as the classification standard for biological organisms in ICMS.

The National Museum of Natural History maintains the ITIS database in partnership with the NPS and several other agencies. You can access the database at http://www.itis.gov/. The ITIS database provides authoritative taxonomic information on plants, animals, fungi, and microbes of North America and the world. ITIS-North America is a partnership of:

- U.S. agencies, including NPS, USGS, USDA, FWS, NOAA, and EPA
- Canadian agencies
- Mexican agencies
- other organizations and taxonomic specialists
- Species 2000 and the Global Biodiversity Information Facility (GBIF)

The ITIS and Species 2000 Catalogue of Life (CoL) partnership provides the taxonomic basis for the Encyclopedia of Life (EOL). As such, ITIS is the taxonomic standard utilized by other federal agencies that deal with biological organisms.

2. *Are there limitations to ITIS?*

Yes. While ITIS is a useful database, it's incomplete. For example, insects and other invertebrates are not well represented. The ultimate goal of ITIS is to capture the taxonomic history and provide a classification of every organism on the planet. It will be a long time before that goal is reached. As of June 2012 ITIS had 606,131 entries. New entries are continually being added, and the database is updated regularly and accessible on line. The ITIS module in ICMS is only updated once a year. There may be taxa listed on line which are not yet in the module in ICMS.

However, you will likely be asked to catalog a specimen that has not yet been entered. For example, a researcher in your park describes a new species of insect. That particular new species may not be added to ITIS for years. In the meantime it must be cataloged and classified. If the new species is in a genus that is already in the ITIS database, you can usually provide a complete classification. Select the genus or its Taxonomic Serial Number (TSN) from the ITIS module. Then enter the species as a user-defined term. This can be done at higher levels as well. If the family is in the database, select it to provide the higher taxonomic levels. Then enter the new genus and species as user-defined terms. If the genus or family is not in ITIS, you may have to rely on specialists or other sources for the:

- name of the lowest taxonomic level available for the specimen in ITIS
- user-defined names you should enter for the levels below that

Once you determine the complete classification of an organism, enter it in ICMS with user-defined terms. The new terms will lack the convenience of the linkage to higher categories provided by ITIS.

The rules by which taxonomic names are created and used for animals is governed by the International Commission on Zoological Nomenclature (ICZN) and is found at the website http://www.iczn.org/

Plant taxonomy is governed by the International Code of Botanical Nomenclature and is found at the website: http://ibot.sav.sk/icbn/main.htm

3. *Do all researchers use ITIS?*

No. Not all researchers working in taxonomy agree on the appropriate name to apply to an organism or its classification. Not all researchers agree with the names considered valid in ITIS. Researchers in different regions may use a reference that may include taxonomies of some groups that differ from ITIS. For example, researchers in Florida use *A Guide to the Vascular Plants of Florida* (Wunderlin,1992). In California, the current standard reference book for native and naturalized plants is *The Jepson Manual: Higher Plants of California* (Hickman, 1993).

4. *How do I add additional classifications and names to ITIS?*

ITIS is a locked database and cannot be modified by individuals or organizations to suit their specific needs. You may, however, submit names of taxa to the ITIS program for inclusion. There is a charge for processing each taxon submitted for inclusion in the database.

The ITIS data submittal process allows users to request additions or changes to the database. The guidelines on how to submit a request are found on the ITIS website at: http://www.itis.gov/submit.html.

5. *Are fossil taxa included in ITIS?*

No. ITIS was designed to include only living taxa or species that have become extinct in historic times. It specifically excludes fossils. However, many of the higher categories in ITIS are applicable to fossil taxa. This is because fossils are the remains of once-living organisms, and paleontology uses the same classification system as biology.

Given the long evolutionary history and biodiversification on earth, the number of extinct organisms greatly outnumbers living organisms. Fossil classification is complex and includes more groups, many of which have no living relatives. Therefore, obtaining the complete classification for a fossil specimen can be more challenging.

The ITIS table used in ICMS has been modified to include fossil taxa found at parks, but it's incomplete. Fossil taxa in ICMS are identified by having a negative Taxonomic Serial Number (TSN). You can add fossil taxa from your park to the ITIS table in ICMS. Submit a request to the Senior Curator of Natural History with a list of the taxa you would like to add. The terms will be added in the next periodic update of the ICMS ITIS table.

6. *Are abbreviations and notations available in the ITIS table in ICMS?*

No. Abbreviations or notations to indicate uncertainty in the specimen's taxonomy aren't available in the ITIS table in ICMS. You will need nter these as user-defined entries.

7. *What is a TSN?*

TSN is the acronym for Taxonomic Serial Number. Every taxonomic group in ITIS, whether it is still considered a valid name or not, is assigned a unique TSN. The TSN facilitates tracking and linking the names in the database.

You can enter the TSN in the ITIS module in ICMS. The program then automatically populates the taxonomic fields on the catalog record. Selection of a "not accepted" name will populate the field for which it is appropriate, but it will not populate any of the higher fields. Selection of "not accepted" names is strongly discouraged.

Note: If you don't know the TSN, you can use the Find Specimen button in ICMS to enter a taxonomic name.

8. *Can I use the TSN to help classify unidentified specimens?*

Yes. Even if you can't identify to genus and species, you can enter the TSN for the lowest known taxonomic level. ICMS will then populate the higher fields for that entry. For example, you could use the TSN number:

- 178620 for *Mimus polyglottus*, a mockingbird nest
- 178618 for a nest known to be from the family Mimidae
- 178265 for a nest that can only be identified as being from a Passerine

9. *Can I use ITIS for hybrids?*

ITIS includes some hybrids but not all. If the hybrid isn't in ITIS, you will need to enter a user-defined term in the Scientific Name field. To include a full taxonomy, enter the TSN for the next highest level in the classification. Usually this will be the family.

L. Difficult Classifications

1. *How do I classify lichens?*

Lichens are unusual organisms. They are a combination of organisms from two different kingdoms: Monera (fungi) and Chromista (algae). For the purposes of classification, they follow the classification hierarchy of the kingdom fungi.

2. *What is an environmental sample?*

The name "sample" is used only for those specimens that were specifically collected:

- according to stringent collecting procedures
- in a strict regimen of collecting episodes
- for a specific purpose such as to answer a scientific question or provide information to aid in managing a natural resource
- with the highest level of associated data

While every specimen is a "sample" of the environment in the larger sense, it may not meet the above criteria. "Samples" result from scientific studies that:

- specify an exact time and place of collection
- utilize consistent collecting techniques
- are standardized in different disciplines to control for collecting bias
- produce the maximum amount of accurate information

A sampling program may be designed to collect repeated samples over set time intervals, using a consistent set of collecting techniques. Specimens acquired utilizing these rigorous requirements often have a higher scientific value than those collected accidentally or randomly.

Example: 10 cm diameter plankton net tow of 30 meters at a depth of 50 cm, 100 meters off the south shore, with good global positioning data.

There is a vast difference between the example and a bottle of water "scooped" out of the lake. However, the original field records and data associated with the plankton sample must be cataloged and preserved. Otherwise there is little difference between the two samples.

3. *How do I classify composite samples?*

As in the case of the plankton tow, research projects may result in composite samples. The classification of a composite sample is determined by the primary purpose for which the sample was made. For example, the purpose of taking a water sample may be to study the biota. Then you would consider the sample a biology specimen. If the sample was made to examine lake-bottom sediments, then you would catalog it as geology.

Classify composite samples based on the specimen of primary interest. To capture the other components to the sample, consistently enter additional classifications in the Description field of the ICMS record.

4. *What is a cast?*

Casts are exact copies made directly from natural history specimens, most often fossils, often by first creating a mold of the specimen. A cast may be made when the original cannot be collected, such as a modern or fossil footprint. In the case of footprints, which are negative impressions, the copy made directly from the footprint will be reversed. This copy may be placed in the collection or a second cast may be made that will resemble the original footprint. Traditionally casts were made in plaster, but plastics may be used as well. See questions 6 and 7 in this section for information on trace fossils.

NPS *Management Policies 2006*, Section 4.8.2.1 Paleontological Resources and Their Contexts states that the Service will avoid purchasing fossil specimens. Acquire casts or replicas instead.

5. *How should I catalog casts?*

Catalog casts like all other museum specimens even though they are not original. In the case of fossils, often the cast may be obtained from a museum either by purchase or exchange. These casts serve as reference specimens to aid in the identification of fossils found in the park. Many times parks will obtain casts of important specimens collected from the area

before the establishment of the park. Parks get casts because they fall within the park's SOC and help further the park's mission. Parks may get some casts initially for exhibit. Casts on exhibit may secondarily support the park's research program and aid in serving as a reference specimen used to aid in the identification of newly discovered fossils. Note on the catalog record:

- that the specimen is a cast
- where the original specimen is located
- the catalog number of the original specimen

6. *What are trace fossils?*

Trace fossils, also called ichnofossils, are geological records of biological activity. Trace fossils may be impressions made on the sedimentary substrate or on another fossil by an organism. Examples include burrows, nests, borings, footprints, gnaw, bite and other feeding marks, and root cavities. The term in its broadest sense also includes the remains of other organic material produced by an organism, such as coprolites (fossilized droppings).

7. *How should I catalog trace fossils?*

Catalog a trace fossil under paleontology, not geology. It may or may not have a formal taxonomy. Matching a trace fossil to the specific biological organism that created it isn't always possible. Therefore the taxonomic fields may be incomplete. Trace fossils, like other fossils, are not included in the ITIS database.

8. *Should I include specimens mounted on slides as part of the collection?*

Yes. During the study of a biological organism, fossil, or geological specimen, parts of the specimen may be removed and mounted on a microscope slide. This is done in order to better examine the specimen's internal structure. Likewise studies of microorganisms, such as the tardigrades (also known as waterbears), require that the specimens are mounted on slides. Sediment samples may be processed in order to release microfossils which must be mounted on slides for examination.

Examples of slides that may be prepared include:

- different tissues from a plant or animal such as the heart, liver, muscle from a mouse
- thin sections of fossil bone or teeth
- microscopic fossils such as pollen, diatoms, or foraminifera, both modern and fossil
- petrographic slides of rock samples to examine crystals and mineral composition

9. *How do I catalog specimens on slides?*

If not all of the original specimen is consumed in the preparation of the slide:

- give the slide the same catalog number as the original specimen
- note in the Description field in ICMS that a slide(s) was prepared from the specimen

Store individual slides in a slide storage box, with multiple slides from a single specimen stored together. Store the slide storage box with the original specimen when possible.

If the original specimen is absent and only the slide remains, assign the slide a unique catalog number.

10. *How do I catalog and preserve tissues?*

Small samples of biological organisms, rather than the whole specimen, will be collected when:

- killing the animal is not desirable, *or*
- placing the entire animal, such as a bison, in the museum collection is impractical

Tissue samples may be preserved:

- as microscope slides
- stored in alcohol
- cryogenically (frozen)

Storage depends on how the tissue has been preserved. Tissues stained and mounted on slides may be stored in museum cabinets. Tissues in alcohol or glycerin may need to be stored with other wet specimens. Frozen tissue samples will usually be stored at a partner repository that can provide cryogenic storage. Discuss with the researcher how the specimens will be prepared and preserved. Get the researcher's recommendations for how the specimens should be stored.

Give the same catalog number to multiple samples of tissues from a single organism.

11. *How do I preserve DNA samples?*

Samples, such as tissues, specifically collected for DNA preservation should be stored in either:

- 90% ethanol, *or*
- at a temperature colder than -130° C, usually in cryovats stored in liquid nitrogen

Parks can maintain specimens in 90% ethanol. However, the cost of cryogenic storage requires the NPS to work with partner repositories that have this type of specialized facility. The NPS has a servicewide repository agreement with the Ambrose Monell Collection for Molecular and Microbial Research (AMCC). See question M.10 below.

One method of storing DNA is FTA® cards. An FTA card consists of a filter paper chemically treated with a reagent mixture composed of:

- strong buffers

- physical denaturants
- a free radical trap designed for the collection and room-temperature storage of biological samples for subsequent DNA analysis

This patented technique has been optimized for the stabilization of DNA and *in situ* processing for DNA amplification using polymerase chain reaction (PCR).

FTA cards were designed for long-term storage. They're designed to provide protection from negative environmental impact and microorganisms at room-temperature. The cards eliminate the need for special handling requirements or refrigeration. However, like any cellulose product, FTA cards are susceptible to fire and ideally should be stored in a fire-proof container.

12. *How do I catalog DNA samples?*

Ideally, the collection will include all or parts of the original biological specimen in addition to the DNA sample. The specimen will provide morphological confirmation of the original source of the DNA.

If…	***Then…***
there is a specimen in addition to the DNA sample,	give the DNA sample the same catalog number as the original specimen, and identify each of the different components in the specimen Description field in ICMS.
no other parts of the organism are preserved in the collection,	accession the DNA sample(s) and assign each sample a unique catalog number in ICMS.

Note: Depending on the way in which the DNA is preserved, the DNA sample and the original specimen may require storage in different environments.

13. *How do I document a loan of a DNA sample that is a component part of a specimen?*

DNA samples are frequently loaned for research. Use the following procedures for documenting a loan of a DNA sample that is cataloged as a component of a specimen:

On the ICMS Loans Out screen:

- Enter the catalog number with the designator (for example, PARK 52c) in the Objects field on the ICMS Loans Out screen.
- Note in the Loan Memo field that only the DNA component of the specimen is being loaned.
- Do not attach the catalog record to the Loans Out screen.

On the catalog record:

- Note the loan of the DNA in the Description field of the catalog record.
- Include the new location for the DNA sample in the Location field of the catalog record.
- Don't change the Object Status field to Loan, since only a component of the specimen is on loan.

14. *How do I care for frozen specimens?*

Tissues may be collected and frozen for purposes other than just DNA sampling. As described above, these specimens may be placed in cryogenic storage. These specimens cannot be stored at a park. Partnership with a non-NPS repository that has the appropriate facilities is necessary. Long-term cryogenic storage of specimens is expensive. Therefore it's best that the park develop a repository agreement with the institution. The agreement should clearly identify the costs and the responsibilities of both parties. As with all partner repositories, individual specimens need to be cataloged and tracked with a loan form.

Parks with glaciers or permanent ice deposits may have researchers who collect ice cores. As glaciers form, the yearly accumulation of snow and ice over many years will trap wind-blown dust, ash, bubbles of atmospheric gas, and radioactive substances. The composition of these layers, especially the presence of hydrogen and oxygen isotopes, can be used to:

- reconstruct changes in temperature
- provide a picture of changes in climate over time

Samples from the glacier removed by drilling are called ice cores. Ice cores are important for climate change studies.

Ice cores need to be kept frozen immediately after they are removed. They must be transported in a freezer unit to the storage facility. Curation of ice cores requires special low temperature freezers. Some ice cores may be hundreds of feet long, so large volume freezer units are needed. The United States Geological Survey maintains the National Ice Core Laboratory storage facility at the Denver Federal Center in Colorado. The main storage area is held at -35° C to promote the longevity of the core. The cold laboratory area for studying the cores, including a Class 100 clean room, is maintained at -22 ° C. A similar facility is maintained at Ohio State University.

Parks cannot provide long-term storage of ice cores. All cores collected from parks will need to be stored at a partner repository. While each core may have multiple sections, only one catalog number should be assigned to each core.

M. Repositories for Natural History Collections

1. *What is a partner repository?*

Many types of natural history collections require specialized care that isn't available at the park. Therefore, many parks work with non-federal partners such as museums and universities to house park natural history collections.

Generally, collections from one project are housed at the same repository. Directors Order #24, 4.3.17 states, **"**House those collections associated with a single accession at the same repository to facilitate research and use. Superintendents may authorize housing of collections from the same accession at different repositories if by so doing preservation, research, and use will be improved."

2. *What kind of standards must a partner repository meet?*

Partner repositories are expected to meet the same standards for collection care as the park. These standards are outlined in the *Museum Handbook*, Part I, Museum Collections. See especially:

- Appendix A: Mandates and Standards for NPS Museum Collection Management, Figure A.3, Director's Order #24
- Appendix F: Collections Management Checklists, Figure F.2, NPS Checklist for Preservation and Protection of Museum Collections. (The Checklist is also included in ICMS)
- Appendix G: Museum Collection Protection

Note: Staff at the partner repository should be aware that they may be asked to participate in an annual inventory.

3. *How do I choose a partner repository?*

You should take a number of issues into consideration when choosing a repository. The partner repository should:

- have specialized staff with the expertise to curate the types of natural history specimens collected in the park
- have facilities appropriate to the needs of the natural history specimens, such as a wet specimen storage room that meets all the necessary fire code, health, and safety requirements
- be willing to abide by NPS standards for collection care and participate in the annual inventory
- recognize that the specimens in their care will remain NPS property

4. *How do I track specimens stored at a partner repository?*

Use a loan agreement to track specimens stored at a partner repository. Many parks develop a repository agreement with the partner repository. See the sample repository agreement wording at the end of this appendix. See the *Museum Handbook*, Part II, Chapter 5, for information about loans.

5. *Can specimens be placed on "permanent" loan?*

No. The NPS retains ownership to all of its collections. There are no "permanent" loans. The NPS always retains the right to recall the specimens at any time. However, the parties may want to negotiate specific circumstances of recall because of the long-term agreement that the parties are making.

You can use a repository agreement to place specimens on long-term loans of twenty years. You can then extend the loan for another twenty-year period.

6. *Can specimens be placed in private collections?*

No. NPS policy requires that only public non-profit educational institutions can serve as partner repositories. Loans to private individuals are prohibited. Individuals borrowing natural history specimens must be associated with a public non-profit educational institution. They must accept the loan as an official of the institution. This requirement includes individuals borrowing specimens for identification purposes, as part of an ATBI, or as part of another study. The loan is to the institution, not the individual.

7. *How do I create a repository agreement?*

A draft repository agreement based on the generic repository agreement provided at the end of this appendix can be used as a start of negotiations between the NPS and the repository. You can use it as a checklist and starting point for discussion with the partner repository about:

- the mutual responsibilities of each partner
- NPS expectations
- the needs and expectations of the partner

You can modify the sample as needed. Including the Regional Curator as part of the collaborative process is recommended. Taking the time to develop a repository agreement between the park and the partner repository will:

- allow both parties to address issues of concern and come to a mutually satisfactory arrangement
- ensure the appropriate care for the specimens and access for researchers

Exceptions to policy or normal procedures can be made. However, the negotiated agreement must be consistent with law, regulation, and NPS policy. The Senior Curator for Natural History should review and approve any terms that are an exception to the general loan conditions.

Note: The Regional Curator and solicitor should review all repository agreements.

8. *Who pays for curation costs at a non-NPS repository?*

Director's Order #24, 4.3.16 requires that project budgets include funding for the basic management of project-generated collections. Collections management includes:

- cataloging
- labeling
- conservation examination and treatment (including specimen preparation)
- initial storage of objects and specimens
- organization and storage of project documentation, including appraisal, arrangement, description, finding aid production, and appropriate archival housing

If the project generating the specimens…	*Then...*
is initiated and funded by the NPS,	the NPS personnel in charge of the project must ensure that the project budget includes sufficient funds to cover the necessary curation costs, whether the specimens are housed at the park or a partner repository.
is initiated and funded by an outside researcher,	the researcher's budget should include the costs of curation.

9. *What are the costs involved with curation at a repository?*

There are two basic costs involved with curation at a partner repository:

- those initially incurred for the inclusion of the specimens into the partner's collections
- those associated with the ongoing maintenance and care of the specimens

An example of the latter is the replacement of alcohol used in the preservation of wet specimens as it evaporates. Parks should discuss with the partner repository recurring costs for care of NPS specimens. These expenses should be included in the park's annual budget.

A cooperative agreement, contract, or other funding agreement is needed to provide funds, materials, supplies, or services to care for NPS specimens housed in a partner repository. A loan or repository agreement provides no legal mechanism for transferring funds to aid in the care of the collections. Once funds are transferred, the partner repository may contract with another entity to provide specific services needed for the care of NPS specimens.

10. *Does the NPS have any servicwide repository agreements?*

Yes. NPS has the following servicewide repository agreements for natural history museum collections. None of these are exclusive agreements. Parks may determine where specimens will be housed and may designate NPS or other repositories for which NPS does not have a servicewide agreement.

- **General Agreement between National Park Service and Smithsonian Institution for Custodianship of National Park Service Natural History Collections**. Parks may offer selected specimens to the Smithsonian Institution. If the Smithsonian accepts the offer, the Smithsonian will gain permanent custodial responsibility for the specimens. The NPS retains ownership responsibility.
- **Agreement between National Park Service and Arizona Board of Regents, University of Arizona, On Behalf of its Laboratory**

of Tree-Ring Research (LTRR). This agreement covers natural history and cultural collections made on National Park system lands for the purposes of tree-ring analysis. Collections are loaned to, stored, and managed by the Laboratory of Tree-Ring Research at the University of Arizona. The agreement also covers associated records. All past collections and future collections that NPS offers and LTRR accepts will be covered.

- **Agreement between the National Park Service and the American Museum of Natural History on Management of NPS Tissue Collections.** This agreement is with the American Museum of Natural History, Ambrose Monell Cryo Collection (AMCC). The agreement provides for AMCC to manage animal tissue samples from federally listed threatened and endangered (T&E) species collected on NPS land. Instructions are available for individuals collecting samples, NPS permit coordinators, NPS curators, and the AMCC curator. The tissue samples are maintained in cryogenic storage.

NPS also has the following repository agreement for NPS living collections. These living collections are currently managed under the museum collections until the living collections policy and procedures are established.

- **Agreement between the National Park Service and the American Type Culture Collection (ATCC).** This agreement covers living NPS biological collections (such as microorganisms) from parks that ATCC maintains as cultures in its "National Park Service Special Collection." ATCC distributes these collections upon request to the scientific community. Procedures for deposit and distribution to third parties are on the ATCC web site at http://www.atcc.org/CulturesandProducts/SpecialCollections/NationalParkService/tabid/198/Default.aspx.

The RPRS web site at https://science1.nature.nps.gov/research/ac/ResearchIndex and https://science.nature.nps.gov/research/ac/ResearchIndex posts:

- all current servicewide agreements (and related instructions), including the above agreements

- additional agreements established since this appendix was issued

11. *What is a material transfer agreement?*

A material transfer agreement defines the provisions that apply to the distribution and use of cultures, such as cultures managed at ATCC (see question 10). A material transfer agreement requires NPS authorization before distribution. See D0 77-10: NPS Benefits Sharing and the *Benefits-Sharing Handbook* for instructions on using Material Transfer Agreements.

12. *What are orphan collections?*

Many parks have long-term agreements with partner repositories. However, changes in staffing and funding at these institutions may impact their ability to continue to care for NPS collections. Collections that a museum or university is no longer able to maintain are referred to as orphan collections. For example, a local university has taken care of a park's plant specimens in its herbarium for many years. Due to budget cuts it can no longer maintain the herbarium. The university may decide to transfer or

possibly sell its herbarium collection to another museum. It's important for the university to recognize that the NPS plant specimens in the collection are federal property that cannot be sold. The university needs to consult the park so that the park can:

- have the specimens returned to the park, *or*
- approve the inclusion of the park specimens in the transfer to the recipient institution and make sure that the recipient is aware that they will be caring for NPS specimens, *or*
- arrange for the specimens to go to another museum that is willing to work with the park

N. Natural History Specimen Labels

1. *What are natural history specimen labels?*

The NPS uses standardized natural history specimen labels to identify all natural history museum collections. Use of these labels is mandatory for all natural history specimens. See Figure H.2 for illustrations of the labels.

2. *Why are labels important?*

Labels identify the specimen as NPS property and tie it to its catalog data. Labels provide immediate information regarding a specimen. They can quickly facilitate confirmation of the location of the specimen during the annual inventory. They can also quickly inform a researcher about attributes of the specimen, such as collection locality. Label information allows researchers to quickly determine if the specimen is useful for their research. Examination of a museum label to obtain the necessary information about the specimen can reduce handling and potential damage.

3. *Must I use NPS labels?*

Yes. Specimens collected under 36 CFR 2.5, if retained in museum collections, must have official NPS museum labels. Their catalog numbers must also be registered in the NPS National Catalog.

4. *Where can I get natural history labels?*

ICMS can produce all the required official NPS natural history labels. See Chapter 5 in the *ICMS User Manual* for information on printing the labels. The program also completes most of the information on the label from data you enter on the catalog record. Use acid-free paper to produce labels.

See Figure H.2 for a list of the official NPS natural history labels.

5. *Who completes the natural history specimen label?*

The collector or specialist usually provides the information for the label. The accession and catalog numbers are added to the label after the specimen is cataloged. This may be done by park staff, the collector, or the repository that manages the specimens.

6. *What information goes on the label?*

The type of information that goes on the label depends on the type of natural history specimen. Many labels share information in common, such as locality information. Other labels include information that is discipline specific. For example, paleontology and geology labels include geological age and formation information that doesn't appear on biology labels.

7. *What if a label is incomplete?*

Complete the label using data provided by the collector only. Don't guess what data belong in blank fields.

8. *What labels do I use for a specimen?*

The choice of label depends on the specimen. There are different labels for different types of natural history specimens.

Some specimens, such as insects on pins, bear multiple small labels. Each contains portions of information, such as catalog number, scientific name, or locality. Each portion is recorded on a separate label.

Birds and mammals may have two labels. The original field tags and the official NPS label printed from ICMS are attached to the specimen.

Paleontology, geology, and some biology specimens may have the park acronym and catalog number written directly on the specimen in indelible ink. The associated information is provided on the label and placed in the tray or box with the specimen.

Note: Specimen labels can only contain a limited amount of information. The catalog record is critically important for providing all of the documentation about the specimen.

9. *Do NPS specimens at repositories have both the NPS and the repository labels?*

Many partner repositories may also assign their own catalog number to an NPS specimen. This doesn't indicate a change in ownership. It merely provides the partner with another way to track the specimen and its associated data in their catalog. Having an NPS label with a specimen is a minimum requirement, but having labels from the partner repository is acceptable.

10. *How do I modify existing labels in ICMS to meet specific needs?*

NPS labels are official government forms and cannot be modified by individuals. If you have specific needs or have suggestions for label modifications, submit a request to the Park Museum Management Program.

11. *Can I remove old labels?*

Only remove old labels if they are damaging the specimen. If you must remove the old label, place it in the accession or catalog folder. Never discard old labels!

Don't remove clearly legible, well-attached collector labels that have much of the information required on NPS specimen labels. Add any additional or new information, such as accession and catalog numbers, to the NPS label, and keep both labels with the specimen.

O. Labeling and Marking Specimens

See the Museum Handbook, Part I, Appendix Q, Appendix T and Appendix U for additional information on labeling and marking specimens

1. *What supplies do I need to mark and label natural history specimens?*

Use the following supplies to mark and label natural history specimens:

- acid-free NPS natural history labels
- glue for labels (methylcellulose paste)
- permanent, waterproof black ink

- clear lacquer for rocks and minerals (Acryloid B-72® acrylic resin/acetone)
- white lacquer for rocks and minerals (Acryloid B-72® acrylic resin/acetone with titanium dioxide white pigment)
- acetone
- polyvinyl acetate adhesive 5% in ethanol
- crowquill or Rapidograph® pen
- cotton string or thread (non-colored)

2. *How do I label wet specimens?*

Wet specimens are often stored in alcohol, formalin or glycerin. Labels placed in storage containers with these fluids are subject to deterioration over time. Inks that are not insoluble may be leached from the paper. Both can result in the loss of data and can contaminate the preservative. It's important to make sure that both the paper and ink used for wet labels will not deteriorate in the preservative used.

Labels

Use high quality, long-fibered, 100% white cotton rag paper with a pH of 6.5 to 7. Labels printed on fluid-resistant durable stock such as spunbonded polyethylene; a non-woven polyester, such as Tyvek®; or other synthetic polymers that can withstand the fluid environment also hold up well in fluid collections.

Do **not** use**:**

- Paper treated with formaldehyde or other chemicals to make it fluid-resistant. Use of such treated paper can cause slight acidification of storage fluids. It can also introduce contaminants that could damage the utility of the specimen.
- Metal labels can corrode and may also cause mechanical damage to specimens. However, leg bands and ear tags should remain with specimens, even when stored in fluids.

Inks and Other Media

Write information on the label in indelible ink with a technical pen or pencil or typed with black carbon ribbon.

Use only carbon-based, black inks on specimen labels, including barcode labels. Carbon inks don't fade over time. Commercial black printing inks are usually carbon-based, as are most laser and photocopier toners. Laser and photocopiers also apply the toner with a certain amount of heat, which helps fuse the toner particles to the paper.

Ink from a correctable typewriter ribbon and laser printers doesn't form a strong bond between ink and paper and will separate.

Liquid Inks

Liquid inks vary greatly in quality. For labeling wet collections, use black drafting inks. (Drafting inks are designed for writing on drafting film, using technical pens.) These inks tend to be carbon-based inks with a neutral pH

that adhere well to almost any surface. They do not dissolve in water, alcohol, or formalin solutions.

Note: These inks do not have to be used in technical pens or on drafting film for specimen labeling.

Fiber-Tipped Pens

Black liquid inks in some fiber-tipped pens are acceptable for use in labeling wet specimens. Be sure to choose pens with carbon-based inks, and test:

- how long it takes for the ink to dry so that it will not smear
- how well the ink resists water, alcohol, and formalin
- how well it resists smearing or loss from abrasion when wet with any of these fluids

Attachments for Labels

Uncolored cotton thread or string work well to attach labels to fluid-preserved specimens.

Do **not** use:

- wire or any other metal fasteners
- plastics

See Figure H.3 for attaching string to labels.

3. *Are there other forms of wet specimen labels?*

Yes. One of the preferred methods is a thermal printer that will heat bond a carbon powder to spunbonded polyethylene stock.

There has been an increase in the number of biological specimens requiring storage in fluid preservatives. These specimens include fish, amphibians, and aquatic invertebrates. The increase has demonstrated the need for a centralized service to print specimen labels that can be placed in fluids. The PMMP has purchased a thermal printer in order to provide parks with specimen labels for fluid stored specimens. There is no charge to parks for the service or materials or supplies. See Figure H.5 for information on requesting thermal printer labels.

4. *How do I mark a number on a natural history specimen?*

You don't mark the catalog number directly on all natural history specimens. For some specimens, mark the number only on the label.

When applying the catalog number to a specimen, use ink and lacquer. Refer to Appendix J in the *Museum Handbook*, Part II, for information on using ink and lacquer for marking. Make sure you don't cover important features with the number. Place the catalog number and label in a location that minimizes handling the specimen.

Place very small specimens in vials, and attach a label to the vial. If appropriate, place the catalog number inside the vial. Place insect labels on an insect pin.

When attaching labels directly to a specimen, use uncolored cotton thread.

For oily and wet specimens you may want to use a polypropylene cord.

For lot cataloged specimens, place a label on the storage container. Place an additional tag inside the container.

5. *How do I mark plant specimens?*

Herbarium specimens

Don't mark the number directly on the specimen. Glue the Herbarium Collection Label, Form 10-512, on the lower right corner of the herbarium sheet. Mark the catalog and accession numbers on the label.

Don't use starchy pastes. They can attract insects and mold. Don't use glues with a toluene or acetone base (model airplane glues). White glue, such as methylcellulose paste or polyvinyl acetate emulsion works well.

Nuts, large seeds, and wood specimens

Place the number on the specimen. Use clear lacquer for a primer coat with permanent black ink and a protective overcoat of clear lacquer.

Wet plant specimens

Don't mark the number directly on the specimen. Write the accession and catalog numbers on a Wet Plant Specimen Label, Form 10-506, and place it in the jar or container. See Figure H.5 to get thermal labels for wet specimens from the Park Museum Management Program.

6. *How do I mark vertebrate specimens?*

Bones

Place the number directly on vertebrate bones. Use clear lacquer for a primer coat with permanent black ink and a protective overcoat of clear lacquer. Locate catalog numbers:

- in the center of the largest part of the bone
- near the proximal end of long bones
- at the lower back center of the skull
- on the right ramus of the jaw

Put small bones in a vial or box and write the accession and catalog numbers on the Skull Vial or Box Label, Form 10-502. Place the label in or on the container.

Wet vertebrate specimens

Don't place numbers directly on wet vertebrate specimens. Write the accession and catalog numbers on the Vertebrate Wet Specimen Label, Form 10-500. Place this label in the jar or container. You can also write the numbers on a Vertebrate Specimen Label, Form 10-501. Tie it to:

- the right hind leg above the ankle
- fish, through a nose or gill
- some amphibians and reptiles, around the body near the head.

See Figure H.5 to get thermal labels for wet specimens from the Park

Museum Management Program.

Animal skins

Place the number on flat skins. Use clear lacquer for a primer coat with permanent black ink and a protective overcoat of clear lacquer. Locate the number on the reverse, on the inside of the neck, or on the right hind leg. You can also number flat skins by writing the catalog number on a Vertebrate Specimen Label, Form 10-501. Attach the label to a right hind leg. For large skins, attach it through a natural opening like an eye or the nose. For the technique for attaching the string to the specimen label see Figure H.3.

Eggs

Place the number directly on the eggs. Use clear lacquer for a primer coat with permanent black ink and a protective overcoat of clear lacquer. Also write the catalog number on an Egg Box Label, Form 10-508. Attach the label to the outside of the box with polyvinyl acetate adhesive 5% in ethanol (PVA).

7. *How do I mark invertebrate specimens?*

Insects

Don't place numbers directly on the insect. Write the accession and catalog numbers on an Insect Label, Form 10-509. Pin the insect with a rust-proof insect pin. Then pin the label at standard height, below the specimen, parallel to the insect's longitudinal axis. The label must be readable from the left side. A collector's label indicating locality, collector's name, and date may exist on a separate label placed in a similar orientation below the insect label.

Other Invertebrates

Place the number directly on other invertebrates, such as shells. Use clear lacquer for a primer coat with permanent black ink and a protective overcoat of clear lacquer. Locate the number on the interior, bottom, or reverse of the specimen. Write the accession and catalog numbers on the Invertebrate Label, Form 10-507, or the Invertebrate Specimen Label, Form 10-503. Place the label in the container with the specimen.

Wet invertebrate specimens

Write the accession and catalog numbers on the Invertebrate Label, Form 10-507, or the Invertebrate Specimen Label, Form 10-503. Place the label in the jar or container with the specimen.

See Figure H.5 to get thermal labels for wet specimens from the Park Museum Management Program.

8. *How do I mark paleontology specimens?*

Place the number on the specimen. Use clear or white lacquer for a primer coat with permanent black ink and a protective overcoat of clear lacquer. Locate the catalog number in a flat inconspicuous surface, where it will not wear off or obscure any important features. Write the accession and catalog numbers on the Paleontology Label, Form 10-505. Place the label with the specimen.

Fossil resins may dissolve in solvents. Don't apply lacquer to a specimen of this type without consulting a conservator. Write the catalog number on an acid-free tag, and attach or place it with the specimen. You can also write the number on Teflon® tape with archival film pens, and tie the tape to the specimen.

9. *How do I mark geology specimens?*

You can usually mark the number directly on the specimen using lacquer and ink. Don't use lacquer with extremely fibrous and powdery or flaky specimens. Write the catalog number on an acid-free paper tag or cotton twill tape, and attach or place it with the specimen. Make sure the pressure of securing it won't damage the specimen.

If the specimen is a resin it may dissolve in solvents. Don't apply lacquer to a specimen of this type without consulting a conservator. Write the catalog number on an acid-free tag, and attach or place it with the specimen. Alternatively, write the number on Teflon® tape with archival film pens, and tie the tape to the specimen.

Rocks

Use clear or white lacquer for a primer coat with permanent black ink and a protective overcoat of clear lacquer. Locate the catalog number on a flat inconspicuous surface, where it will not wear off or obscure any important features. Keep the number small. Also print the accession and catalog numbers on the Geology Label, Form 10-504. Place the label with the specimen.

Minerals

Use clear or white lacquer for a primer coat with permanent black ink and a protective overcoat of clear lacquer. Locate the catalog number on a flat inconspicuous surface, where it will not wear off or obscure any important features. Keep the number small. Print the accession and catalog numbers on the Mineral Label, Form 10-511. Place the label with the specimen.

10. *How do I mark microscopic specimens?*

For glass slides use clear lacquer for a primer coat with permanent black ink and a protective overcoat of clear lacquer. For cardboard slides, use pencil to write the number. Write the number on the end of the slide. Avoid touching the cover slip.

Write the accession and catalog numbers and any additional information, if provided, on a small acid-free paper label. For geology specimens, additional information might include age and formation. Store the labels by catalog number, near the specimen microscopic slides. These labels are not standardized.

11. *When do I use an annotation label?*

Use an Annotation Label, Form 10-510, when a specialist reviews a specimen to verify or correct the scientific name. Attach the annotation label to the specimen, or store it with the specimen. Include the name confirmation or change of name, the name of the identifier, and the date of review on the label. Don't forget to change the name on the catalog record. ICMS tracks changes in scientific name.

P. Associated Records

1. *What are associated records?*

Associated records – sometimes called associated documentation or field records – are records generated by natural history projects at NPS sites. The records for any particular project might include:

- field notes
- correspondence
- final reports

- progress reports
- trip reports
- planning statements
- statements of work
- photographs
- maps
- spreadsheets
- digital materials
- sound recordings
- stratigraphic sections
- well logs

For more information, see Section M: Handling Resource Management Records, in the *Museum Handbook* Part II, Appendix D.

2. *What policies and other guidance cover the management of associated records?*

There are a number of policies and guidelines related to associated records.

- DOI *Museum Property Handbook* (411DM), Vol. II
- NPS *Management Policies 2006*
- DO #11D: *Records and Electronic Information Management* REIM Guide, *and* Service-wide Records Schedule (SRS)
- DO #24: *Museum Collections Management*
- NPS #77: *Natural Resource Management Guidelines*
- NPS *Museum Handbook*, Part II, Appendix D, Section M
- *ICMS User Manual*, Appendix F
- NPS *Conserve-O-Grams*

The associated documentation for natural history collections increases the scientific value of the collections.

3. *Who owns the associated records?*

The park owns the records associated with all projects carried out by the park**.** For projects carried out under permit by independent researchers, the park must include a park-specific condition in the research permit. The condition must require the researcher to give the park either originals or exact copies of all associated records. The park doesn't own the records that a permittee generates until the permittee submits the records or copies of the records as a condition of the permit. Treat these as original park

records even though non-park staff have authored the documents and even though non-park staff may retain copyright privileges.

The records are not donated papers. They are records received by the park in connection with the park's oversight of permitted research and monitoring of resources. The records become the park's property, just as the specimens do. The permittee, as author, retains the intellectual property rights to the records. As part of the permit process, the park should obtain the rights to use the material. All copies should be made on archival quality paper.

If a project…	***Then…***
is funded by the NPS,	the NPS owns all original data and records but may give copies to the researcher. The NPS also owns the copyrights to all data generated as part of the project.
is funded by the researcher,	make arrangements to have copies of field notes, and all other data and records from the project placed in the park archives. The contractor or non-NPS researcher owns the copyrights to the records unless the contract or permit states otherwise.

4. *What if no research permit was issued?*

Research permits should be issued for all research conducted by non-park staff. Failure to issue permits is a question for park management to resolve. Permits aren't required (but are recommended) for research that park staff conduct as part of their official duties. However, all records generated by such research would automatically be park records – with or without a permit.

5. *Who owns records generated by USGS or other federal agencies stationed at the park as partners?*

Both the park and the outside agency may retain identical copies of all documents generated by an outside agency's research. The copies retained by the park would be park records. The copies retained by the outside agency would be that agency's records – even if they are exact duplicates. Neither agency would retain copyright privileges. Federal agencies cannot copyright documents written by their staff as part of their official duties. Records *received* by federal agencies may have copyright restrictions, if they were written by non-federal staff. The same laws and regulations restricting access, however, would apply equally to the records retained by the outside agency as well as the park (see question 6).

6. *Could there be overlap or duplication between a park's natural history records and an independent researcher's collection of personal papers?*

Yes. An independent researcher may retain copies or the original records created under a research permit. The researcher could later donate his or her personal papers to the park. The park would then have two or more sets of the same field notes and reports. In such a case, catalog one set as park records. Catalog the second set as the donor's personal papers.

Note: Don't consolidate or cull documents that appear both in park records and in a collection of personal papers. To do so would destroy the integrity of one or both bodies of materials. The documents turned over to the park

in compliance with research permits are park records. Documents donated to the park are personal papers, regardless of any duplication that might appear. Both the park records and the personal papers must remain intact and must not be mixed.

7. *How should I handle, preserve, and house the associated records?*

Refer to Sections N and O, Processing and Preservation, in the *Museum Handbook* Part II, Appendix D.

Q. Accessioning Associated Records

1. *Should I accession associated records?*

Yes. Natural history collections without associated documentation lack scientific value. A single accession number ordinarily covers all of the specimens and records produced in connection with a project. You will need to complete an Accession Receiving Report (Form 10-95) and enter the accession in the accession book. These accessions should be recorded as field collections.

Whenever possible, keep the associated records with the specimens. Although not stored together, the records should be in the same repository as the specimens in order to facilitate research.

2. *Why is it necessary to accession associated records?*

Associated records are necessary to manage park resources including the:

- museum specimens generated by projects
- sites where projects took place
- flora and fauna in an inventory and monitoring project

The lack of related records reduces the research value of specimens collected as part of natural history projects. The associated records may give context information essential for understanding the specimens. Similarly, inventory and monitoring projects would lose their value and significance without the background information contained in the associated records.

3. *Should I accession records for projects that don't produce specimens?*

Yes. Accession records associated with all projects and for all disciplines (geology, biology, and paleontology). This includes projects that produce specimens for the museum collection and projects that don't produce specimens. It also includes projects completed by park or regional staff, contractors, or permitted researchers. Accession all associated records no matter who produced them.

4. *Do I accession associated records from non-NPS researchers as a gift?*

No. The records (or copies of the records) must be given to the park in compliance with the conditions on the research permit. Treat the records as a field collection, which is automatically park property. The records are federal records, as defined by the Federal Records Act. They aren't donated materials.

5. *May researchers keep copies of the associated records they generate?*

Yes. Many researchers keep the original records and turn in copies of the associated records.

6. *Should all archival materials relating to natural history automatically be considered park records?*

Not necessarily. Park records are records:

- generated by park staff or by vendors under contract to the park
- turned over to the park by independent researchers in compliance with their research permits

However, independent researchers may wish to donate or sell their personal papers to the park. Accession those personal papers as gifts, even if they contain information on natural history in the park.

7. *Are there restrictions on site data in the associated records for natural history collections?*

Yes. It's important to note restrictions at the time of accession. By law, you must place restrictions on the location data for:

- caves and cave resources – Federal Cave Resources Protection Act of 1988 (16 USC 4301-4309)
- information concerning the nature and specific location of mineral or paleontological specimens that are endangered, threatened, rare or commercially valuable – National Parks Omnibus Management Act of 1998 (16 USC 5937)

You should also place restrictions on the following location data; however, these data may be subject to Freedom of Information Act (FOIA) requests:

- nesting sites or specific habitat on threatened and endangered species – Endangered Species Act of 1973, as amended (16 USC 1531-1543)
- paleontological sites – Paleontological Resources Preservation Act of 2009 (16USC 470aaa)

8. *Can I restrict access to the associated records?*

Once you accession records, you cannot restrict access unless specific documents fit one or more of the exemptions cited in FOIA (5 USC 552). FOIA Exemption no. 3 covers records that are protected from disclosure by statute as noted in question 7 above.

Note: The FOIA has no bearing on personal papers. Archival materials acquired through donation or purchase are not federal records, and not subject to the FOIA. Parks have greater leeway with personal papers to determine what information needs to be restricted, but restrictions must apply to all researchers equally. Parks may not make certain documents available to some researchers while denying them to others. However, parks must still restrict information under the laws cited in question 7 above.

R. Archival Collections

1. *What is a collection?*

Ordinarily, an archival collection in NPS custody would include *all* documents made or received by a single records creator. That would mean that *all* park records for a particular park would constitute one collection.

Under this definition, associated records in any one discipline (such as biology) would constitute a series within the one collection of park records.

It is also acceptable to treat all the files in a particular discipline as a collection. For example, all of the associated records in paleontology would constitute a collection. All the associated records in geology would constitute a collection. All the associated records in biology would constitute a collection.

Some parks have only a few natural history projects. These may be easy to handle as one collection, regardless of specific discipline.

2. *Why isn't each different project a separate collection?*

The associated records for all natural history projects are part of the park's resource management records. For example, three different files on three different projects are all part of a single collection because they all have the same provenance. They are all records made or received by the park in the course of conducting official business.

Even if specific reports, field notes, or other documents were written by non-NPS staff, they are still part of a single collection of park resource management records. The records have a shared provenance and function. They document activities related to natural history projects (biology, geology, paleontology) in a specific park. Agencies wouldn't handle each personnel file as a separate collection. For parks to handle each project file as if it were a separate collection would be just as inappropriate.

All files accumulated by a single records creator form a single, coherent, organic collection. This is one of the core principles of archives. Cataloging park project files in a given discipline as individual collections destroys organic collections and makes records difficult to manage.

There is a difference between documents received as records and documents received as donations.

If a permittee…	***Then…***
turns over originals or copies of his or her field notes, reports, or other materials, *as a condition of the permit*,	those documents were received by the park in connection with its administration of permits and its monitoring of resources, and therefore the park would be the records creator and the documents would be considered park records.
If that same researcher …	***Then …***
were to accumulate a collection of his or her personal papers and then donate them to the park with a Deed of Gift,	the researcher would be the records creator, and the park would receive those documents not as official records but as museum property.

3. *How do I manage project files if they are kept together in a single collection?*

Manage archival collections through organizing files, not through cataloging them individually. Archival collections are structured hierarchically into series and subseries, as necessary. Maintain individual files within those series and subseries according to a consistent arrangement pattern. Arrangement depends on how file units are labeled or otherwise identified. Files within a given series may be arranged alphabetically, chronologically, numerically, or according to some kind of custom filing code.

4. *Should I keep together all the documents relating to a particular project?*

Yes. Keep all files relating to a particular project together. The only exception would be if you separate non-textual records (such as photographs and maps) from textual records (such as correspondence and reports). If you do that, you should either complete separation sheets for each document removed for preservation purposes, or establish a regular filing scheme for project files that is based on physical format.

5. *May I mix documents from different projects in the same file units or file folders?*

No. Manage file units on different projects as parts of larger series and collections, but never mix documents from different projects. Project files must remain intact and distinct, even though they form a series of file units within a single collection. The only exception would be if your project used documents from another project. In that case, you would file the borrowed copies with your own project documentation.

"File" refers to "file unit," not "file folder." A file unit contains all documents within a particular series for a specific project. It doesn't matter how many file folders are needed to contain those documents. A file folder is simply a physical device for housing documents.

Note: For more information about file units, see the *Museum Handbook*, Part II, Appendix D.

6. *What if a single field notebook contains information about multiple projects?*

Copy the relevant pages from the notebook, and file those copies with the records for each specific project. If, in addition, you accession the complete notebooks, you may wish to handle them as a separate series or subseries. One way to arrange them would be alphabetically by name of notekeeper. Then arrange each notekeeper's material chronologically. (This arrangement assumes that each notekeeper maintained his or her own notebooks and entered data in them on a chronological basis). The fact that there would be duplication between the individual project files and the multi-project notebooks would not be a problem and is completely acceptable.

S. Cataloging Associated Records

1. *How should I catalog associated records?*

Catalog associated records by "collection" – with **one** catalog record per collection. Don't catalog on a document-by-document, file-by-file, or accession-by-accession basis. See the section on Organizing and Arranging Associated Records for Biology, Paleontology and Geology Collections at the end of this appendix.

2. *What steps do I need to take before I can begin to catalog a collection of associated records?*

First, ensure that the collection contains records made or received by only one records creator. In the case of natural resources records, this means that all records must be park records (even if they were authored by non-park staff). Natural resources-related archival materials that were *donated* to the park are not park records. They must be handled as part of one or more separate collections.

Second, identify or establish an internal organizational structure for the records. The records may have been transferred to the park's archives in accordance with an established filing scheme. On the other hand, project files may have been accessioned randomly. There may not be a filing scheme governing how they are managed in relation to each other. Then as a body these would be considered "unarranged records." You must discern their original order or impose an organization scheme that will make it easier to manage the records. This internal organizational scheme will involve subdividing the collection, as necessary, into series. It may also involve further subdividing the series into subseries. These series and subseries may be based on a variety of factors, such as:

- office of origin
- discipline
- function
- date range
- document format

Individual file units in most series and subseries will also have to be arranged in a consistent fashion. All the file units in one series, for example, may be arranged alphabetically by the title of the project. In another subseries they may be arranged numerically by accession number or permit number. In yet another, the file units may be arranged in chronological order. It all depends on the nature of the records and the way in which they were created.

Finally, arrange the records physically, in accordance with the hierarchy and filing schemes you identified or established. When you start to catalog and describe the collection, your descriptions will follow the same hierarchical format.

For further explanations of archival arrangement, and for examples of series, subseries, and filing schemes, see the separate section Hierarchies for Associated Records at the end of this appendix.

3. *What steps do I need to take to catalog a collection of records associated with natural history projects?*

Follow the steps listed below to catalog a collection of associated records for a natural history project.

Step 1: Define the collection (for example, all records associated with all projects in a particular discipline). Then establish the internal organization (the hierarchy, described in question 2 above).

Don't attempt to catalog or describe archival materials until you have determined their arrangement or arranged them hierarchically. See the section at the end of this appendix for examples of different types of hierarchies.

Step 2: Create a single catalog record in ICMS for the collection as a whole. This should be a very broad overview of the collection, noting types of documents, general topics, and notable projects. It should also include:

- the organizational structure, that is, the titles of the various series
- a brief history of the park and its activities in connection with the discipline in question
- volume
- date range

Step 3: Copy the catalog record over to the collection-level screen in the archives module of ICMS.

Step 4: Create separate, series-level screens for each series, and enter full descriptions. Think of these descriptions as mini-catalog records for each series. The descriptions should provide the same general information for each series that you provided earlier for the collection as a whole. As you move down the hierarchy, in other words, you provide progressively more focused and detailed information. The collection level description is very general. The series level descriptions are focused specifically on a single series. If you have to organize series into subseries, then the subseries descriptions would be even more specific.

Step 5: Open file unit-level screens for each project file, and provide very brief information. If you are organizing the file units by accession number, then enter:

- the accession number and the name of the project into the title screen (the accession number should also appear in the accession number field)
- very basic information into the summary note field about the site, purpose, subject, findings, and key personnel of the project

The summary note should seldom be more than one or two sentences. It should only provide enough information or key words to help you identify files for reference purposes.

Step 6: The documents on any one project constitute a single file unit, no matter how many folders there are. Assuming these folders have different titles, you may want to list them individually. To do so, go to the supplemental records in the Archives Module, and select Container List. Enter a box-by-box list of the individual folder titles.

Step 7: Create a finding aid from your Archives Module entries. To

automatically generate a finding aid in Microsoft Word:

- open the collection-level screen for a particular collection
- select Record on the menu bar
- click on Finding Aid/SGML, and follow the directions

Note: When describing collections, series, and file units in the Archives Module, be sure to follow directions contained in the:

- *Museum Handbook*, Part II, Appendix D
- *ICMS User Manual*, Appendix F
- ICMS field help for each field in the Archives Module

4. *What if previously accessioned project files were already cataloged separately?*

After you have established your hierarchy and arrangement schemes, determine where in this organizational structure these individually cataloged project files would fit. Then describe each previously cataloged project file in the Archives Module. Use a file unit screen that is numbered according to the proper sequence and subordinate to the appropriate series or subseries. Depending on how well the catalog record is written, this may be as simple as copying the description field from the catalog record over to the file unit screen. If this work cannot be done immediately, add numbered but incomplete file unit screens as placeholders. Once this work is done, retain the superseded catalog record but change its status to "Incorporated Into Larger Archival Collection."

5. *How should I handle new accessions that come in after I have cataloged a collection of associated records?*

Handle new accessions as "accretions" to existing collections. Don't handle new accessions as new collections, and don't create new catalog records for them.

One way of doing this would be to incorporate the new file unit into the existing collection as a logical extension of the existing filing scheme.

If the files are arranged…	***Then …***
in ascending numerical order by accession number, and the newly accessioned file unit has a higher accession number than the last file unit in the existing collection,	add the new file unit at the end of the collection.
If the files are arranged…	***Then …***
chronologically, and the new file unit has a later date than the previous file unit,	add the new file unit at the end of the collection.

In either case above, the new file unit would fit automatically into the collection's established numerical or chronological filing scheme.

Physically place the textual records for the new project at the end of the series of textual records. Place the photos at the end of the series of photos. Place the maps/drawings at the end of the series of maps/drawings. By ordering the collection according to accession number, you can easily place the new materials. Place them in boxes or drawers immediately after the previously-accessioned materials. Since the new material will have a higher accession number, it automatically fits into the collection's numerical arrangement scheme.

To handle the new accession in ICMS:

- In the Archives Module, complete new file unit-level screens for the newly-accessioned materials under the appropriate series or subseries headings. Also, add folder titles to the Container List supplemental record.

- Update series-level screens in the Archives Module for each series affected by the new accession. The updates should reflect any change in date range or volume.

- In the Collection Management Module, revise the catalog record to reflect changes in date range or volume resulting from the new accession. Note the addition in the Description field. Then copy the revised catalog record over to the collection-level screen in the Archives Module. (Check the Archives Module before copying to make sure that existing data are not overwritten.)

For more information on handling accretions to existing collections, see the *Museum Handbook* Part II, Appendix D, Section G.

6. *What if you are filing accessions by accession number, but accessions are not received in the order in which the accession numbers were issued?*

Create a dummy file unit entry citing the accession number and a collection level/series level/file unit level number in the proper sequence. This dummy file unit screen will serve as a placeholder until you actually accession the project file in question. At that point you can write the description and complete other fields as necessary.

7. *Should my park report accretions to existing collections on the Collections Management Report?*

Yes. Archival collections may take more than one year to catalog. It's also not uncommon for archival collections to grow after initial cataloging has been completed. Therefore, it's permissible to report archival cataloging *incrementally*. However, you should report additions to existing catalog records. Don't create new catalog records.

Suppose you catalog a 50 linear foot collection of geological project files at your park. You report this in your annual Collections Management Report (CMR). Then suppose you accession and catalog another 2 linear feet of geological project files two years later. Although you aren't adding a new catalog record, you're adding newly cataloged material to an existing catalog record. You can report the addition to the catalog record as new cataloging. Amend the CMR for that fiscal year to show that you cataloged 2 linear feet of newly-accessioned material.

REMEMBER: The catalog record is just the overview of the collection as a whole. The series screen in the Archives Module is used to provide an overview of the series as a whole. The project-by-project information should be entered into a file unit level screen in the Archives Module. This includes information on the specific location of an individual file unit that may be retained off-site.

8. *How should I catalog associated records for accessions that are housed at off-site repositories?*

No matter where the associated records are housed, they are part of a single, organic collection. Don't catalog them separately. Catalog all the associated records under one catalog number. One catalog record should document all of your park's project files for a particular discipline. Records that are housed off site are included on this record along with all other project file descriptions for that collection. Use the Location field in the Archives Module file unit screen to enter the name of the off-site repository where the file unit is housed.

Associated records on a park's natural history projects are park records regardless of their physical location. Never handle individual project records as stand-alone collections.

9. *How should I catalog associated records for network projects?*

The records generated at a park in connection with multi-park or network projects remain park property. Manage these associated records as part of the park's collection of records relating to the discipline. For example, the park has a collection of associated records relating to biological projects. The park then participates in I&M Network studies or inventories of bird migrations or plant species. The park records generated by the network studies are added as a file unit on the catalog record that covers all the park's biological records.

For clarity and ease-of-use, however, it might be wise to organize the collection into two series:

- network projects
- park-specific projects

The hierarchy for a collection of records generated by both network projects and park-specific projects could look like this:

ASSOCIATED RECORDS RELATING TO BIOLOGICAL PROJECTS
AT XYZ NATIONAL PARK

SERIES I: Records Relating to Network Projects

SERIES II: Records Relating to Park-Specific Projects

These series may then be further organized into subseries based on the kinds of records they contain. The series of records on network projects might be organized into subseries based on types of projects. For example, there may be a subseries on wildlife inventories or water quality studies. The subseries may in turn be organized into sub-subseries based on document format, such as textual records, maps, or slides.

This is only one example of how records for multi-park or network projects may be handled. See the section Hierarchies for Associated Records at the end of this appendix. It contains examples of hierarchies relating to network Inventory and Monitoring projects.

10. *How do I manage associated records created under a multi-park permit?*

Multi-park permits may be issued through a lead park. Any specimens collected under such permits should be accessioned by the individual parks where they were collected.

If the associated records…	***Then…***
can be divided easily by park,	they may be sent to the individual parks to be housed as part of the park archives.
cannot be divided easily among the parks because they apply to the entire project,	the lead park retains the records, but copies may be provided to other parks as necessary.

In either case, a copy of the final report should be placed in the archives for each park covered by the permit. All the parks covered by the multi-park permit would have copies of the final report. However, only the lead park would have the field notes, maps, photos, and other field records. The non-lead parks should handle the final reports as file units within their natural history project records. Indicate in the ICMS Archives Module that the lead park retains the field records relating to the report. If specimens and associated records were acquired under the same accession, however, this is not strictly necessary. The specimens and associated records are automatically linked via the accession number.

11. *What if my park has to send network-related project files to a network coordinator at another park?*

Records relating to network-initiated projects at your park and maintained by the network coordinator at another park are still park records. Catalog and describe them as noted in the question above. Note the name of the park where the records are kept in the Location field of the file unit-level screen. Cross-reference the specimen catalog records to the archive records to retain the link between specimens and their associated records.

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Developed through a partnership between the National Biological Information Infrastructure (NBII) and the Natural Science Collections Alliance (NSCI), TRED is a directory of taxonomic specialists for the biota of North America (north of Mexico). This can be accessed through the NBII web site at: http://tred.nbii.gov/.

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The Paleobiology Database includes the classifications for many groups of fossil organisms, but just as ITIS is incomplete for modern forms, the Paleobiology Database is incomplete for many fossil groups. The Paleobiology Database has not been adopted as the National Park Service's taxonomic standard for fossils. It is however a useful tool to aid catalogers working with fossils.

Paleobiology Database. National Center for Ecological Analysis and Synthesis.
http://paleodb.org/

Fossil Invertebrates:

The *Treatise on Invertebrate Paleontology* is a multivolume series designed to provide a comprehensive and authoritative yet compact statement of knowledge concerning groups of invertebrate fossils. It currently comprises 49 volumes and involves the work of more than 300 authors worldwide with another dozen or so volumes in various stages of preparation. It is only available in hard copy, but the latest volumes will provide the most up to date taxonomic information for different groups of fossil invertebrates. A list of published volumes is posted on the University of Kansas Paleontological Institute website.

Treatise on Invertebrate Paleontology
http://www.paleo.ku.edu/volumes2.html.

U. LIST OF FIGURES --- APPENDIX H

Figure H.1 Decision Flowchart for Curators.....H:85
Figure H.2 Natural History Labels…….....H:86
Figure H.3 Attaching String to Labels.....H:91
Figure H.4 Geological Time Scale.....H:92
Figure H.5 Requesting Wet Specimen Labels.....H:93

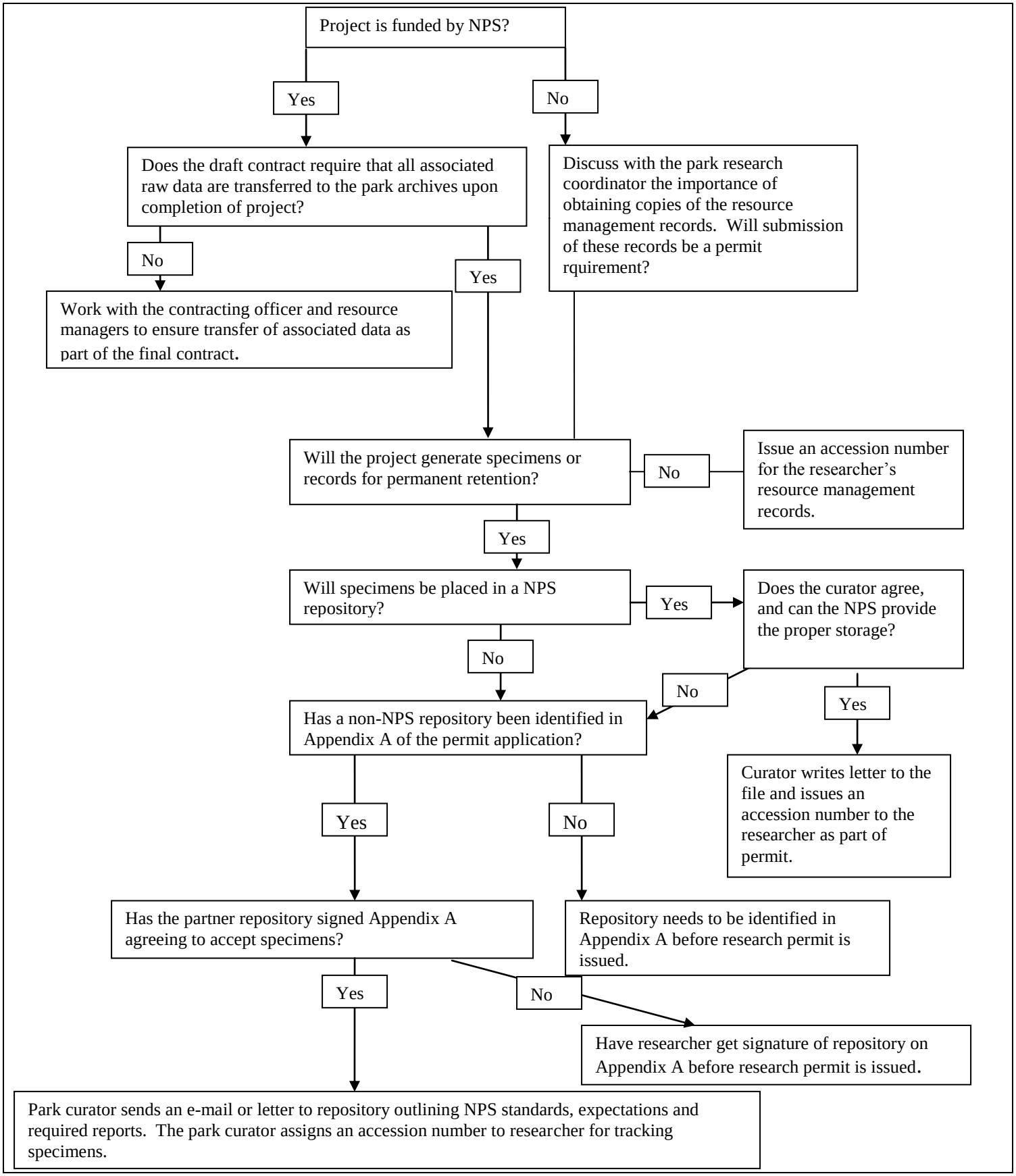


Figure H.1 Decision Flowchart for Curators

NATIONAL PARK SERVICE **NPS FORM 10-500** Park Code

Cat. No. Acc. No. - No. Specimens

Genus Species

Sex

Coll. By Date

Ident. By

Locality

Notes

Original Fixative _____

Preservative _____ **VERTEBRATE WET SPECIMEN LABEL**

NATIONAL PARK SERVICE
NPS FORM 10-501

PK. CODE Cat. No. Acc No.

Prepared By:

Collected By: Date:

(Genus) (Species) (Subspecies)

Locality Sex

Measurements Age

VERTEBRATE LABEL

Figure H.2 Natural History Labels

NATIONAL PARK SERVICE
10-502

Park Code

Cat. No. Acc. No. -

Genus Species

Locality Sex Age

Date

Collector **SKULL VIAL or BOX LABEL**

NATIONAL PARK SERVICE **NPS FORM 10-503**
(June 1992)

Park Code

Group No. Specimens

Phylum Cat. No. Acc. No. -

Taxon Collected By Date

Family Identified By Date

Name

Locality

Notes _____

_____

Original Fixative _____

Preservative _____

INVERTEBRATE SPECIMEN LABEL

Name

Cat. No.
Acc. No. -

Locality

Fm.:
Coll:
Date:
Ident By:
Date:

GEOLOGY COLLECTION
NATIONAL PARK SERVICE
Park Code
NPS FORM 10-504
(June 1982)

Figure H.2 Natural History Labels continued

NATIONAL PARK SERVICE Park Code
NPS FORM 10-505
(June 1982)

Cat. No. Acc. No. -

Genus Species

Group

Locality

Collected By Date

Identified By Date

Formation Period

Notes

PALEONTOLOGY LABEL

NATIONAL PARK SERVICE **NPS FORM 10-506** Park Code
(June 1982)

Technical Name Cat. No.

Common Name Acc. No. -

Locality Elevation

Orig. Fix.

Habitat Preservative

Collected By Date

WET PLANT SPECIMEN LABEL

NATIONAL PARK SERVICE NPS FORM 10-507

Park Code Cat. No.

Group Acc. No. -

Phylum Orig. Fix.

Family Pres.

Name

Loc.

No. Spec.

Coll. By Date

Ident. By Date

Notes

INVERTEBRATE LABEL

Figure H.2 Natural History Labels continued

NATIONAL PARK SERVICE **DESCRIPTION OF NEST**

Park Code

Cat. No. Acc. No. -

Coll. By

Genus

Notes A.O.U. No.

Species

Locality

Date Coll.

Ident. Incu.

Set Mark

EGG BOX LABEL

NATIONAL PARK SERVICE Pk. Code
NPS FORM 10-509

INSECT LABEL

Genus Species

Acc. No. - Cat. No.

NPS FORM 10-510
(JUNE 1982)

ANNOTATION LABEL
National Park Service

Acc. No. - Cat. No.

Name

Cat. No.

Acc. No. -

Locality

Mine:

Coll:

date:

Donor:

date:

Acc: -

date:

MINERAL COLLECTION
NPS Form 10-511
NATIONAL PARK SERVICE (June 1982)

Park Code

Figure H.2 Natural History Labels continued

NATIONAL PARK SERVICE **NPS FORM 10-512 (June 1982)**

Park Code

Technical Name

Cat. No.

Common Name

Acc. No. -

Locality

Elevation

Habitat

Collected By

Date

HERBARIUM COLLECTION

Figure H.2 Natural History Labels continued

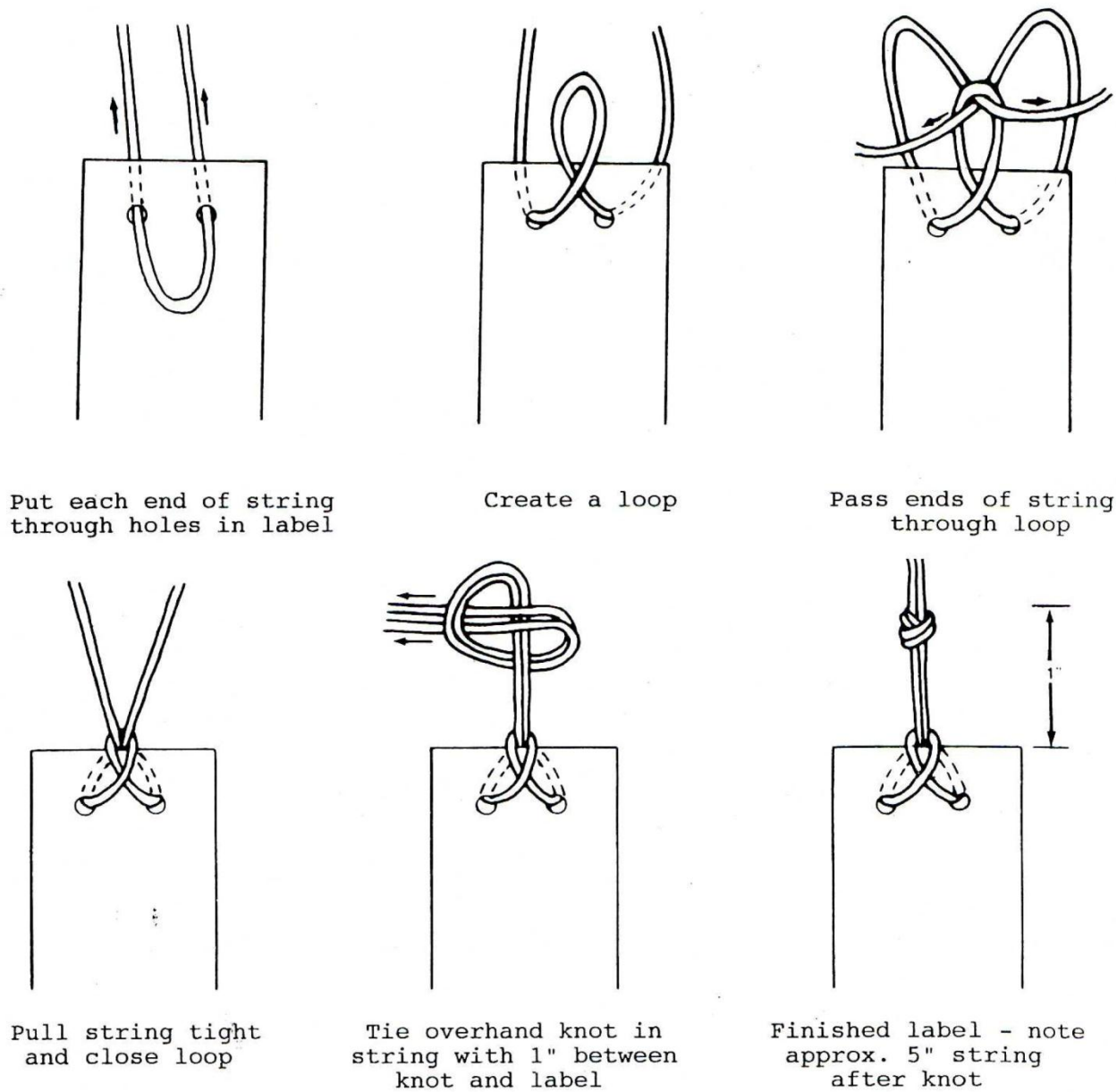


Figure H.3: Attaching String to Specimen Label

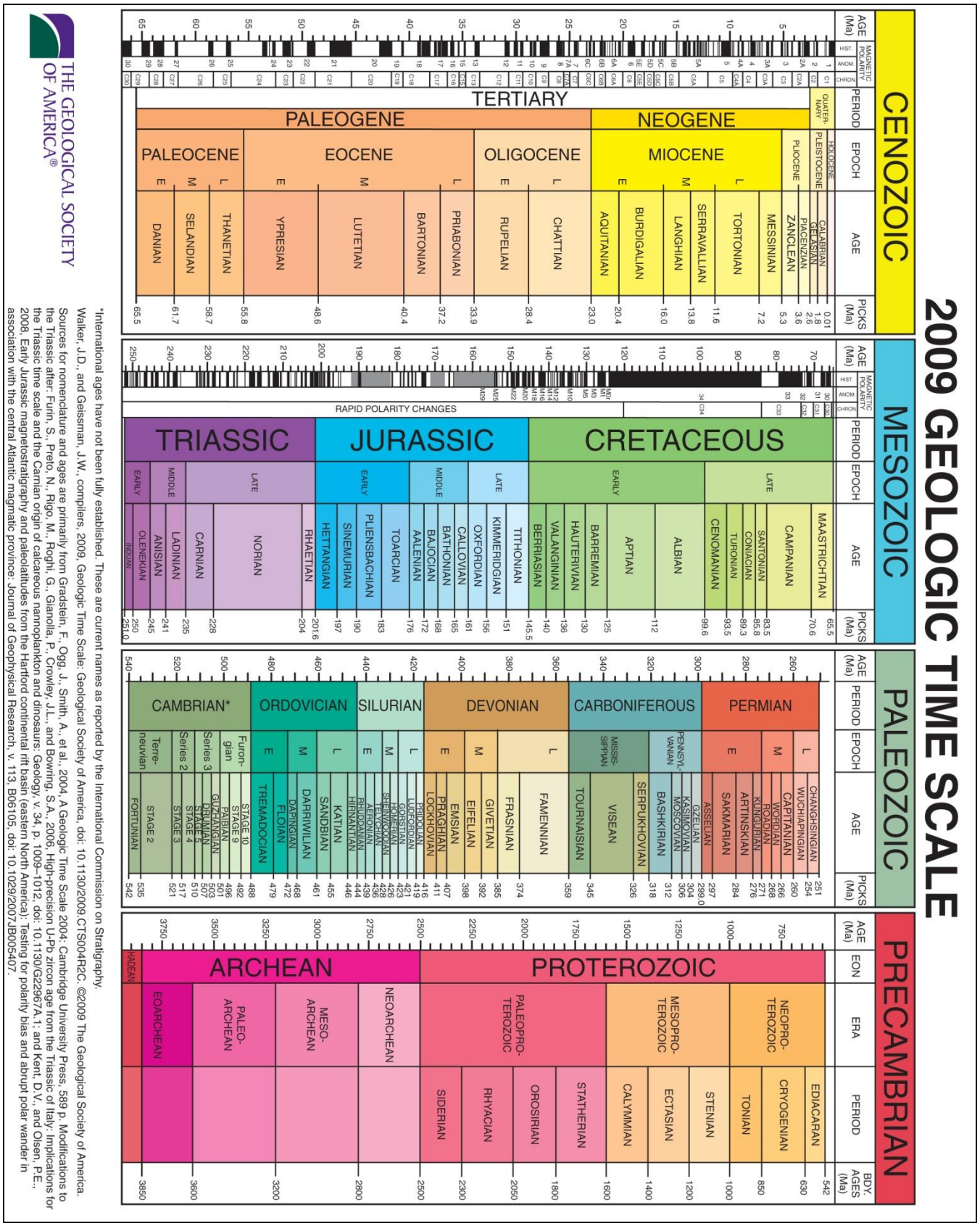


Figure H.4: Geological Time Scale

Procedure for Requesting Thermal Labels

Where: The thermal printer is set up at the Bombshelter in Harpers Ferry and is maintained by the National Catalog office.

What: The purpose of the printer is to print labels for specimens that need to be stored in liquid preservatives **ONLY**. Printing requests for labels for anything other than wet specimen labels will **NOT** be accommodated. Our standard operating procedure is to print only one label per specimen; however, we will consider requests for multiple labels per specimen on a case-by-case basis and may be able to print multiple labels if time and resources allow. The labels will be standard NPS specimen labels appropriate to the specimen. Labels will be printed by a thermal printer at 300 dpi on 9.5 mil Polytag (a polyester tag medium).

If you have any questions regarding thermal transfer printers and their application to wet specimens, please see the article by Andrew Bentley in the Society of the Preservation of Natural History Collections (SPNHC) Newsletter 18(2), September 2004 at: http://www.spnhc.org/opencms/export/sites/default/spnhc/publications/linked_documents/september2004.pdf

Who: Submit requests for wet specimen labels to the Senior Curator of Natural History, Greg McDonald at greg_mcdonald@nps.gov. Requests will be reviewed by the Senior Curator of Natural History and passed on to the National Catalog.

How: The park curator submits a request for labels (a request form will be released in the near future). Please be sure to provide all of the information requested. All specimens for which labels are requested must be fully cataloged. We will not print labels for draft records. Records must also include the preservative (the liquid in which the specimen is currently stored). Specimens that are **not** in ICMS cannot be accommodated. Completed labels will be sent to the park via FedEx. Include the name, FedEx address, and phone number of the person who will be receiving the labels.

Data Transfer: Create a backup of the park's NH database that includes a tag file of the records to use for printing labels, or create an NH directory of the catalog records to use for printing the labels. Use the Selected Directories backup in ICMS (*ICMS User Manual*, Chapter 9). Name the file with the park acronym or directory name and Label, such as NOCANHLabel. Upload the backup to the ftp site at:

ftp://67.221.117.85/catalog submissions/

Enter the user name: NCSNPS
Enter the password: ICMSncs!1

When: Requests may be submitted at any time. Labels will be printed and returned as quickly as possible.

Figure H.5 Requesting Wet Specimen Labels

Sample Repository Agreement

AGREEMENT
between
NATIONAL PARK SERVICE
and
[Repository]
on
Management of NPS Natural History Collections

A. Coverage

This agreement covers natural history collections (specimens and associated records, or copies) made on national park system lands identified in Attachment 1 and stored and managed by the (insert repository name [R]). The agreement covers biological collections including non-fossilized specimens of monera, algae, fungi, plantae, protista, and animalia; paleontology; and geology. It excludes cultural artifacts and human remains and natural history collections recovered from archeological and other cultural sites. The agreement applies to all collections that NPS offers and [R] accepts after the date of the last signature on this agreement. Collections made under 36 CFR 2.5 and loaned to [R] prior to this agreement will be covered by this agreement only if listed in an attachment. [Attach list of additional collections to be covered in Attachment 2.]

B. Background

The National Park Service (NPS) museum collections number more than 146 million items from over 380 units of the national park system, including natural history collections of 2,968,000 biological, 604,000 paleontological, and 81,000 geological specimens. The NPS collections are managed in parks, NPS centers, and non-NPS repositories. NPS staff and permittees collecting on park lands generate NPS natural history collections in accordance with 36 CFR 2.5. These collections are Federal property. Managers of NPS natural, cultural, and archival collections typically respond annually to more than 20,000 research requests from park staff and over 213,000 requests from non-park staff. Authority to manage these collections is in 16 USC 1-4 (National Park Service Organic Act) and 16 USC 18f, f2, f3 (National Park Service Museum Act).

[R] has [insert number] biological, [insert number] paleontological, and [insert number] geological specimens. [Briefly describe repository's scope and areas of specialty, staff expertise, collections access policies, and research use. Include quantitative data. Describe exhibit, education, publication and other programs, as applicable.]

The current NPS Inventory and Monitoring Program, All-Taxa Biological Inventory in selected parks, Natural Resource Challenge, and other programs and projects are generating NPS natural history museum collections at a faster rate than ever before. NPS is seeking viable options for effectively responding to this increased collections growth. Managing these NPS collections in partnership with [R] would provide for their preservation, enhance their research value through

ongoing study and identification, and make them readily accessible to researchers using the [R] collections. Collections from national parks will enhance the biological and geographical diversity represented in the [R] collections. [R] management of collections from units of the national park system is a desirable option.

Individual parks have always had the option of storing collections at [R] under NPS loan agreements. Managing multiple loan agreements from multiple parks may place a burden on [R] resources. This agreement will facilitate and streamline such loan arrangements for both [R] and parks and improve the ability of parks and [R] to respond to the increased collecting activity in parks. This agreement is not binding on either NPS or [R] to place NPS collections at [R] but offers both parties that option.

C. Policies

1. Both parties agree that:

    a. Specimen collection and management of park specimens and associated records, including loans, complies with NPS regulations (36 CFR 2.5) and, except as noted herein, with NPS policies, including:
        1) NPS *Management Policies 2006* (available at http://data2.itc.nps.gov/npspolicy/index.cfm);
        2) Director's Order #24: NPS Museum Collections Management (available at http://www.nps.gov/refdesk/DOrders/index.htm);
        3) NPS procedures, including NPS *Museum Handbook* and the *Interior Collection Management System (ICMS) User Manual* (available at http://www.cr.nps.gov/museum/publications/index.htm); and
        4) permitting procedures (available at https://science.nature.nps.gov/research/ac/ResearchIndex)
        5) Director's Order 77-10: NPS Benefits Sharing.

    b. Management of specimens and associated records at [R] complies with [list applicable laws, regulations and policies specific to the repository]. It is anticipated that most [R] requirements are consistent with NPS requirements. When [R] requirements conflict with NPS requirements, NPS requirements will prevail with respect to NPS specimens.

    c. Differing requirements between NPS and [R] policies known at the initiation of the agreement have been herein identified and procedures provided in this agreement. The agreement will be amended to resolve any conflicting requirements that may be identified in the future.

    d. [R] may integrate NPS collections into the [R] collections physically in storage, exhibits, and programming and through its documentation systems for management and access purposes, except that collections may not be physically integrated where they might be exposed to known pre-existing hazardous

conditions in the [R] collections, such as arsenic or asbestos, or to use that would rapidly accelerate their deterioration.

e. Parks that intend to designate [R] in a permit or in a park employee study plan must ensure that the Application for a Scientific Research and Collecting Permit or employee study plan, refers to this Agreement and names [R] in the repository signature block on page 2 of the application, in lieu of the signature of an official of [R]. [R] does not need to sign each Application. The park will send [R] copies of all permits issued in the previous calendar year that name [R] as the designated repository. [R] may require more frequent notification, but not more frequent than quarterly.

f. [R] may annually or more frequently require a park to notify [R] in advance of the types and quantities of specimens likely to be deposited with [R] within a specified future period.

2. [R] agrees that:

   a. It will negotiate additional conditions, if any, for specific repository loans with individual NPS units that are consistent with this agreement, NPS regulations, permitting procedures, and NPS loan conditions. These additional conditions will be included in the park's outgoing loan agreement to [R] for the specific loan.

3. NPS agrees that:

   a. When choosing a management option for park collections, including specimens and associated records, priority will be given to housing those collections from the same park accession in a single repository to facilitate research and use. Superintendents may authorize housing of collections from the same accession at different repositories if, by so doing, preservation, research, and use will be improved.

D. Documentation, Information Management, and Accountability

1. Both parties agree that:

   a. The collections will be at [R] as a repository loan(s) for the purpose of long-term storage and collection management, including for research and other scientific purposes.

   b. The standard NPS loan conditions will apply except as noted below:
      1) [R] will have authority to approve destructive sampling of most specimens without prior approval by the park superintendent. The superintendent approves any destruction of an entire specimen. Only NPS regional directors or Washington Office associate directors with museum collections responsibility can approve destructive sampling and

destruction of an entire specimen for rare or highly significant specimens, including holotypes, and consumptive use of specimens. Consumptive use is approved use that will expose the specimen to otherwise unacceptable wear, deterioration, destruction, or the possibility of breakage, loss, or theft. Approvals for such use are rare and given only when use of a reproduction is unsatisfactory. [R] may recommend that a park seek approval for destructive sampling of rare or highly significant specimens or consumptive use. Procedures for parks to use in seeking regional director approvals are in the *Cultural Resource Management Guideline* (NPS-28), Chapter 9, page 152-154, available at http://www.nps.gov/refdesk/DOrders/index.htm. *Note: For the purposes of this agreement, routine morphological dissections of holotypes, where the parts are retained, are not considered destructive sampling.*

2) [R] will have the authority to loan specimens and associated records to other qualified institutions or organizations for the purposes of exhibit, research, scientific or exhibit preparation, analysis, photography, conservation or other requested services, other than a repository loan. Such loans must meet NPS loan conditions and the standards of [R].

c. [R] and the NPS units will ensure transferability of electronic data between their respective museum collections data management systems.

d. Each will keep the other party informed, at all times, of its official contact person and appropriate e-mail addresses for each loan. Unless otherwise notified the official e-mail contact for each park will be the superintendent. Superintendent addresses take the following form using the park acronym PARK_Superintendent@nps.gov. The name and address for each superintendent is on the NPS Web site searchable by park name at http://data2.itc.nps.gov/npsdirectory/.

2. [R] agrees to:

a. Do one or both of the following:

1) Maintain ICMS catalog records for the specimens and associated records on loan according to the NPS *Museum Handbook* and *ICMS User Manual*. Record changes to other catalog records for park collections that [R] maintains in an electronic format in lieu of ICMS records. Record changes so that data can be imported to appropriate fields in ICMS. Submit these changes electronically to each park by July 31 each year.

2) Maintain information on NPS collections in its own databases, to maximize the accessibility of the specimens to researchers using the [R] database. Maintain a retrievable reference to each specimen that includes:

a) the NPS catalog number

b) the name "National Park Service" and the name of the national park system unit were the specimen was collected
c) the identity of the location where the specimen was collected, by geographic locator and description
d) the scientific name of the specimen
e) identification of the specimen as Federal property and the National Park Service as "owner"

3) Record changes to other catalog records for park collections that [R] maintains in its database in an electronic format in lieu of ICMS records. Record changes so that data can be imported to appropriate fields in ICMS. Submit these changes electronically to each park by July 31 each year.

b. Return collections to parks if specimens and associated records are delivered by the park without accession and catalog numbers and/or specimens lack NPS labels, unless [R] agrees, in advance, to provide these services.

c. Maintain associated field records in working proximity to the specimens.

d. Recommend, to NPS, any park items that should be deaccessioned because they lack scientific, educational, historical, or monetary value. Assist NPS (the park) in prompt completion of deaccession transactions once NPS (the park) has approved a deaccession.

e. Report a loss to the lending park within 5 working days of determination of the loss. [R] will record the loss in the records that it maintains for the specimen.

f. Note damage or deterioration on the catalog record that [R] maintains for each specimen or associated record.

g. Report the following information annually to each park for the period of October 1 through September 30. Provide this report to each park (at PARK_Superintendent@nps.gov) on September 1.

1) Any damage or deterioration that has occurred to specimens or associated records in the past year. The report should include photographs, as appropriate, and dates and other details of the occurrence. Organize the report by NPS catalog number, or if a catalog number is not assigned, by NPS accession number.
2) The catalog numbers of all specimens loaned out in third-party loans, the loan recipient, and the duration of the loan.
3) The catalog numbers of specimens and associated records that were on exhibit. Identify the exhibit title, location, and duration.

4) Number of NPS research requests and number of non-NPS research requests.

h. Annually inventory all holotype specimens and specimens of high value [specify dollar value] as identified on the NPS catalog record as controlled property; and either 1) verify, at a park's request, the presence and condition of specimens that appear on a park's random sample inventory, or 2) complete a random sample inventory that includes all cataloged NPS specimens and associated records at [R] that are subject to this agreement. Use the inventory procedures in ICMS for the NPS specimens, or equivalent random sample procedures. Equivalent procedures may be for only the NPS specimens or for [R]'s entire collection, including the NPS specimens. If appropriate, use the ICMS procedures available to repositories managing multiple park collections. If, in any given inventory cycle, no NPS specimens appear in [R]'s random sample of its entire collection, [R] will randomly select and inventory 25 NPS specimens or 20 percent of the NPS specimens held, whichever sample includes fewer specimens. Certify completion of the annual inventory and report the summary findings on all missing and damaged specimens and other irregularities. Report this summary information for all specimens (NPS and non-NPS) covered by the subject inventories. If [R] uses ICMS to complete the inventory, submit the completed and signed inventory. Send to each park superintendent the certification and report, and, as applicable, completed and signed inventories generated by ICMS, no later than July 31 each year.

3. NPS parks (units) agree to:

a. Accession and catalog collections (specimens and associated records) into ICMS or its successor and apply NPS labels to specimens prior to delivery to [R], or contract or otherwise arrange for such services prior to finalizing the applicable repository loan agreement, unless [R] agrees in the loan agreement to assume this responsibility at no cost to NPS.

b. Destroy, or authorize [R] to destroy, any collections judged to have no scientific, educational, historical or monetary value. Follow NPS deaccession procedures if these items have been accessioned.

c. Place collections on loan to [R]. Designate the purpose as a repository loan for "storage and collections management" and record the loan in ICMS.

d. Amend the list of objects/specimens in an existing loan record in ICMS when additional items are loaned to [R] under the same conditions. If the conditions change, add those changes to the conditions in the existing loan.

e. Report and document a loss that occurs at [R] following NPS procedures in NPS *Museum Handbook*, Part II.

f. Record any damage or deterioration in the ICMS record for the affected specimen or associated records.

g. Ensure that loan, exhibit, and research request statistics reported by [R] are incorporated in each park's annual Collections Management Report.

h. For items that appear on the park's annual inventory, note in the comments column any that are on loan to [R]. Rely on [R] to inventory these items according to the provisions of this agreement.

i. By September 15 annually, replace catalog records with the revised records that [R] submits to the park.

j. Review [R]'s annual inventory and certification submission to the park. Submit a copy of this inventory and certification with the annual inventory that the park submits for its other collections.

k. Consider [R]'s recommendations for NPS to make repository loans of selected specimens to a third party. Determine whether the proposed recipient institution is qualified and the loan is advantageous to NPS. If approved, document return of the specimen(s) to NPS by removing them from [R]'s loan, catalog the specimen(s) individually, and prepare a repository loan to the third party. Follow NPS loan procedures in NPS *Museum Handbook*, Part II, to document the loan. Include standard text in the loan requiring an agreement with NPS (see DO 77-10: NPS Benefits Sharing) if a potential commercial application is identified.

E. Preservation and Protection

1. [R] agrees to:

   a. Provide storage conditions that meet or exceed NPS standards in the NPS Checklist for Preservation and Protection of Museum Collections and keep NPS apprised of all standards that are not met by identifying them on the Checklist. (Storage conditions will have been generally met if approximately 95% of NPS standards are met.)

   b. Provide conservation treatment to a level that meets or exceeds NPS standards in the NPS *Museum Handbook*, Part I, and [R]'s standards. Document the treatment on the ICMS and other catalog record that [R] maintains for park specimens.

F. Access and Use

1. Both parties agree that:

a. Specimens covered by this agreement may be used for scientific, environmental conservation, or educational purposes only. Specimens will not be used for commercial or other revenue-generating purposes without the prospective user first having entered into a separate agreement with NPS.

b. [R] will maintain the specimens and associated records so that the public will have access to them in accordance with NPS laws, policies and procedures. Data are subject to the Freedom of Information Act (FOIA) (5 USC 552), but protected information must be withheld from non-Federal entities, as appropriate, to comply with Section 207 of the National Parks Omnibus Management Act (16 USC 5937), the Federal Cave Resources Protection Act of 1988 (16 USC 4301-4309), or any other Federal statute requiring withholding under FOIA. (See NPS *Museum Handbook*, Part I, Chapter 2, Section H. Other Legal and Sensitive Issues.) In cases where [R] believes that making protected information available to a third party would be beneficial, [R] will provide NPS with its analysis regarding the benefits and detriments of having the protected information released to the public and will suggest to the third party that it petition the NPS for access to the information.

   Absent specific instructions from the Superintendent, [R] will not place the following data on publicly accessible portions of [R]'s catalog records and specimen labels, or otherwise make these data publicly available:

   1) data noted as restricted on the NPS catalog record
   2) collector's private address and private contact information
   3) monetary valuation

   Unless the NPS Director specifically determines and the park gives written notification to [R] that release is appropriate, [R] must withhold, from any form of release to non-Federal entities, information on the *nature* and *specific location* (including exact site of collecting) of

   1) a national park system resource that is endangered, threatened, rare, or commercially valuable
   2) a mineral with commercial value or a paleontological object or an object of cultural patrimony (for example, archeological and ethnographic objects and objects important to culturally associated groups) within the national park system.

   Following consultation with and authorization by the park superintendent, [R] may release location information in a more generalized format such that its release will not reveal the specific location of the qualifying resource.

2. [R] agrees to:

   a. Provide NPS full access to park collections (specimens and associated records) and related information sources at any time during regular working hours, subject to use and handling restrictions in this agreement.

b. Make specimens physically available, subject to use and handling restrictions identified in this agreement, in the NPS catalog record, in NPS policies, including the NPS *Museum Handbook*, and in [R]'s policies.
c. Make information about specimens available from ICMS and [R]'s specimen database, if different, subject to [R]'s data access policy and restrictions in this agreement, in the NPS loan agreement, and on the catalog record.
d. Allow destructive sampling in accordance with D.1.b.1 that does not compromise the scientific value of the collection according to terms of a written valid research proposal; file the research proposal that [R] receives, accepts, and maintains in files associated with the specimen; record a description of the destructive sampling and the research results in the catalog record that [R] maintains for the specimen.
e. Cite in submitted publications about park specimens, "National Park Service," park name, specimen name, and NPS catalog number. Publications include paper-based and electronic media (including the Web).
f. Notify NPS if a user identifies a potential commercial application. Ensure that parties proposing to use specimens for commercial or other revenue-generating purposes have entered into an agreement with NPS before so using the specimens. [R] will include a provision in loan, research and other agreements and permissions directing the user to contact NPS to develop such agreements as needed. The wording to be included in such loans and agreements is as follows:

> If you identify or intend to develop a potential commercial or revenue-generating application based on the covered National Park Service (NPS) specimens, you must immediately notify the contact for [R] and the NPS superintendent of the park from which the specimens originated. Contact information for park superintendents is searchable by park name on the Web at http://data2.itc.nps.gov/npsdirectory/. The superintendent will provide information on the agreement that is required providing for NPS to share in benefits from the commercial application or to decline to share benefits. Failure to comply with NPS requirements may render the user liable to NPS for payment of 20% of the gross revenue from sales and may result in NPS imposition of additional penalties and remedies, including injunctive relief.

g. Upon request of the lending park, return specifically identified specimens to the park for compelling reasons, including but not limited to park management purposes and legal requirements.

3. NPS parks (units) agree to:

a. Document as a returned loan (by amending the list of objects) specimens that [R] returns at the park's request for compelling reasons, including but not limited to park management purposes and legal requirements. When the park use is concluded, return the specimens to [R], amending the list of objects to again include these specimens in the repository loan to [R].

G. Funding, Personnel, and Special Service Requests

1. Both parties agree that from time to time NPS may request and [R] may provide special services, such as posting collections on-line in the NPS Web Catalog at http://www.museum.nps.gov, making digital images, and providing non-routine conservation treatments. Funding for such services is to be negotiated and documented in an associated funding agreement, as needed.

2. [R] agrees to:

    a. Bear all costs of providing routine storage, maintenance and access, unless another agreement between [R] and NPS addresses these costs.

    b. Charge for access only in extraordinary circumstances, and report all access charges to the NPS Chief Curator by September 30 annually.

    c. Accommodate NPS needs, from time to time, to co-locate personnel at [R] to facilitate study of NPS collections. The terms of such arrangements are to be determined in an agreement between NPS and [R] signed in advance and may include provisions for NPS personnel to provide cooperative assistance to [R].

3. NPS parks (units) agree to:

    a. Assign NPS personnel to work with [R] according to terms of specific provisions agreed between [R] and NPS when such arrangements would be mutually beneficial.

    b. Require any personnel co-located at [R] to abide by this agreement and follow [R] procedures for handling collections.

    c. Provide funds to [R] for services rendered in accordance with any additional agreements, subject to appropriated funds.

H. Agreement Conditions

1. Both parties agree that:

    a. This agreement applies to all repository loans from any parks listed in Attachment 1 to [R] for the covered collections. Specimens are on loan to [R] through a single repository loan per park that is subject to this umbrella repository agreement.

    b. The term of this agreement is 25 years. The agreement will be renewed for an additional 25 years unless either party has given three months written notice of intent to terminate.

c. This agreement may be amended at any time with the concurrence of both parties.

d. The term of individual park repository loans will be ten years. Individual park repository loans will be renewed every ten years unless either party has given three months written notice of intent to terminate that specific loan or this agreement.

e. Each park that has a repository loan to [R] will have a single loan with a single set of conditions. The park will amend the list of items on loan as it sends additional specimens to [R] and receives returned specimens. The park will amend the conditions as necessary.

f. All park repository loans issued under this agreement will immediately terminate if this agreement terminates. Either party may terminate this agreement and all associated park repository loans without cause after giving three months written notice. Individual termination of the associated park repository loans will be according to the conditions of each repository loan.

g. If loan or agreement conditions are not being met, one party notifies the other and both agree to meet within 30 days to resolve the issue. If the issue is not resolved and one or both parties desire termination, the three months for notice of termination, shall be deemed to have begun effective the date of notification.

h. Insurance is waived for park collections at [R].

ORGANIZING AND ARRANGING ASSOCIATED RECORDS FOR BIOLOGY, PALEONTOLOGY, AND GEOLOGY COLLECTIONS

Page

Example 1: Hierarchy Based on Managing All Records of One Records Creator as Part of a Single Collection/Record Group (Preferred Hierarchy)..... H:109

Example 2: Natural History-Specific Hierarchy. H:111

Example 3: Discipline-Specific Hierarchy..... H:112

Example 4: Hierarchy for Project Files for Small Collections of Natural Science Records..... H:113

Example 5: Hierarchy for Project Files for Large Collections of Natural Science Records. H:114

Example 6: Hierarchy for Project Files for Parks with Large Amounts of Non-Textual Natural Science Records. H:115

Example 7: Hierarchy for Project Files with Different Arrangement Schemes..... H:116

Example 8: Hierarchy for Inventory & Monitoring Program Project Files..... H:117

Example 9: Hierarchy for Deliverables from Research Permits..... H:119

Example 10: Hierarchy for Chief Naturalist Records. H:120

Example 11: Adding Records as File Units..... H:121

Example 12: Adding Records as a Series and Subseries H:122

ORGANIZING AND ARRANGING ASSOCIATED RECORDS FOR BIOLOGY, PALEONTOLOGY, AND GEOLOGY COLLECTIONS

What should a collection of associated records for science projects contain?

A "collection" – or "record group" – should contain all documents made or received by a single records creator.

Who is considered the creator of the associated records for NPS science collections?

For NPS science collections, the records creator is the park. When independent researchers turn over originals or copies of records such as field notes and reports, as required by their research permits, those materials are park records.

What are acceptable ways to define the park's associated records for science collections?

There are three approaches to defining the collection that are acceptable. The collection can consist of all:

- records relating to a specific discipline, for example, PARK Biology Project Records or PARK Geology Project Records
- records relating to natural history in general, for example, PARK Natural History Program Records
- resource management records, for example, PARK Resource Management Records

Note: The collection as all resource management records is the preferred method because it reflects the professionally-accepted best practice in archives.

Never handle individual project files or individual documents as separate collections. Don't create separate catalog records for single project files.

How do I organize and arrange a collection of associated records for science projects?

A hierarchy is the skeleton or infrastructure upon which an entire collection is built. It is the basis for:

- organizing and arranging a collection

- cataloging and describing a collection

- servicing or providing reference on a collection.

To construct a hierarchy, you must identify each series and analyze its organization and file unit arrangement. You're then ready to join the series together in order to create the hierarchy for the collection as a whole. Once the hierarchy is established, the collection will become manageable and everything will fall into place smoothly. Failing to establish a proper, collection-wide hierarchy, however, will make it impossible to manage the records successfully. Establishing a hierarchy can seem a little tricky at first, but hierarchies are indispensible to professional and effective archival work.

Is there a template for establishing a hierarchy for science project associated records?

No. Hierarchies are all based on the same principles of archival organization, but there is no universal template for establishing a hierarchy. Thus, there is no one hierarchy that all NPS units can follow when managing their associated records for science projects. The hierarchies for similar types of records often will resemble each other, but each hierarchy will be customized to its specific collection. The hierarchies are likely to vary based on:

- the types of records that each park kept

- each park's mission

- the sorts of projects carried out at the various parks

- the way in which each park filed those records

For more information about archival collections and hierarchies, see the *Museum Handbook*, Part II, Appendix D.

What should I keep in mind when beginning to organize a collection?

There are several basic archival principles which will help you to define what constitutes a collection.

- Make sure you have identified the collection *in its entirety*. An archival collection is greater than the sum of its parts. Don't take an individual project file and manage it in isolation by treating it as a collection. This removes it from the context of the park's overall resource management records and makes it less useful for researchers.

- Start with the collection as a whole and then work down through series and subseries to individual files. Don't manage files as stand-alone bodies of records.

- Remember that the series defined in any collection must be based on the records themselves.

- Make sure you have not mixed multiple collections together.

- Identify each series in the collection.

- Determine how each series is organized (for example, alphabetically, numerically, by subject, by format).

What is a series?

A series is a grouping of file units based on the office of origin, discipline, function, or other common characteristics. A series generally features consistent filing schemes. For example, Paleontological Project Files could be a series, or Natural History Reports could be a series.

You can further divide series into subseries or sub-subseries when it's appropriate to break a series into smaller groups. For example, a series of vegetation studies could be divided into a subseries of vascular plants and a subseries of non-vascular plants.

If you…	***Then …***
have a series of natural history reports, and some of those reports were organized alphabetically by name of researcher, and others were arranged numerically by permit number,	establish different subseries for each of those two filing schemes.
If you…	***Then …***
have organized a series of paleontological project files so that the textual records were filed together, the maps were filed together, and the photographs were filed together,	establish subseries based on format.

What is a file unit?

A file unit is an assemblage of documents relating to a single project, subject, event, person, or activity. A file unit is not a file folder. A file unit is the basic means by which records are physically consolidated and arranged. File units are the building blocks of the series. A series that doesn't need to be subdivided is usually made up of one or more file units arranged in a consistent pattern. File units can consist of many file folders.

Be sure to keep separate series and file units for each project. Don't mix the records for different projects.

Should I catalog associated records for science projects to the item level?

No. Item level cataloging is rarely justified when cataloging associated records for science projects.

Examples of Hierarchies for Natural History Associated Records

Following are some examples of the types of natural history associated records that might be encountered at NPS units. The examples show how you might organize and arrange the records. These are examples only. They are not mandatory templates but are intended solely to show the logic behind the development of records hierarchies.

Example 1: Hierarchy Based on Principle of Managing All Records of One Records Creator as Part of a Single Collection/Record Group

Establishing a collection or record group encompassing all of a park's resource management records is the preferred method. This example follows established archival theory most closely. It's the park level equivalent of handling all NPS records accessioned into the National Archives as a single record group (Record Group 79). All park resource management records have the same provenance. They were all created by the park, regardless of the authors of individual documents. Best practices in archives provides for them to be managed as a single, organic collection.

Suppose a park's resource management records included the following:

- central files
- a body of uncoded subject files dealing with resource management issues
- a series of reports on cultural resources (such as historic structures reports, historic furnishing reports, cultural landscape reports)
- records associated with archeological projects

- chief naturalist's records
- natural history reports
- records associated with paleontological projects
- records associated with biological projects
- records relating to network projects

Managing all of these records as a single collection could involve a hierarchy such as the one below. Note that the file units have been omitted from this example. There would be separate file units for each project.

Collection Title: RESOURCE MANAGEMENT RECORDS OF PARK XYZ

SERIES I: Central Files

SERIES II: Subject Files

SERIES III: Cultural Resources Reports
- SUBSERIES A: Historic Structures Reports
- SUBSERIES B: Historic Furnishings Reports
- SUBSERIES C: Cultural Landscapes Reports

SERIES IV: Records Relating to Archeological Projects
- SUBSERIES A: Reports, Field Notes, and Correspondence
- SUBSERIES B: Still Pictures
- SUBSERIES C: Maps

SERIES V: Natural Resources Records
- SUBSERIES A: Records of the Chief Naturalist, 1930-1971
  - SUB-SUBSERIES 1: Chief Naturalist's Files, 1930-1952
    - SUB-SUB-SUBSERIES a: Correspondence
    - SUB-SUB-SUBSERIES b: Reports
    - SUB-SUB-SUBSERIES c: Research Files
  - SUB-SUBSERIES 2: Chief Naturalist's Files, 1953-1971

- SUBSERIES B: Natural History Reports, 1940-1990
  - SUB-SUBSERIES 1: Researcher Name Files, 1940-1973
  - SUB-SUBSERIES 2: Subject Files, 1952-1990

- SUBSERIES C: Records Associated with Paleontological Projects
  - SUB-SUBSERIES 1: Reports, Correspondence, and Field Notes
  - SUB-SUBSERIES 2: Maps and Drawings
  - SUB-SUBSERIES 3: Still Pictures
    - SUB-SUB-SUBSERIES a: Photographic Prints
    - SUB-SUB-SUBSERIES b: Photographic Negatives

SUB-SUB-SUBSERIES c: Slides

SUBSERIES D: Records Associated with Biological Projects
SUB-SUBSERIES 1: Vegetation Studies
SUB-SUBSERIES 2: Invertebrates
SUB-SUBSERIES 3: Vertebrates

SUBSERIES E: Records Relating to Network Projects
SUB-SUBSERIES 1: Biological Inventory Records
SUB-SUB-SUBSERIES a: Reports, Field Notes, and Correspondence
SUB-SUB-SUBSERIES b: Still Pictures
SUB-SUB-SUBSERIES c: Electronic Records
SUB-SUBSERIES 2: Environmental Monitoring Studies
SUB-SUB-SUBSERIES a: Water Quality Studies
SUB-SUB-SUBSERIES b: Ozone Quality Studies
SUBSERIES F: Records Relating to Geological Projects
SUB-SUBSERIES 1: Reports, Correspondence, and Field Notes
SUB-SUBSERIES 2: Maps and Drawings
SUB-SUBSERIES 3: Still Pictures

Example 2: Natural History-Specific Hierarchy

The preferred method above is to manage the park's natural science records within a collection that encompasses all of the park's resource management records. However, it may be appropriate to manage the natural science records as a stand-alone collection.

Suppose a park's museum archives included the following records:

- records of the chief naturalists who were on staff from 1930-1971
- reports on natural history projects from 1940-1990 that were filed by the researcher's name
- reports on natural history projects from 1940-1990 that were filed by subject
- specific projects files, irrespective of discipline

In this example, the park could choose to manage all of these records within a single collection of natural history records, using the hierarchy shown below. To demonstrate the higher levels of the hierarchy, the listings of file units have been omitted. There would be separate file units for each project.

Collection Title: RESOURCE MANAGEMENT RECORDS RELATING TO NATURAL HISTORY AT XYZ NATIONAL PARK

SERIES I: Records of the Chief Naturalist, 1930-1971
SUBSERIES A: Chief Naturalist's Files, 1930-1952
SUB-SUBSERIES 1: Correspondence
SUB-SUBSERIES 2: Reports
SUB-SUBSERIES 3: Research Files
SUBSERIES B: Chief Naturalist's Files, 1953-1971

SERIES II: Natural History Reports, 1940-1990
SUBSERIES A: Researcher Name Files, 1940-1973
SUBSERIES B: Subject Files, 1952-1990

SERIES III: Natural History Projects Records

Example 3: Discipline-Specific Hierarchy

A park may have large volumes of associated records for specific disciplines, such as paleontology or biology. In such cases, the park may choose to regard the records for each of those disciplines as a collection. For example, "Records Associated with Paleontological Projects" would be a collection. "Records Associated with Biological Projects" would be a separate collection. The collection title may vary (for example, "Paleontology Project Records"). However, the idea behind this hierarchy is that all paleontology records created *or received* by the park are part of a single collection.

An example of this type of collection and its corresponding hierarchy is presented below. Note that this is an example only and that the hierarchy for each collection must reflect the records present. In the example below, the series arranged by format and file units have been omitted to demonstrate higher-level aspects of the hierarchy. There would be separate file units for each project.

<u>Collection Title</u>: RECORDS ASSOCIATED WITH PALEONTOLOGICAL PROJECTS AT XYZ NATIONAL PARK

SERIES I: Correspondence and Memoranda
SERIES II: Field Notes
SERIES III: Reports
SERIES IV: Maps and Drawings
SERIES V: Still Pictures
SUBSERIES A: Photographic Prints
SUBSERIES B: Photographic Negatives
SUBSERIES C: Slides

If…	*Then…*
associated records are organized into series or subseries by type, and each type has a unique accession number,	the different types of records for any particular project will automatically be linked by the accession number.
If…	***Then…***
multiple projects were accessioned under a single number,	the different types of records for a particular project will still be linked by virtue of having exactly the same file unit title.

What are project files?

At most parks, the vast majority of associated records related to natural history will be project files. These are records associated with specific research projects carried out in biology, geology, or paleontology. They include Inventory and Monitoring projects. In the three hierarchy options above, the project files would represent file units within either series or subseries.

Remember: Associated records for individual projects are not stand-alone collections. They are only file units within a larger collection.

The volume and organization of these project records will vary from park to park, necessitating different hierarchical structures. Small parks, cultural history parks, and parks in urban areas may not have very large or active natural history research programs. These parks therefore only have a small number of project files. For a small number of project files, you could maintain a simple filing scheme. The filing scheme would include all project files, regardless of discipline. Arrangement could be based on accession number, permit number, or project date. Other parks may have large and complex natural history research programs. For these parks, it may be necessary to manage project files for different disciplines as separate series. Each series may require the development of a complex hierarchy.

Example 4: Hierarchy for Project Files for Small Collections of Natural Science Records

You can handle small collections of natural science records as a single series or subseries within the larger resource management records collection. In the example below, the records are arranged by accession number.

Series Title: RECORDS ASSOCIATED WITH NATURAL HISTORY PROJECTS

File 001: PARK-00209, Biological Survey Reports
File 002: PARK-00213, Analysis of Shrubs, Trees, and Cacti in Park Plant Population
File 003: PARK-00216, Census of Birds
File 004: PARK-00217, Limnological Investigations Project
File 005: PARK-00354, Faunal Study
File 006: PARK-00412, Geologic Analysis of Rock Deterioration
File 007: PARK-00415, Speciation of Congeneric Amphipods
File 008: PARK-00511, South Creek Aquatic Study: Fish and Herpetofauna
File 009: PARK-00520, Water Quality Analysis
File 010: PARK-00522, Long-Term Monitoring, Rattlesnakes

Note that different disciplines are represented. The project files could include records generated both by NPS-initiated projects as well as by independent researchers working under permits. The park is the "records creator" for all the files. Therefore, managing the files as part of a single series or subseries does not violate archival rules relating to provenance. Because there are so few project files, there would be no need to establish tiny subseries or sub-subseries for each discipline. Simply arranging them numerically by accession is sufficient to maintain firewalls between the individual project files.

Note: If the park doesn't issue permits for park staff, this system won't work because there could be many park projects under one accession number.

For more information see the *Museum Handbook*, Part II, Appendix D.

Example 5: Hierarchy for Project Files for Large Collections of Natural Science Records

A park with an extremely active research program in biology makes or receives scores of project files every year. These projects relate to a wide variety of plant and animal life. Some parks have chosen to organize their associated records in biology according to a hierarchy that correlates more-or-less to taxonomic levels.

Series Title: RECORDS ASSOCIATED WITH BIOLOGICAL PROJECTS

SUBSERIES A: Vegetation Studies
- SUB-SUBSERIES 1: Vascular Plants
- SUB-SUBSERIES 2: Non-Vascular Plants

SUBSERIES B: Invertebrates
- SUB-SUBSERIES 1: Insects and Spiders
- SUB-SUBSERIES 2: Earthworms
- SUB-SUBSERIES 3: Crustaceans
- SUB-SUBSERIES 4: Mollusks
- SUB-SUBSERIES 5: Corals and Sponges

SUBSERIES C: Vertebrates
SUB-SUBSERIES 1: Birds
SUB-SUBSERIES 2: Fish
SUB-SUBSERIES 3: Terrestrial Mammals
SUB-SUBSERIES 4: Marine Mammals
SUB-SUBSERIES 5: Reptiles and Amphibians

Several park-specific variations are possible within this roughly taxonomic structure. Some parks with exceptionally numerous project files may establish subseries for each class, such as reptiles. Other parks may handle the files as sub-subseries under subseries based on subphylum, such as Vertebrates. Other parks may establish sub-subseries for project files on individual species. Still others may use scientific names for the subseries and sub-subseries titles, such as Aves rather than Birds.

Similarly, parks may adopt different filing schemes within each sub-subseries. Some may order projects files chronologically by date of final report. Others may order them by accession number, assuming that each project was assigned a unique accession number. Others may arrange them alphabetically by project title. However, using project titles can make it difficult to accrete records in the future without interfiling or creating new subseries. It's even possible to vary file arrangements from sub-subseries to sub-subseries. For example, the project files on birds might be arranged chronologically, whereas the project files on fish might be arranged numerically by accession.

Example 6: Hierarchy for Project Files for Parks with Large Amounts of Non-textural Natural Science Records

Some parks accession associated records with large quantities of non-textural materials, such as photographs, slides, and oversized maps. In these cases, parks may want to organize the records according to format. The example below illustrates a hierarchy for a series of project files in paleontology that is organized by format. Note that this series is part of a larger collection of park natural history records.

Series Title: RECORDS ASSOCIATED WITH PALEONTOLOGICAL PROJECTS

SUBSERIES A: Reports, Correspondence, Memorandums, and Field Notes
File Unit 001: PARK-10121
File Unit 002: PARK-10122
File Unit 003: PARK-10123

SUBSERIES B: Maps and Drawings
File Unit 001: PARK-10121
File Unit 002: PARK-10122
File Unit 003: PARK-10123

SUBSERIES C: Still Pictures
SUB-SUBSERIES 1: Photographic Prints
File Unit 001: PARK-10121
File Unit 002: PARK-10122
File Unit 003: PARK-10123
SUB-SUBSERIES 2: Photographic Negatives
File Unit 001: PARK-10121
File Unit 002: PARK-10122
File Unit 003: PARK-10123
SUB-SUBSERIES 3: Slides
File Unit 001: PARK-10121
File Unit 002: PARK-10122
File Unit 003: PARK-10123

The file units in this example are arranged numerically by accession. The park could just as easily choose to arrange them numerically by:

- permit number
- study number
- chronologically by date of final report
- alphabetically by title of project
- an internally-devised filing code.

Note: Usually, the arrangement depends on how the records are organized when received.

What if the natural science records include different arrangement schemes when I receive them?

Some parks file reports on natural history projects by the name of the principle investigator or the subject of the project. They may have abandoned those practices and moved on to other filing schemes later. Keep the older materials in their original order even if the park instituted new filing schemes to replace those earlier methods. In other words, don't take materials filed in one way and re-file them according to a new filing scheme.

The following hierarchy reflects overlapping and eventually superseded methods for managing natural history reports. Both are now "closed" series, as indicated by the finite date ranges. Note that these records are a series within a larger collection of natural history records.

Example 7: Hierarchy for Project Files with Different Arrangement Schemes

Series Title: NATURAL HISTORY REPORTS, 1940-1990

SUBSERIES A: Researcher Name Files, 1940-1973

File Unit 001: Adams, Thomas: "Isolation of Microbacterium Tuberculosis from Soil at XYZ Cave."
File Unit 002: Bailey, Glenn: "Study of Micro and Meso Fauna."
File Unit 003: Rogers, Janet: "Deer Trapping Reports."
File Unit 004: Wilson, Debra: "Clastic Sediments in Karst Conduits."

SUBSERIES B: Subject Files, 1952-1990

File Unit 001: Cave Beetles
File Unit 002: Ecological Effects of Water Pollutants on Fauna
File Unit 003: Hydrogeological Symbionts
File Unit 004: Siltation Studies of Rivers Within Park Boundaries

Note: It's possible that separate copies of a single report may have been filed both under the researcher's name, in Subseries A, and under the subject title, in Subseries B. That is acceptable. Even though they are duplicates, you should leave them both where they are.

Example 8: Hierarchy for Inventory & Monitoring Program Project Files

Accession the files that were generated by the inventory and monitoring networks and carried out within a park as associated records. Hierarchical structures may vary, depending on how the different networks carry out their assignments and file the records. One possible hierarchy is illustrated below, and is based on the I&M Network filing scheme.

Series Title: RECORDS RELATING TO NETWORK PROJECTS

SUBSERIES A: Biological Inventory Records

SUB-SUBSERIES 1: Reports, Field Notes, and Correspondence

File Unit 001: PARK-00591, Amphibian, Reptile, and Turtle Survey
File Unit 002: PARK-00592, Bird Inventory
File Unit 003: PARK-00617, Summer Roosts for Rare Bat Species

SUB-SUBSERIES 2: Still Pictures

File Unit 001: PARK-00591, Amphibian, Reptile, and Turtle Survey
File Unit 002: PARK-00617, Summer Roosts for Rare Bat Species

SUB-SUBSERIES 3: Electronic Records

File Unit 001: PARK-00591, Amphibian, Reptile, and Turtle Survey
File Unit 002: PARK-00592, Bird Inventory

SUBSERIES B: Environmental Monitoring Studies

SUB-SUBSERIES 1: Water Quality Studies

File Unit 001: Monthly Water Quality Data, December 2002
File Unit 002: Monthly Water Quality Data, January 2003

File Unit 003: Monthly Water Quality Data, February 2003
File Unit 004: Monthly Water Quality Data, March 2003
SUB-SUBSERIES 2: Ozone Quality Studies
File Unit 001: Annual Ozone Study, 2001
File Unit 002: Annual Ozone Study, 2002
File Unit 003: Annual Ozone Study, 2003

In this example, the network filed the Biological Inventory Records numerically by accession and the Environmental Monitoring Studies chronologically. Other networks, however, may file records differently. Also, in this example, the network organized its Biological Inventory Records according to format and its Environmental Monitoring Studies according to subject. Again, other networks may develop different filing protocols. Finally, note that each accession of Biological Inventory Records had textual records. However, only two of them had still pictures, and only two had electronic records. The hierarchy and file units reflected what was actually retained for each accession, which is appropriate.

What is an example of a hierarchy for deliverables from research permits?

Many parks must deal with files for projects carried out by independent researchers who have received permits from the park. It's perfectly acceptable to keep files on permitted research in the same series or subseries with files on research conducted by park staff or contractors. However, there must be a consistent filing scheme (such as arranging all project files by researcher name or by the accession, permit, or study number).

It's also acceptable to separate permitted research from park research. The permitted research files and the park research files would remain in the same collection within separate series or subseries. Within the series or subseries, the park is free to determine the appropriate arrangement scheme. Possible arrangement includes:

- by accession number
- by permit number or study number (**Note:** When you are dealing with multi-year permits, you may have to accession records for projects with higher numbers first. You may create a dummy file unit screen in the Archives Module as a placeholder for the multi-year permit that was issued earlier. Complete the file unit placeholder once the records have been received.)
- chronologically (by the date on which the permittee turned over the records to the park)
- alphabetically (by name of the permittee or the title of the project) (**Note:** This is a particularly useful approach if you have a multi-year bloc of legacy project files that are not accessioned individually. They can be handled as a single subseries. Then future accessions can be handled numerically or chronologically in a new subseries.

Note: These are just examples. There is no hard-and-fast rule about what kind of arrangement scheme works best for a particular body of records. The only requirement is that some kind of logical filing scheme needs to be developed. Normally such filing schemes are developed at the

records management stage long before files are retired to an archival repository. However, this responsibility falls to the archivist or curator when no order was devised for a body of records before accessioning.

In the following example, the park:

- maintained biological project files produced by park staff and park contractors numerically by accession

- kept biological project files produced by permitted independent researchers separately, with an arrangement scheme based on permit number

Example 9: Hierarchy for Deliverables from Research Permits

Series Title: RECORDS ASSOCIATED WITH BIOLOGICAL PROJECTS

SUBSERIES A: Project Files relating to Park-Initiated Research
File Unit 001: PARK-10135, Accumulation and Toxicity of Metals in Marine Organisms
File Unit 002: PARK-10200, Migration Pattern and Population Genetic Structure of the Lesser Long-Nosed Bat
File Unit 003: PARK-10201, Water Balance & Carbon Cycling Across the Snow Line in Forested Landscapes

SUBSERIES B: Project Files Relating to Permitted Research
File Unit 001: PARK-2001-SCI-0001, Biological Inventory of Anchialine Pools
File Unit 002: PARK-2003-SCI-0001, Monarch Butterfly Migration
File Unit 003: PARK-2003-SCI-0002, A Mark and Recapture, Blood Sampling, and General Survey of the Florida Box Turtle

Note: Either or both of the subseries cited above may be organized into sub-subseries arranged by scientific classifications or based on document format.

What is an example of a hierarchy for chief naturalist records?

Older parks, with a strong emphasis on natural history, may have employed a "chief naturalist" at one time. Especially from the 1930s through the 1970s, chief naturalists at natural history-oriented parks oversaw all natural history-related activities. Museums at many of those parks eventually accessioned the records of the chief naturalists. In some cases, they provide the best available record of early natural history programs at the parks.

The chief naturalists likely kept their records in whatever way seemed appropriate and logical to them at the time. If at all possible these records should be retained intact and in the original order in which they were filed.

The following example shows a hierarchy (within the broader collection on resource management records) for a park with:

- records of a chief naturalist on staff from 1930 to 1952 who created files grouped by correspondence (arranged chronologically), reports (arranged alphabetically by title), and research files (arranged alphabetically by discipline and then alphabetically by topic)

- records from another chief naturalist, who served from 1953 to 1971 who filed everything by broad subject

Example 10: Hierarchy for Chief Naturalist Records

Series Title: RECORDS OF THE CHIEF NATURALIST, 1930-1971

SUBSERIES A: Chief Naturalist's Files, 1930-1952
SUB-SUBSERIES 1: Correspondence
SUB-SUBSERIES 2: Reports
SUB-SUBSERIES 3: Research Files

SUBSERIES B: Chief Naturalist's Files, 1953-1971
File Unit 1: Birds
File Unit 2: Fish
File Unit 3: Mammals

Within a collection, each series and subseries must have a unique title. Although the titles of Subseries A and Subseries B are similar, the date range distinguishes one from the other. There is no need to organize Subseries B into sub-subseries. The second chief naturalist maintained all files in one consistent, alphabetical arrangement pattern. He/she didn't divide them up into correspondence, reports, and research files.

How do I add new material to the collection?

A collection or record group containing all of a park's resource management records will grow over time. As new records are accessioned, they should be added – or *accreted* – to the existing collection. There are two principal ways of doing this. You can add new file units or add entirely new series or subseries.

If you add new material to a collection, be sure to modify the:

- collection level record in the Archives Module

- catalog record in the Collections Management Module

Increase the volume of records for the collection as a whole. Expand the date range (if applicable). Add new subject terms (if appropriate), and add any changes in the hierarchical structure.

What is an example of adding records as file units?

Suppose you have a series of natural history project files arranged numerically by accession number. Each new accession number for an incoming project file will be higher than the one previously assigned. You can continue to accrete new files to this series forever. All project files, with successively-higher accession numbers, will automatically fit into an ongoing and consistent arrangement scheme. As was noted above, if you actually receive accessions out of order, you should create dummy file unit records in the Archives Module. These serve as placeholders for lower-numbered accessions that are still outstanding. Enter full descriptions once those accessions are received.

The example below includes a hierarchy which originally had 10 file units (in regular type). Newly accreted file units appear in bold type.

Example 11: Adding Records as File Units

Series Title: RECORDS ASSOCIATED WITH NATURAL HISTORY PROJECTS

File 001: PARK-00209, Biological Survey Reports
File 002: PARK-00213, Analysis of Shrubs, Trees, and Cacti in Park Plant Population
File 003: PARK-00216, Census of Birds
File 004: PARK-00217, Limnological Investigations Project
File 005: PARK-00354, Faunal Study
File 006: PARK-00412, Geologic Analysis of Rock Deterioration
File 007: PARK-00415, Speciation of Congeneric Amphipods
File 008: PARK-00511, South Creek Aquatic Study: Fish and Herpetofauna
File 009: PARK-00520, Water Quality Analysis
File 010: PARK-00522, Long-Term Monitoring, Rattlesnakes
File 011: PARK- 00530, Rattlesnake Relocation
File 012: PARK-00541, Scuba Exploration to Collect Data on Lake
File 013: PARK-00600, Vegetation Inventory and Classification
File 014: PARK-00608, Seasonal Effects on Geochemical Evolution of Park River
File 015: PARK-00610, Eagle Survey

What is an example of adding records as series or subseries?

In some cases, an accretion might involve a body of records rather than individual file units. The records may not fit into any of the existing series. For example, they may have incompatible arrangement schemes, or they may relate to different disciplines. In such situations, it's possible to accrete an entire series or subseries to the collection.

In the example below, the park's resource management records were cataloged as a single collection, organized into 5 large series. Following the initial cataloging of this collection, the park curator accessioned a series of records associated with geological projects. The existing hierarchy doesn't have a place to accommodate these records. The curator may accrete them to the collection as a new subseries within the series for natural history records (bold type below).

Example 12: Adding Records as a Series and Subseries

Collection Title: RESOURCE MANAGEMENT RECORDS OF PARK XYZ

SERIES I: Central Files

SERIES II: Subject Files

SERIES III: Cultural Resources Reports
- Subseries A: Historic Structures Reports
- Subseries B: Historic Furnishings Reports
- Subseries C: Cultural Landscapes Reports

SERIES IV: Records Relating to Archeological Projects
- Subseries A: Reports, Field Notes, and Correspondence
- Subseries B: Still Pictures
- Subseries C: Maps

SERIES V: Natural Resources Records

- Subseries A: Records of the Chief Naturalist, 1930-1971
  - Sub-subseries 1: Chief Naturalist's Files, 1930-1952
    - Sub-sub-subseries a: Correspondence
    - Sub-sub-subseries b: Reports
    - Sub-sub-subseries c: Research Files
  - Sub-subseries 2: Chief Naturalist's Files, 1953-1971

- Subseries B: Natural History Reports, 1940-1990
  - Sub-subseries 1: Researcher Name Files, 1940-1973
  - Sub-subseries 2: Subject Files, 1952-1990

- Subseries C: Records Associated with Paleontological Projects
  - Sub-subseries 1: Reports, Correspondence, and Field Notes

Sub-subseries 2: Maps and Drawings
Sub-subseries 3: Still Pictures
Sub-sub-subseries a: Photographic Prints
Sub-sub-subseries b: Photographic Negatives
Sub-sub-subseries c: Slides

Subseries D: Records Associated with Biological Projects
Sub-subseries 1: Vegetation Studies
Sub-subseries 2: Invertebrates
Sub-subseries 3: Vertebrates

Subseries E: Records Relating to Network Projects
Sub-subseries 1: Biological Inventory Records
Sub-sub-subseries a: Reports, Field Notes, and Correspondence
Sub-sub-subseries b: Still Pictures
Sub-sub-subseries c: Electronic Records
Sub-subseries 2: Environmental Monitoring Studies
Sub-sub-subseries a: Water Quality Studies
Sub-sub-subseries b: Ozone Quality Studies

Subseries F: Records Relating to Geological Projects
Sub-subseries 1: Reports, Correspondence, and Field Notes
Sub-subseries 2: Maps and Drawings
Sub-subseries 3: Still Pictures

Geology Classification

Line 1: Enter Geology

Line 2: Material Type
Enter one of the following material types:

ROCKS
SURFACE PROCESS MATERIALS
MINERALS
ORGANIC MATERIALS
EXTRATERRESTRIAL MATERIALS
SOILS

Many of these material categories overlap. The collector's objective should indicate the most appropriate category. For example, classify a specimen collected to document glacial striations as Surface Process Materials, even though it may be composed of granite (an igneous rock).

Line 3: Major Group
Enter the name of the Major Group from the Hierarchical Classification Outline. The Major group is underlined.

ROCKS	SURFACE PROCESS MATERIALS	MINERALS
Igneous	Weathering	Native Elements
Sedimentary	Stream Action	Sulfides
Metamorphic	Lake Action	Sulfosalts
Fault-Zone Materials	Marine Action	Oxides
	Glacial Action	Halides
	Wind Action	Carbonates
	Other	Nitrates and Iodates
		Borates
		Sulphates
		Selenates (ites) and Tellurates (-ites)
		Chromates
		Phosphates and Arsenates
		Antimonates (-ites) and Arsenites
		Vanadium Oxysalts
		Molybdates and Tungstates
		Nesosilicates
		Sorosilicates
		Cyclosilicates
		Inosilicates
		Phyllosilicates

		Tectosilicates
		Other
ORGANIC MATERIALS	EXTRA-TERRESTRIAL MATERIALS	SOILS
Hydrocarbons	Meteorites	Alfisols
Resins	Tektites	Aridisols
Bitumens	Terrestrial Impact Features	Entisols
Other	Other	Histosols
		Inceptisols
		Mollisols
		Oxisols
		Spodosols
		Ultisols
		Vertisols

Line 4: Filing Group
Filing Groups are listed in the accompanying Hierarchical Classification Outline and vary widely. The Filing Group is marked with an asterisk.

Examples of the 4-line classification for geology:

Line 1: Discipline	GEOLOGY
Line 2: Material Type	ROCKS
Line 3: Major Group	Sedimentary
Line 4: Filing Group	*Limestones

Line 1: Discipline	GEOLOGY
Line 2: Material Type	SURFACE PROCESS MATERIALS
Line 3: Major Group	Glacial Action
Line 4: Filing Group	*Abraded Stones

GEOLOGY OBJECT/SPECIMEN NAME

Enter the name of the geology specimen in the Object/Science name field on the catalog record. Enter the most specific name available.

Examples: Bass Limestone
Diorite

In some cases, the data accompanying the specimen may be specific to only the Major Group or Filing Group level. Enter UNUSED in classification line 4 for these specimens.

For unidentified or composite specimens, refer to the *ICMS User Manual*, Chapter 2, Section VI, Cataloging A Geology Specimen.

Soil Collections:

The Object/Specimen Name for soil collections will generally be the Soil Series Name. This is often the specific mapped soil unit of the collection site. The Soil Series Name is the name used on the soil maps for park, county, or state soils published by the Soil Conservation Service. These maps provide a standardized reference to soil names.

Silicates:

Silicate classification is based on types of linkages of Si-O tetrahedral, in which Si may be partly replaced by Al. The types of silicates are:

Neosilicates – silicate structures in which individual SiO_4 tetrahedra are not linked together, i.e., they do not share oxygens. An example is olivine. SYN: Orthosilicate. SiO ratio = 1:4.

Sorosilicates – a structural class of silicate minerals characterized by the linkage of two Si-O tetrahedra by the sharing of one oxygen. An example is hemimorphite, $Zn_4Si_2O_7(OH)_22$ (H_2O). SiO ration = 2:7.

Cyclosilicates – a class, or structural type of silicate characterized by the linkage of the SiO_4 tetrahedra in rings. Examples are Tourmaline, Beryl. SiO ratio = ring 1:3, (n:3n).

Inosilicates - a class or structural type of silicate characterized by the linkage of Si-O tetrahedra into linear chains by sharing of oxygen. Single chain minerals, e.g., pyroxenes, are characterized by the radical (SiO_3). Double chain minerals, e.g., amphiboles, are characterized by the radical (Si_4O_{11}). SiO ratios: triple chain = 3:8, double chain = 4:11, single chain = 1:3.

Phyllosilicates – a group of silicate minerals with similar structures characterized by silicon-oxygen tetrahedra linked in a planar arrangement. Examples are micas. SiO ratio = 2:5.

Tectosilicates – a structural class of silicate minerals in which the Si-O tetrahedral share all oxygens with adjacent tetrahedra to build up a three-dimensional network. Examples are quartz and feldspar. SiO ratio = 1:2.

Igneous
- Plutonic rocks (coarse and medium grained)
  - *Granite group (granite, granodiorite, and others)
  - *Syenite group (syenite, monzonite, and others)
  - *Diorite group
  - *Gabbro group
  - *Feldspathoid-rich group
  - *Ultramafic group
  - *Carbonatites
  - *Pegmatites
  - *Other plutonics
- Volcanic and shallow-intrusives rocks (fine grained and glassy)
  - *Rhyolite-dacite group
  - *Trachyte-latite group
  - *Andesite-basalt group
  - *Phonolite-tephrite group
  - *Diabases
  - *Lamprophyres
  - *Glassy rocks
  - *Volcaniclastic rocks (primary fragmental volcanics)
  - *Epiclastic rocks (redeposited fragmental volcanics)
  - *Other volcanic and shallow intrusives

Sedimentary
- Nonconsolidated sediments
  - *Gravels
  - *Sands
  - *Silts
  - *Clays
  - *Marls
  - *Peats
- Consolidated rocks
  - Clastic rocks
    - *Conglomerates
    - *Breccias
    - *Sandstone group (quartz, arenite, arkose, graywacke, and others)
    - *Mudstone group (siltstone, claystone, shale, and others)
- Chemical and biochemical rocks
  - *Limestones
  - *Dolostones
  - *Evaporites (gypsum, halite, and others)
  - *Siliceous precipitates (chert, flint, and others)
  - *Iron-rich rocks
  - *Phosphate-rich rocks

*Cave flowstone and spring deposits
*Concretions and nodules
*Organic sedimentary rocks (lignite and coal)
*Other consolidated rocks

Metamorphic
Contact metamorphic rocks
*Hornfelses
*Marbles
*Skarns
*Other contact metamorphic rocks
Regional metamorphic rocks
*Marbles
*Quartzites
*Metaconglomerates
*Slates
*Phyllites
*Schists
*Gneisses
*Amphibolites
*Granulites
*Migmatites
*Other regional metamorphic rocks

Fault-zone materials
*Breccias or gouges
*Cataclasites
*Pseudotachylites
*Mylonites
*Other fault-zone materials

HIERARCHICAL CLASSIFICATION OUTLINE

GEOLOGY

SURFACE PROCESS MATERIALS

Weathering
- *Weathering crusts
- *Desert varnishes
- *Other weathering

Stream action
- *Deposits
- *Cave stream deposits
- *Abraded stones
- *Abraded bedrock surfaces
- *Other stream action

Lake action
- *Deposits
- *Other lake action

Marine action
- *Deposits
- *Abraded bedrock surfaces
- *Other marine action

Glacial action
- *Deposits
- *Abraded stones
- *Abraded bedrock surfaces
- * Ice Cores
- * Other glacial action

Wind action
- *Deposits
- *Abraded stones (ventifacts)
- *Abraded bedrock surfaces
- *Other wind action

Other Surface Process Materials
- * Ice Cores

Native elements
Sulfides
Sulfosalts
Oxides
Halides
Carbonates
Nitrates and Iodates
Borates
Sulfates
Selenates(-ites) and Tellurates(-ites)
Chromates
Phosphates and Arsenates
Antimonates(-ites) and Arsenites
Vanadium oxysalts
Molybdates and Tungstates
Nesosilicates
Sorosilicates
Cyclosilicates
Inosilicates
Phyllosilicates
Tectosilicates
Other minerals

Hydrocarbons
Resins
Bitumens
Other organic materials

Meteorites
- *Iron
- *Stony Iron
- *Chondrite
- *Carbonaceous Chondrite
- *Achrondrite

Tektites
Terrestrial Impact Features (e.g. shatter cones)
Other extraterrestrial materials

Alfisols
- *Aqualfs
- *Boralfs
- *Udalfs
- *Ustalfs
- *Xeralfs

Aridisols
- *Argids
- *Orthids

Entisols
- *Aquents
- *Arents
- *Fluvents
- *Orthents
- *Psamments

Histosols
- *Fibrists
- *Folists
- *Hemists
- *Saprists

Inceptisols
- *Andepts
- *Aquepts
- *Ochrepts
- *Plaggepts
- *Tropepts
- *Umbrepts

Mollisols
- *Albolls
- *Aquolls
- *Borolls
- *Rendolls
- *Udolls
- *Ustolls
- *Xerolls

Oxisols
- *Aquoxes
- *Humoxes
- *Orthoxes
- *Torroxes
- *Ustoxes

Spodosols
- *Aquods
- *Ferrods

*Humods
*Orthods

Ultisols
*Aquults
*Humults
*Udults
*Ustults
*Xerults

Vertisols
*Torrerts
*Uderts
*Usterts
*Xererts

Appendix I: Lot Cataloging

Page

A. General Rules for Lot Cataloging I:1
What is lot cataloging? I:1
When can I use lot cataloging? I:1
When can't I use lot cataloging? I:1
How many catalog numbers do I assign to a lot? I:1
How do I count the lot? I:1
Is there a limit on the size of a lot? I:1
How do I number the objects in a lot? I:1
What if I remove an object from the lot? I:2
How do I store lot cataloged objects? I:2

B. Discipline-specific Rules for Lot Cataloging Cultural Resources Collections I:2
What are the discipline-specific rules for lot cataloging archeology objects? I:2
What are the discipline-specific rules for lot cataloging ethnology objects? I:3
What are the discipline-specific rules for lot cataloging history objects? I:4
What are the discipline-specific rules for lot cataloging archives and manuscript collections? I:4

C. Discipline-specific Rules for Lot Cataloging Natural History Collections I:4
What are the rules for lot cataloging natural history collections? I:4
How does lot cataloging relate to the research objectives of the collecting project? I:5
Does lot cataloging vary from taxon to taxon? I:5
What is the maximum allowable taxonomic diversity within a lot? I:6
Are the procedures for lot cataloging natural history specimens different from cataloging specimens individually? I:6
What do I do if I need to remove specimens from the lot? I:7
What if specimens in a lot are recataloged? I:7

D. List of Figures I:8

APPENDIX I: LOT CATALOGING

A. General Rules for Lot Cataloging

1. *What is lot cataloging?*

Lot cataloging is a method of cataloging a group, or lot, of objects rather than cataloging them individually. It's a way to account for similar objects without having to catalog each individual item.

2. *When can I use lot cataloging?*

Use of lot cataloging depends on the subject discipline. See Sections B and C of this appendix for discipline-specific rules for lot cataloging. The items in the lot don't have to be identical. They do have to have certain common characteristics, such as the same accession number and object name.

See Figures I.1-I.5 for examples of lot cataloging.

3. *When can't I use lot cataloging?*

Don't use lot cataloging for:

- rare or high value items
- type specimens
- objects that you need to individually track, such as those on incoming loan or exhibit

4. *How many catalog numbers do I assign to a lot?*

Assign one catalog number to the lot. Don't use component part designators with lots. Refer to Section I in Appendix C of this handbook for information on component parts.

5. *How do I count the lot?*

If possible, count the total number of items in the lot. Enter this number in the Item Count field in ANCS+. For lots that are too large or difficult to count, use the Quantity and Storage Unit fields for:

- linear or cubic feet (for archives)
- the number of storage containers, such as 4 boxes

Note: Many archeological collections include weight. Enter information on weight in the Weight field in ANCS+.

6. *Is there a limit on the size of a lot?*

No. It's a good idea to divide extremely large lots into verifiable units of measure for inventory purposes.

7. *How do I number the objects in a lot?*

If there are…	***Then…***
only a few objects,	you can mark the number on each object.
too many items to number individually,	number or label the containers.

Note: Don't use designators with the catalog number. Use designators only with component parts, pairs, and sets. Refer to Section I in Appendix C of this handbook for information on component parts, pairs, and sets.

8. *What if I remove an object from the lot?*

You may occasionally need to remove an object from the lot. For example, one item in a lot may go on exhibit or loan. There also may be items missing from the lot that you will have to deaccession.

When an object is separated from the lot, give it a new catalog number and a separate catalog record. Cross-reference both the new and original records to each other. Adjust the Item Count field on the original record to show that you have removed items from the lot.

9. *How do I store lot cataloged objects?*

Usually you store lots in a common container or containers that you store together in the same location.

B. Discipline-specific Rules for Lot Cataloging Cultural Resources Collections

1. *What are the discipline-specific rules for lot cataloging archeology objects?*

Archeology collections are frequently lot cataloged. To lot catalog archeology collections, the lot must:

- be from the same accession
- be from the same provenience (to the smallest level)
- be of the same material (or composite materials)
- have the same object name

Lots must be from the smallest provenience recorded by the archeologist. Within provenience, split objects into groups by material. You can't mix different materials in the same lot unless you classify the objects as composites.

Further divide lots by the specific material type that falls within a broader material category. For example, don't catalog chert, jasper, and obsidian projectile points from the same provenience as one lot. Although these materials are all stone, make separate lots for each specific material type. It's especially important to separate material types that the archeologist considers to be diagnostic.

You can use the object name to further separate lots:

- from the same provenience
- made from the same material

For example, you can make separate lots for rim sherds and body sherds.

Object names can be general, such as chipped stone, or specific, such as projectile point. Use only one object name per lot. For example, don't list several projectile point types as the object name.

Example:

Accession:	Untyped sherds from Site 204, Kiva 1, fill and Kiva 1, floor
1 lot catalog record:	Sherds, untyped (Site 204, Kiva 1, fill)
1 lot catalog record:	Sherds, untyped (Site 204, Kiva 1, floor)
Accession:	Miscellaneous ceramic and metal fragments, Jones House Site, Room 5, floor
1 lot catalog record:	Chinese export porcelain fragments
1 lot catalog record:	transfer printed whiteware fragments
1 lot catalog record:	unidentified ferrous alloy fragments
1 lot catalog record:	unidentified copper alloy fragments

2. *What are the discipline-specific rules for lot cataloging ethnology objects?*

Ethnology collections are usually not lot cataloged. To lot catalog ethnology collections, the lot must:

- be from the same accession
- be from the same provenience
- be from the same cultural group
- be from the same date/period
- have the same object name
- have the same artist/maker (if known)

The objects should be identical or similar.

Example:

Accession:	Hopi and Navajo beads
1 lot catalog record:	Hopi beads
1 lot catalog record:	Navajo beads
Accession:	4 Comanche arrows
1 lot catalog record:	Arrows (object name Arrow)

3. *What are the discipline-specific rules for lot cataloging history objects?*

History collections are usually not lot cataloged. To lot catalog history collections, the lot must:

- be from the same accession
- be from the same provenience
- be from the same date/period
- have the same object name
- have the same artist/maker (if known)
- have the same eminent figure (if any)

The objects should be identical or similar.

Example:

Accession:	General service enlisted men's uniform buttons, 1855-1884 pattern, 7/8" size, donated by John Smith.
1 lot catalog record:	Buttons (object name Button)
Accession:	Square cut nails, 1775-1815, 2"-2.5", from Bishop Barnes House attic
1 lot catalog record:	Nails (object name Nail)

4. *What are the discipline-specific rules for lot cataloging archives and manuscript collections?*

Don't lot catalog archives and manuscript collections. You catalog archives and manuscript collections as a collection, and measure the size of the collection in linear feet. Refer to Appendix D in this handbook for information on cataloging archives and manuscript collections.

C. Discipline-specific Rules for Lot Cataloging Natural History Collections

1. *What are the rules for lot cataloging natural history collections?*

The reason for lot cataloging natural history specimens depends on the research objectives of the collecting project. In general, to lot catalog natural history collections, the lot must be:

- from the same accession
- from the same locale (same collection effort)
- from the same collection date
- from the same collector(s)
- be studied together as a unit
- be stored as a unit

Example:

Accession:	50 mixed insects and arachnids from a 5-minute sweep net sample
1 lot catalog record:	sweep net sample in a single vial of alcohol
Object/Specimen Nam:	Sweep Net Sample
Quantification:	Item Count =150 and Storage Unit = EA
Accession:	thousands of insect from a single light trap that was run overnight
1 lot catalog record:	light trap sample in a single vial or jar
Object/Specimen Name:	Light Trap Sample
Quantification:	Item Count = 0, Quantity = 1, and Storage Unit = Vial or Jar
Accession:	10 dental and skeletal fragments from a paleontological specimen
Object/Specimen Name:	Coryphodon radians (genus and species)
Quantification:	Item Count = 10 and Storage Unit = EA

See Appendix H in this handbook for additional information on cataloging units. Appendix H is in a separate notebook.

2. *How does lot cataloging relate to the research objectives of the collecting project?*

Some studies require collecting and studying samples that include many individual specimens. The collector collected the specimens as a unit and intends to study them as an assemblage. The definition of collection unit will, to some extent, be an arbitrary decision of the collector. The same is true for such collection data as date and time. For example, a light trap sample may represent hours of sampling time.

Locale is another variable. The collector determines if specimens collected within centimeters or meters of each other are from the same locale.

3. *Does lot cataloging vary from taxon to taxon?*

Yes. Mammal, birds, and reptiles are generally collected as individuals and are rarely lot cataloged. Smaller reptiles and amphibians are occasionally lot cataloged if they are collected on the same date from small sampling plots. Fish, particularly smaller, more common species, are frequently cataloged as a lot. Numerous specimens may be collected from a single seine haul or during electro-fishing or rotenone sampling.

Invertebrates are lot cataloged more than vertebrates. There are well-developed sampling techniques for invertebrates. For example, there are malaise traps, light traps, and pitfall traps for terrestrial arghropods. There are various grab, core, sled, or dredge samples for benthic and epibenthic organisms. There are a variety of net samplers for planktonic organisms.

Most plant specimens, like vertebrates, are collected as single individuals. Generally, give each herbarium sheet one catalog number. Count it as one item, even if the sheet has more than one plant of the same species. On occasion, numerous individuals of the same species are collected on the same date from a single sampling area. In these cases, you may lot catalog the specimens using more than one herbarium sheet. For example, if the

specimens from the sample are on four herbarium sheets, give them all the same catalog number. Enter 4 in the Item Count field on the catalog record.

Assign one catalog number and lot catalog paleontological specimens that make up one individual. You can also lot catalog a matrix that has a mix of fossils from several individuals of the same species.

4. *What is the maximum allowable taxonomic diversity within a lot?*

Taxonomic diversity is the dissimilarity among specimens. In general, you can determine lots by the lowest taxonomic level to which the specimens are identified when you accession them. This will vary from group to group depending on the:

- difficulty of identification within the group
- level of expertise of the collector, donor, or curator

Usually vertebrates, vascular plants, and large fungi will be identified to species. Insects or mollusks may be lot cataloged at the filing group level (line 4 of the classification). They may be undescribed as a species, and often only a few specialists can recognize them to family and genus. Other invertebrates or microscopic organisms, such as nematodes or protozoans, may be grouped at the major group level (line 3 of the classification).

If specimens are lot cataloged at the classification level, list the classification level entry in the Object/Specimen Name field. Enter Unknown in the classification levels that are lower than the last known entry.

5. *Are the procedures for lot cataloging natural history specimens different from cataloging specimens individually?*

No. The specific steps and guidelines for lot cataloging are essentially the same as those you use to catalog specimens individually. Treat the entire lot (rather than the individual components of the lot) as a single specimen. Enter the number of specimens (or number of parts of one specimen) in the Item Count field in ANCS+.

Use the Description field in ANCS+ to describe, in general terms the:

- contents of the lot
- specifics about the collection procedure, date, time of day
- associated data about climate and environment

Example:

Approximately 50 Daphnia pulex in various stages of development from a ten-meter plankton tow using a 100 micron mesh plankton net.

Place a completed NPS natural history label in the storage container for the lot. The label includes the catalog number and other pertinent information and identifies the lot. In some cases components of the lot have their own labels, such as pinned insects. You don't have to affix catalog numbers to individual items in a lot if they don't normally have individual labels.

6. *What do I do if I need to remove specimens from the lot?*

Scientists frequently borrow specimens for identification purposes. You need to track specimens that you remove from a lot temporarily for study. Record the following information:

- a full description and count of the specimens
- the name of the person who will be responsible for them
- where they will be kept
- the date they were removed
- the date they are to be returned

If the specimens…	*Then track them…*
will be gone for less than 30 days,	with a Receipt for Property, Form DI-105.
will be gone for more than 30 days,	with an Outgoing Loan Agreement, Form 10-127

Refer to Chapter 5 in this handbook for information about loans.

Place an Object Temporary Removal Slip, Form 10-97, or a note with the remainder of the lot. Refer to Section II in Chapter 4 of this handbook for information about Form 10-97. Record the same information on the note as in the list above. Use black ink on acid-free paper.

7. *What if specimens in a lot are recataloged?*

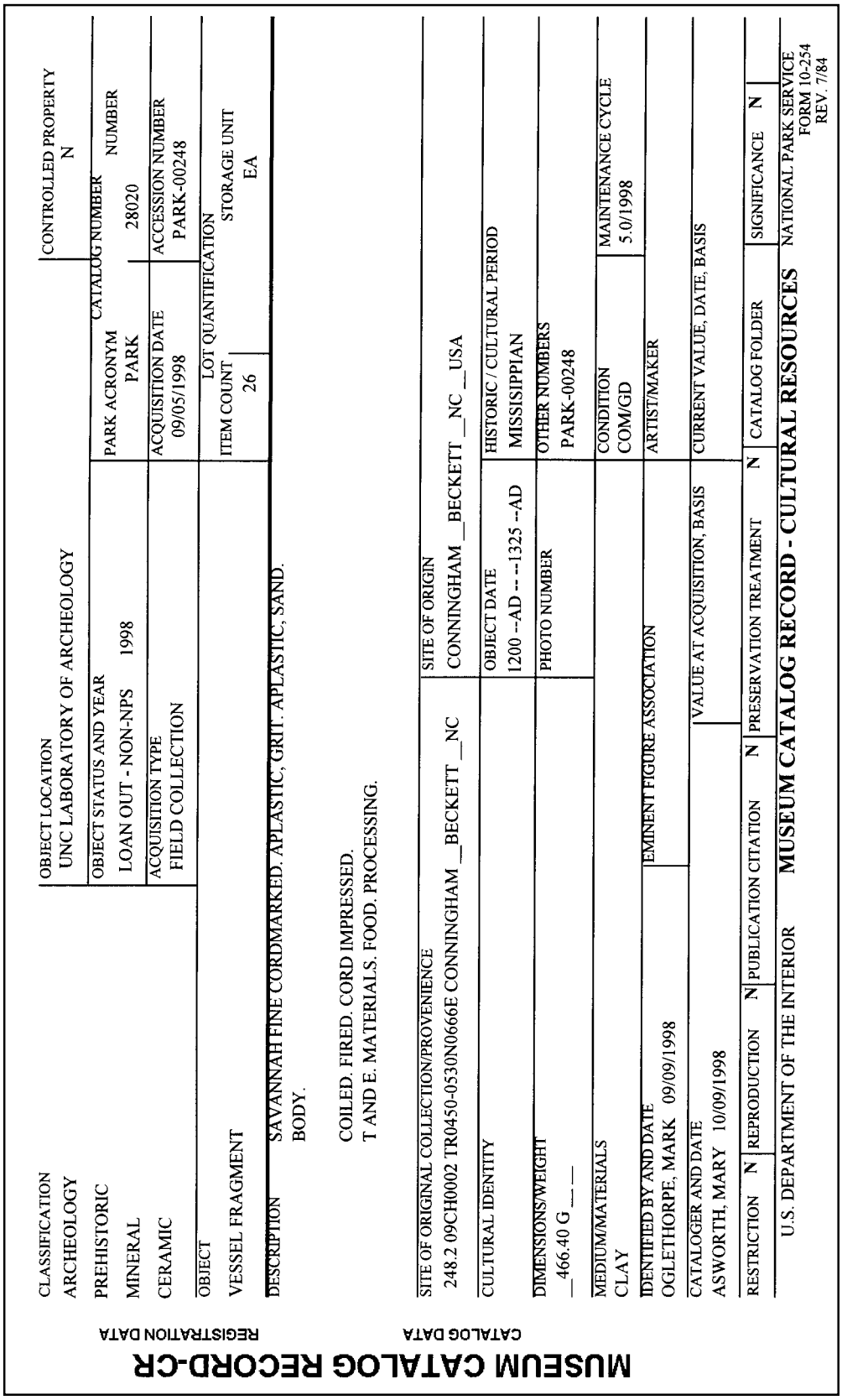
In the course of future study, it is likely that researchers will identify or re-identify specimens within a lot. Assign individual catalog numbers to single specimens or smaller lots of specimens. For example, a specialist may use environmental monitoring samples to document changes in species diversity over a period of twenty years. During that time, the specialist may identify all or some of the specimens in the original lot. As this happens:

- store the identified specimens with other fully identified specimens of the same or related taxon
- cross-reference to the catalog record for the original lot
- adjust the Item Count field for the original lot to show the removal of specimens
- include a cross-reference on the original record to the catalog records for specimens that have been removed from the lot

Note: If a specialist identifies many specimens of a single species from a lot, you can create another lot catalog record at the species level.

D. List of Figures

Figure I.1 Completed Catalog Record – Lot Cataloging (Archeology)
Figure I.2 Completed Catalog Record – Lot Cataloging (Archeology)
Figure I.3 Completed Catalog Record – Lot Cataloging (History)
Figure I.4 Completed Catalog Record – Lot Cataloging (Biology)
Figure I.5 Completed Catalog Record – Lot Cataloging (Geology)



MUSEUM CATALOG RECORD-CR

REGISTRATION DATA

CLASSIFICATION
ARCHEOLOGY

PREHISTORIC

MINERAL

CERAMIC

OBJECT LOCATION
UNC LABORATORY OF ARCHEOLOGY

CONTROLLED PROPERTY
N

OBJECT STATUS AND YEAR
LOAN OUT - NON-NPS 1998

PARK ACRONYM
PARK

CATALOG NUMBER
28020

NUMBER

ACQUISITION TYPE
FIELD COLLECTION

ACQUISITION DATE
09/05/1998

ACCESSION NUMBER
PARK-00248

OBJECT
VESSEL FRAGMENT

ITEM COUNT
26

LOT QUANTIFICATION
STORAGE UNIT
EA

DESCRIPTION SAVANNAH FINE CORDMARKED. APLASTIC, GRIT. APLASTIC, SAND.
BODY.

COILED. FIRED. CORD IMPRESSED.
T AND E. MATERIALS. FOOD. PROCESSING.

CATALOG DATA

SITE OF ORIGINAL COLLECTION/PROVENIENCE
248.2 09CH0002 TR0450-0530N0666E CONNINGHAM __BECKETT __NC

SITE OF ORIGIN
CONNINGHAM __BECKETT __NC __USA

CULTURAL IDENTITY

OBJECT DATE
1200 --AD -- --1325 --AD

HISTORIC / CULTURAL PERIOD
MISSISIPPIAN

DIMENSIONS/WEIGHT
__466.40 G __ __

PHOTO NUMBER

OTHER NUMBERS
PARK-00248

MEDIUM/MATERIALS
CLAY

CONDITION
COM/GD

MAINTENANCE CYCLE
5.0/1998

IDENTIFIED BY AND DATE
OGLETHORPE, MARK 09/09/1998

EMINENT FIGURE ASSOCIATION

ARTIST/MAKER

CATALOGER AND DATE
ASWORTH, MARY 10/09/1998

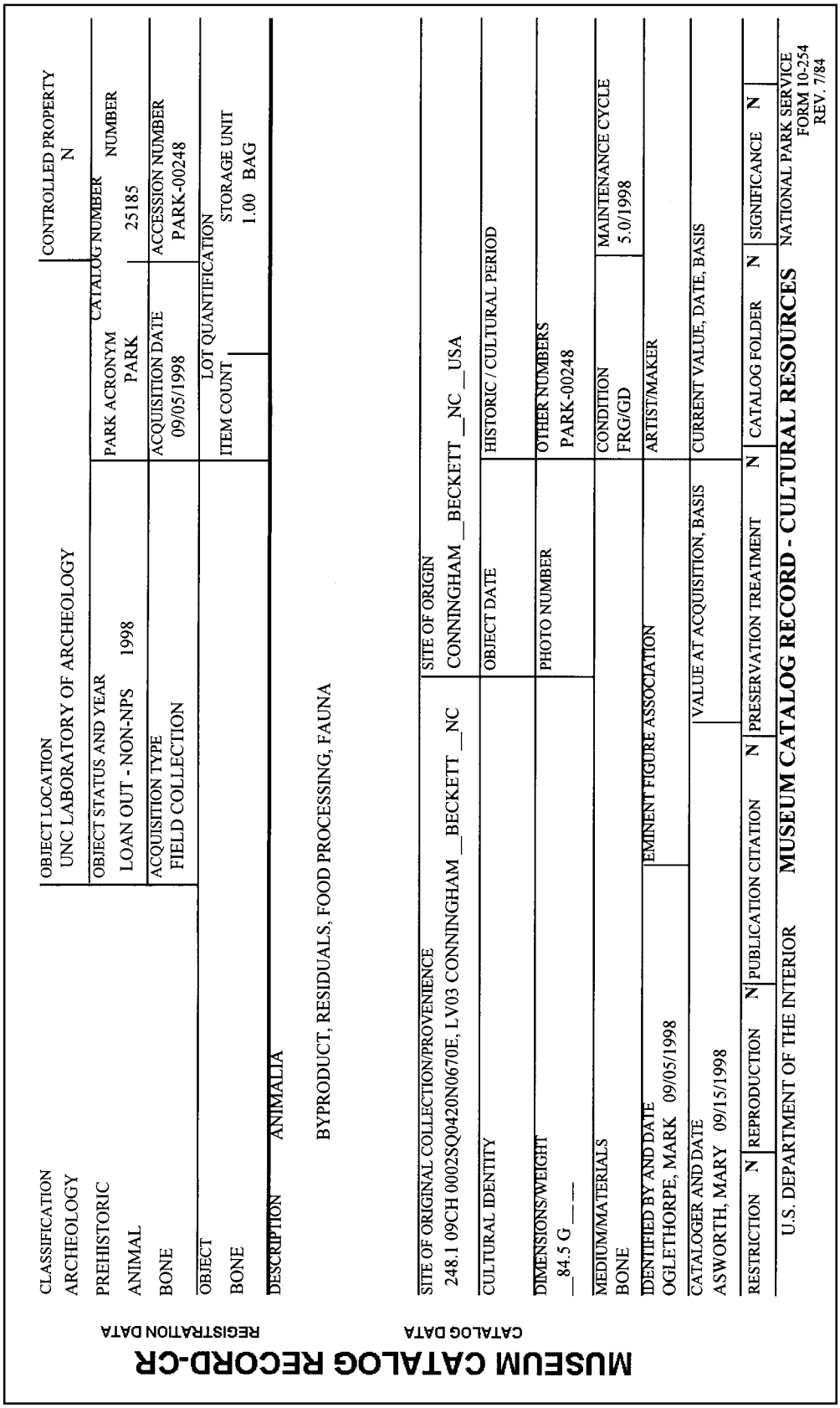
VALUE AT ACQUISITION, BASIS

CURRENT VALUE, DATE, BASIS

RESTRICTION N | REPRODUCTION N | PUBLICATION CITATION N | PRESERVATION TREATMENT N | CATALOG FOLDER | SIGNIFICANCE N

U.S. DEPARTMENT OF THE INTERIOR **MUSEUM CATALOG RECORD - CULTURAL RESOURCES** NATIONAL PARK SERVICE
FORM 10-254
REV. 7/84

Figure I.1. Completed Catalog Record – Lot Cataloging (Archeology)



MUSEUM CATALOG RECORD-CR

REGISTRATION DATA

CLASSIFICATION
ARCHEOLOGY
PREHISTORIC
ANIMAL
BONE

OBJECT LOCATION
UNC LABORATORY OF ARCHEOLOGY

OBJECT STATUS AND YEAR
LOAN OUT - NON-NPS 1998

ACQUISITION TYPE
FIELD COLLECTION

CONTROLLED PROPERTY
N

CATALOG NUMBER

PARK ACRONYM
PARK

NUMBER
25185

ACQUISITION DATE
09/05/1998

ACCESSION NUMBER
PARK-00248

OBJECT
BONE

LOT QUANTIFICATION

ITEM COUNT

STORAGE UNIT
1.00 BAG

DESCRIPTION ANIMALIA

BYPRODUCT, RESIDUALS, FOOD PROCESSING, FAUNA

CATALOG DATA

SITE OF ORIGINAL COLLECTION/PROVENIENCE
248.1 09CH 0002SQ0420N0670E, LV03 CONNINGHAM __BECKETT __NC

SITE OF ORIGIN
CONNINGHAM __BECKETT __NC __USA

CULTURAL IDENTITY

OBJECT DATE

HISTORIC / CULTURAL PERIOD

DIMENSIONS/WEIGHT
__84.5 G ___

PHOTO NUMBER

OTHER NUMBERS
PARK-00248

MEDIUM/MATERIALS
BONE

CONDITION
FRG/GD

MAINTENANCE CYCLE
5.0/1998

IDENTIFIED BY AND DATE
OGLETHORPE, MARK 09/05/1998

EMINENT FIGURE ASSOCIATION

ARTIST/MAKER

CATALOGER AND DATE
ASWORTH, MARY 09/15/1998

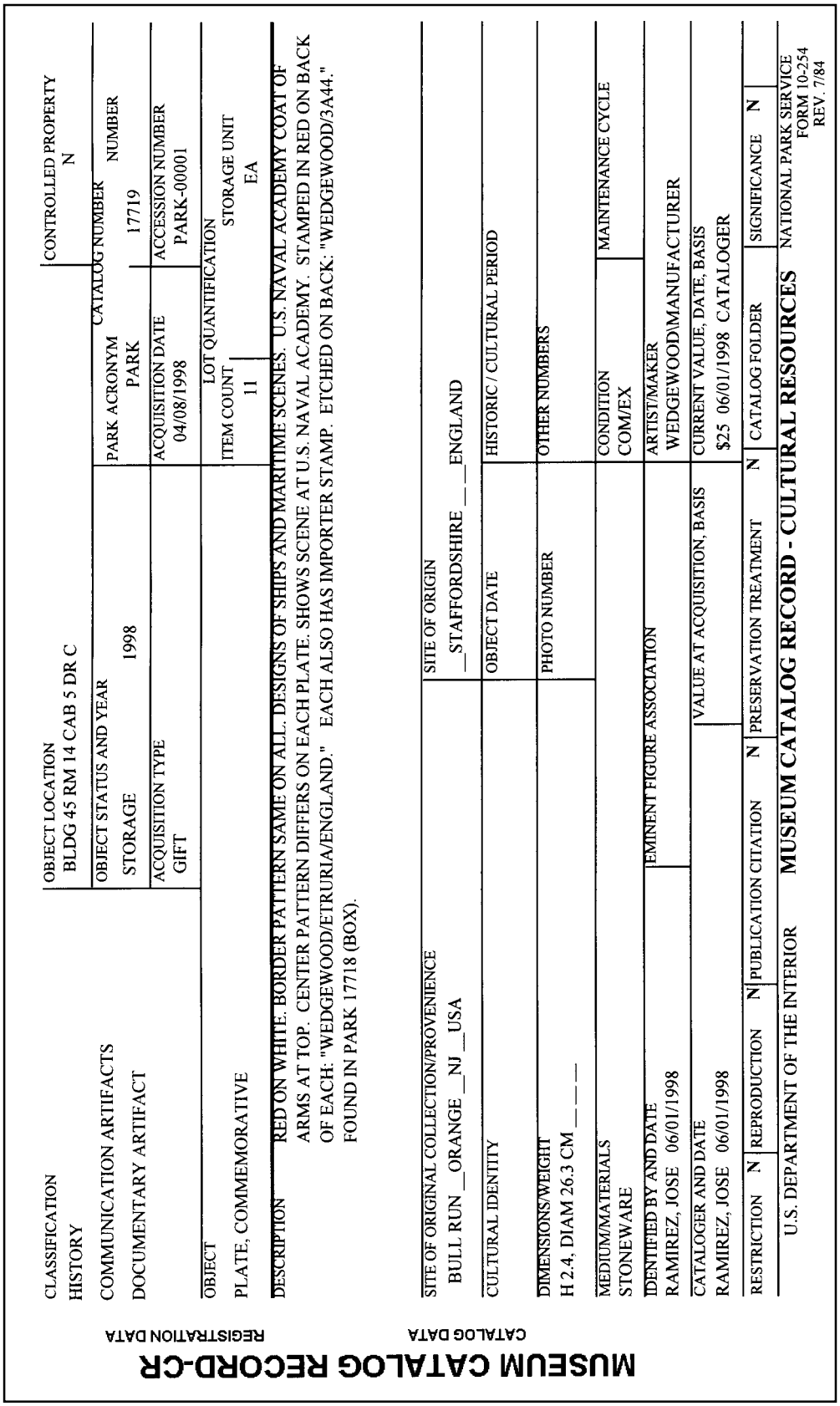
VALUE AT ACQUISITION, BASIS

CURRENT VALUE, DATE, BASIS

RESTRICTION N REPRODUCTION N PUBLICATION CITATION N PRESERVATION TREATMENT N CATALOG FOLDER N SIGNIFICANCE N

U.S. DEPARTMENT OF THE INTERIOR MUSEUM CATALOG RECORD - CULTURAL RESOURCES NATIONAL PARK SERVICE
FORM 10-254
REV. 7/84

Figure I.2. Completed Catalog Record – Lot Cataloging (Archeology)



MUSEUM CATALOG RECORD-CR

REGISTRATION DATA

CLASSIFICATION
HISTORY

OBJECT LOCATION
BLDG 45 RM 14 CAB 5 DR C

CONTROLLED PROPERTY
N

COMMUNICATION ARTIFACTS

DOCUMENTARY ARTIFACT

OBJECT STATUS AND YEAR
STORAGE 1998

PARK ACRONYM
PARK

CATALOG NUMBER
17719

NUMBER

ACQUISITION TYPE
GIFT

ACQUISITION DATE
04/08/1998

ACCESSION NUMBER
PARK-00001

OBJECT

PLATE, COMMEMORATIVE

LOT QUANTIFICATION
ITEM COUNT 11

STORAGE UNIT
EA

DESCRIPTION RED ON WHITE. BORDER PATTERN SAME ON ALL. DESIGNS OF SHIPS AND MARITIME SCENES. U.S. NAVAL ACADEMY COAT OF ARMS AT TOP. CENTER PATTERN DIFFERS ON EACH PLATE. SHOWS SCENE AT U.S. NAVAL ACADEMY. STAMPED IN RED ON BACK OF EACH: "WEDGEWOOD/ETRURIA/ENGLAND." EACH ALSO HAS IMPORTER STAMP. ETCHED ON BACK: "WEDGEWOOD/3A44." FOUND IN PARK 17718 (BOX).

CATALOG DATA

SITE OF ORIGINAL COLLECTION/PROVENIENCE
BULL RUN __ORANGE __NJ __USA

SITE OF ORIGIN
__STAFFORDSHIRE __ENGLAND

CULTURAL IDENTITY

OBJECT DATE

HISTORIC / CULTURAL PERIOD

DIMENSIONS/WEIGHT
H 2.4, DIAM 26.3 CM __ __ __

PHOTO NUMBER

OTHER NUMBERS

MEDIUM/MATERIALS
STONEWARE

CONDITION
COM/EX

MAINTENANCE CYCLE

IDENTIFIED BY AND DATE
RAMIREZ, JOSE 06/01/1998

EMINENT FIGURE ASSOCIATION

ARTIST/MAKER
WEDGEWOOD/MANUFACTURER

CATALOGER AND DATE
RAMIREZ, JOSE 06/01/1998

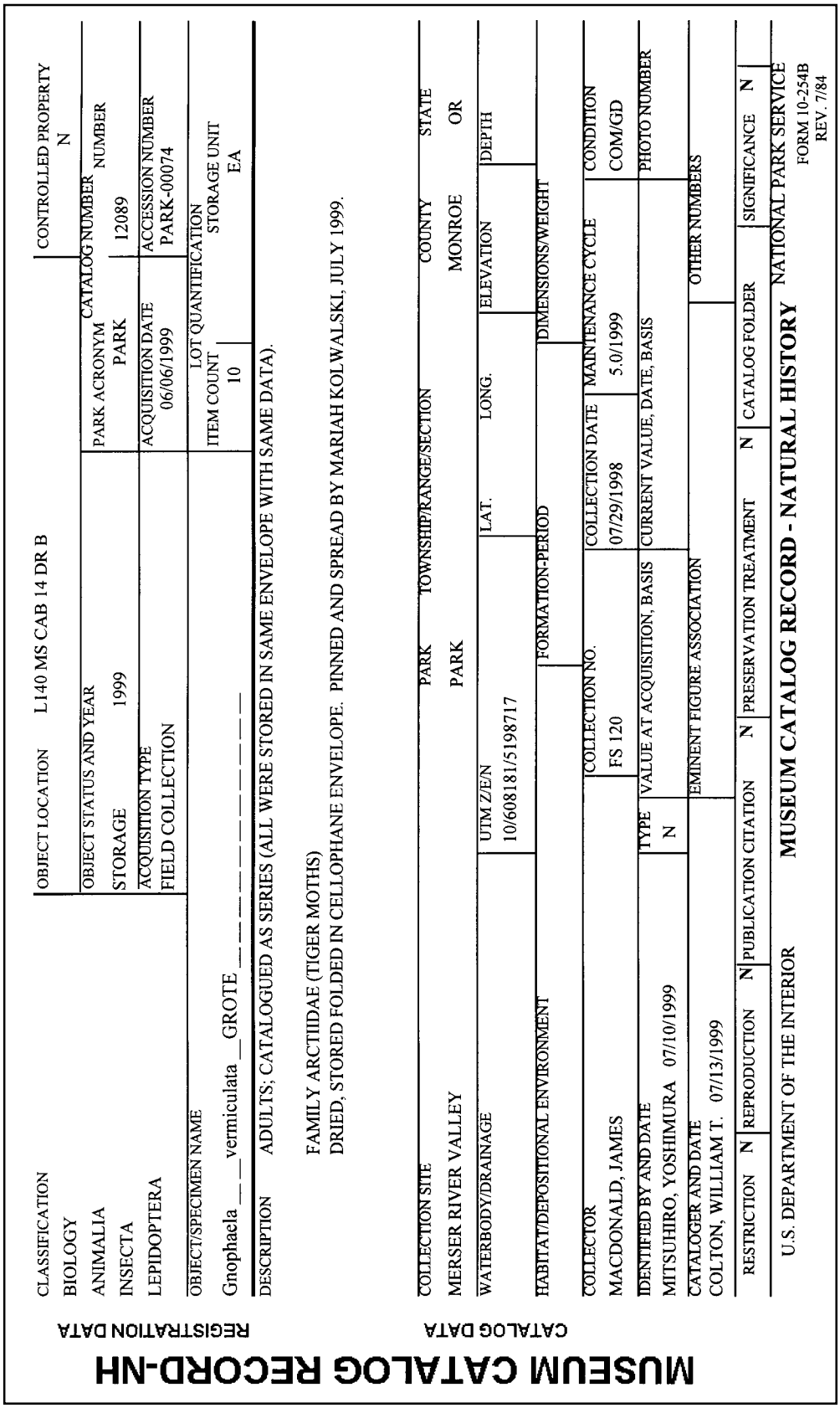
VALUE AT ACQUISITION, BASIS

CURRENT VALUE, DATE, BASIS
$25 06/01/1998 CATALOGER

RESTRICTION N REPRODUCTION N PUBLICATION CITATION N PRESERVATION TREATMENT N CATALOG FOLDER SIGNIFICANCE N

U.S. DEPARTMENT OF THE INTERIOR MUSEUM CATALOG RECORD - CULTURAL RESOURCES NATIONAL PARK SERVICE
FORM 10-254
REV. 7/84

Figure I.3. Completed Catalog Record – Lot Cataloging (History)



MUSEUM CATALOG RECORD-NH

REGISTRATION DATA

CLASSIFICATION
BIOLOGY
ANIMALIA
INSECTA
LEPIDOPTERA

OBJECT LOCATION L140 MS CAB 14 DR B

CONTROLLED PROPERTY N

OBJECT STATUS AND YEAR
STORAGE 1999

PARK ACRONYM PARK

CATALOG NUMBER 12089

NUMBER

ACQUISITION TYPE
FIELD COLLECTION

ACQUISITION DATE 06/06/1999

ACCESSION NUMBER PARK-00074

OBJECT/SPECIMEN NAME
Gnophaela __ __ vermiculata __ GROTE __ __ __ __ __ __ __ __ __ __ __ __

LOT QUANTIFICATION
ITEM COUNT 10

STORAGE UNIT EA

DESCRIPTION ADULTS; CATALOGUED AS SERIES (ALL WERE STORED IN SAME ENVELOPE WITH SAME DATA).

FAMILY ARCTIIDAE (TIGER MOTHS)
DRIED, STORED FOLDED IN CELLOPHANE ENVELOPE. PINNED AND SPREAD BY MARIAH KOLWALSKI, JULY 1999.

CATALOG DATA

COLLECTION SITE
MERSER RIVER VALLEY

PARK
PARK

TOWNSHIP/RANGE/SECTION

COUNTY MONROE

STATE OR

WATERBODY/DRAINAGE

UTM Z/E/N
10/608181/5198717

LAT.

LONG.

ELEVATION

DEPTH

HABITAT/DEPOSITIONAL ENVIRONMENT

FORMATION-PERIOD

DIMENSIONS/WEIGHT

COLLECTOR
MACDONALD, JAMES

COLLECTION NO.
FS 120

COLLECTION DATE
07/29/1998

MAINTENANCE CYCLE
5.0/1999

CONDITION
COM/GD

IDENTIFIED BY AND DATE
MITSUHIRO, YOSHIMURA 07/10/1999

TYPE
N

VALUE AT ACQUISITION, BASIS

CURRENT VALUE, DATE, BASIS

PHOTO NUMBER

CATALOGER AND DATE
COLTON, WILLIAM T. 07/13/1999

EMINENT FIGURE ASSOCIATION

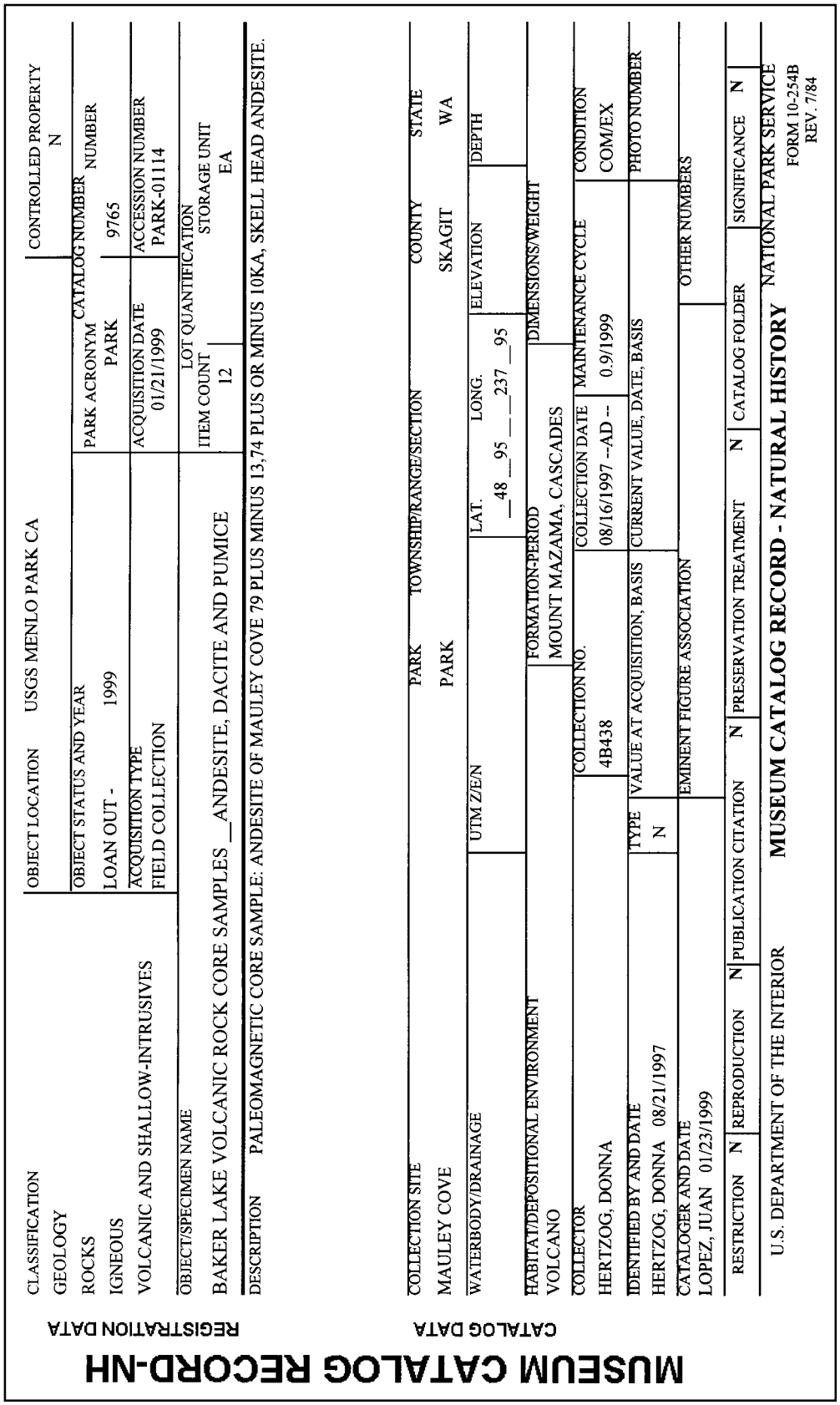
OTHER NUMBERS

RESTRICTION N | REPRODUCTION N | PUBLICATION CITATION N | PRESERVATION TREATMENT N | CATALOG FOLDER | SIGNIFICANCE N

U.S. DEPARTMENT OF THE INTERIOR **MUSEUM CATALOG RECORD - NATURAL HISTORY** NATIONAL PARK SERVICE

FORM 10-254B
REV. 7/84

Figure I.4. Completed Catalog Record – Lot Cataloging (Biology)



MUSEUM CATALOG RECORD-NH

REGISTRATION DATA

CLASSIFICATION
GEOLOGY
ROCKS
IGNEOUS
VOLCANIC AND SHALLOW-INTRUSIVES

OBJECT LOCATION USGS MENLO PARK CA

OBJECT STATUS AND YEAR
LOAN OUT - 1999

ACQUISITION TYPE
FIELD COLLECTION

PARK ACRONYM
PARK

CATALOG NUMBER
9765

CONTROLLED PROPERTY
N

ACQUISITION DATE
01/21/1999

ACCESSION NUMBER
PARK-01114

LOT QUANTIFICATION
ITEM COUNT
12

STORAGE UNIT
EA

OBJECT/SPECIMEN NAME
BAKER LAKE VOLCANIC ROCK CORE SAMPLES __ANDESITE, DACITE AND PUMICE

DESCRIPTION PALEOMAGNETIC CORE SAMPLE: ANDESITE OF MAULEY COVE 79 PLUS MINUS 13,74 PLUS OR MINUS 10KA, SKELL HEAD ANDESITE.

CATALOG DATA

COLLECTION SITE
MAULEY COVE

PARK
PARK

TOWNSHIP/RANGE/SECTION

COUNTY
SKAGIT

STATE
WA

WATERBODY/DRAINAGE

UTM Z/E/N

LAT.
__48__95

LONG.
__237__95

ELEVATION

DEPTH

HABITAT/DEPOSITIONAL ENVIRONMENT
VOLCANO

FORMATION-PERIOD
MOUNT MAZAMA, CASCADES

DIMENSIONS/WEIGHT

COLLECTOR
HERTZOG, DONNA

COLLECTION NO.
4B438

COLLECTION DATE
08/16/1997 --AD --

MAINTENANCE CYCLE
0.9/1999

CONDITION
COM/EX

IDENTIFIED BY AND DATE
HERTZOG, DONNA 08/21/1997

TYPE
N

VALUE AT ACQUISITION, BASIS

CURRENT VALUE, DATE, BASIS

PHOTO NUMBER

CATALOGER AND DATE
LOPEZ, JUAN 01/23/1999

EMINENT FIGURE ASSOCIATION

OTHER NUMBERS

RESTRICTION N

REPRODUCTION N

PUBLICATION CITATION N

PRESERVATION TREATMENT N

CATALOG FOLDER

SIGNIFICANCE N

U.S. DEPARTMENT OF THE INTERIOR

MUSEUM CATALOG RECORD - NATURAL HISTORY

NATIONAL PARK SERVICE

FORM 10-254B
REV. 7/84

Figure I.5. Completed Catalog Record – Log Cataloging (Geology)

Appendix J: Marking

Page

A. Marking Guidelines J:1
Why do I mark museum objects with a catalog number? J:1
When should I mark the number on the object? J:1
What are the general rules for marking objects? J:1
Can I tag objects in addition to marking them with a catalog number? J:1
How do I mark objects that are on loan to my park? J:2
Are there marking techniques that I can't use? J:2
What if I have objects in my collection that have been marked or tagged with incorrect materials? J:3
What should I do about previous catalog numbers from former owners? J:3
Can I use bar codes to mark objects? J:3
Should I remove numbers from objects that I deaccession? J:3

B. Applying and Removing Numbers J:3
What is the most common technique for marking numbers on objects? J:3
What tools and materials do I need for marking objects with lacquer and ink? J:4
How do I apply the number? J:4
When do I remove a catalog number from an object? J:5
How do I remove a catalog number from an object? J:5

C. Marking Human Remains J:5
Are there special procedures for marking human remains? J:5
How do I mark human remains? J:5

D. Marking Paper Items J:6
How do I mark paper items? J:6
What tools and supplies do I need for marking paper items? J:6
Where do I mark paper items? J:6
How do I remove an incorrect catalog number from paper items? J:7

E. Plastics, Vinyl, Resins, and Rubber J:7
How do I mark plastics, vinyl, resins, and rubber? J:7
Why can't I use standard labeling practices with these materials? J:7
What tools and supplies can I use to mark plastic, vinyl, resin, and rubber objects? J:7
What are some methods for marking plastics, vinyl, resins, and rubber? J:7
Where do I place the catalog number for different plastic, vinyl, resin, and rubber objects? J:8
How do I attach the catalog number to different plastics, vinyl, resins, and rubber? J:8

F. Marking Textiles J:8
What tools and supplies do I use to mark textiles? J:8
How do I mark textiles? J:9
Where do I place the catalog number on textiles? J:9
How do I attach the catalog number to textiles? J:9
How do I remove an incorrect catalog number from textiles? J:10

G. Large and Small Objects and Unstable Surfaces J:10
Are there special techniques for marking large objects? J:10
What are the tools and supplies I'll need to mark large objects? J:10
How do I paint numbers on large objects? J:10
Where do I place the catalog number for large objects? J:10
How do I remove an incorrect catalog number? J:11

Are there special techniques for marking small objects? J:11
How do I mark objects that have unstable surfaces? J:11

H. Leather and Baskets J:11
How do I mark soft leather and hide? J:11
How do I mark baskets, mats, bark cloth, and other fibrous materials? J:11

I. Numbering Component Parts, Pairs, and Sets J:11
How do I number objects with component parts? J:11
How do I number pairs? J:12
How do I number sets and kits? J:12

J. Number Location for Specific Types of Objects J:12

K. Natural History Specimens J:15
What are natural history specimen labels? J:15
Who completes the natural history specimen label? J:15
What if the labels on my specimens are incomplete? J:15
When do I create new NPS labels? J:15
Where can I get natural history labels? J:15
What kind of supplies do I need to mark and label natural history specimens? J:15
How do I mark a number on a natural history specimen? J:15
How do I mark plant specimens? J:16
How do I mark vertebrate specimens? J:16
How do I mark invertebrate specimens? J:17
How do I mark paleontology specimens? J:17
How do I mark geology specimens? J:18
How do I mark microscopic specimens? J:18
When do I use an annotation label? J:18

APPENDIX J: MARKING

A. Marking Guidelines

1. *Why do I mark museum objects with a catalog number?*

The catalog number on the object links the object with the catalog record, the accession records, and other documentation. The catalog number identifies the object. You need it for accountability and access. Mark all objects in the park's permanent museum collection with a catalog number that includes the:

- park acronym
- collection designator (if applicable)
- unique number

Example: INDE 3487

2. *When should I mark the number on the object?*

Mark objects as part of the cataloging process. Mark the object at the same time that you complete the catalog record. Don't mark numbers on objects until you are ready to catalog them. It's a lot easier to change a catalog number in ANCS+ than to remove a number from an object. You also run the risk of assigning duplicate catalog numbers if you mark numbers on the objects before you catalog them.

3. *What are the general rules for marking objects?*

There are different techniques for marking different types of materials, but every catalog number should be:

- legible and easily found (don't place the catalog number on the underside of a heavy object)
- durable but not damaging
- in a location that doesn't detract from the scientific, historic, aesthetic or intrinsic value of the object (doesn't cover any diagnostic or potentially informative features)
- unobtrusive (not directly visible when the object is on display)
- in a location where it won't receive excessive wear
- secure enough that it cannot be removed accidentally
- reversible

It's much easier to find catalog numbers if you place them in the same position on similar objects. For example, number framed images on the reverse lower right corner.

4. *Can I tag objects in addition to marking them with a catalog number?*

Yes. In addition to the permanent catalog number, you may want to tag objects in storage. Tags make it easier to identify and find objects and reduce handling. Use an acid-free, cotton tag with cotton string, and place it in a visible location. Don't use metal-rimmed tags. Don't attach tags with tape or glue. Don't place the tag on weak parts of the object.

5. *How do I mark objects that*

Never mark a number on objects that are on loan to the park. Attach an acid-free tag to the object using cotton string.

are on loan to my park?

If a tag is too obtrusive for a loan that is on exhibit, keep a detailed list of the catalog numbers for the loaned objects in the exhibit. Note the location of each loaned object in the exhibit and take photos to identify each object.

You don't have to catalog objects on loan to your park for less than a year. Use the lender's catalog number, if available, for tracking purposes.

Note: NPS centers and non-NPS repositories receive incoming loans from parks for the purposes of curation and storage. The center or repository marks the park catalog number on the objects as part of the cataloging process.

6. *Are there marking techniques that I can't use?*

Yes. Don't use any technique that permanently alters the object, such as etching, scribing, imprinting, stamping, engraving, or scratching. These methods are irreversible and permanently alter the object.

You can stamp, etch, or otherwise mark "Reproduction" on objects that are reproductions. For contemporary reproductions, you can add the craftperson's name and the date. Refer to Section IV in Chapter 4 of this handbook and the *MH-III*, Chapter 5: Three-Dimensional Reproductions, for information on reproductions.

Don't use the following materials:

- epoxy and cement
- nail-on tags
- nail polish and nail polish remover
- pressure sensitive tapes and labels (cellophane, masking, plastic, and adhesive)
- rubber cement
- spray varnishes
- typewriter correction fluid
- tags attached with wire
- staples or paper clips
- paint or ink on paper documents

7. *What if I have objects in my collection that have been marked or tagged with incorrect materials?*

Consult with a conservator about removing old numbers and tags. Some old numbers and tags may be historically important and shouldn't be removed. Place any tags you remove in the catalog or accession folder. If a tag will be destroyed during removal, copy the information, and place it in the catalog or accession folder.

8. *What should I do about previous catalog numbers from former owners?*

Previous catalog numbers are part of the documentation for the object. Don't remove these numbers unless:

- confusion with park numbers is likely
- the number is causing damage to the object
- the number occupies space needed for the park number

Never remove field specimen numbers.

Note: If you must remove a previous owner's numbers, consult a conservator. You will have to test for the correct solvent before removing the number.

Place tags you remove in the catalog or accession folder.

If a tag will be destroyed during removal, copy the information and place it in the catalog or accession folder.

9. *Can I use bar codes to mark objects?*

No. Some NPS centers are using bar codes successfully to help track the movement of objects. Bar codes require the use of a software package to produce them, a printer to print them, and a scanner to read them. At present, bar codes are not a substitute for marking the catalog number on an object. The bar code tags can become separated from the objects. There are still no satisfactory methods of adhering the tags to most objects.

10. *Should I remove numbers from objects that I deaccession?*

No. Let the recipient decide whether to remove the numbers.

B. Applying and Removing Numbers

1. *What is the most common technique for marking numbers on objects?*

You will usually use lacquer and ink when numbering museum objects. Use this method for all objects except:

- incoming loans
- paper
- textiles
- objects with unstable surfaces
- plastics, vinyl, resins, and rubber
- some natural history specimens

Refer to Sections C-J in this appendix for information on marking specific

materials.

2. *What tools and materials do I need for marking objects with lacquer and ink?*

You'll need these tools and materials to mark objects with lacquer and ink:

- clear lacquer (Acryloid B-72® acrylic resin/acetone)
- white lacquer (Acryloid B-72® acrylic resin/acetone with titanium dioxide white pigment)
- permanent waterproof ink (Higgins® Black Magic® or Pelikan 17)
- technical pen (Rapidograph®), or crowquill pen
- acetone and cotton swabs for cleaning surfaces and removal of lacquer to correct errors, if needed
- artist brushes

3. *How do I apply the number?*

To apply the number:

- Make sure the area is clean and free of dust.
- Apply a small rectangle of clear or white lacquer on the object using a small artist's brush or cap brush. Use clear lacquer on light objects and white lacquer on dark objects. Usually a spot 1/8" wide by 3/8" long is sufficient.
- Allow the lacquer to dry thoroughly.
- Write the catalog number on the spot, using permanent black ink and a crowquill or Rapidograph® pen. Keep a small jar of ammonia and water handy for cleaning pen tips.
- Allow the ink to dry. Drying times will vary depending on the material and climate.
- Cover the number with a coat of clear lacquer to protect it. The clear lacquer topcoat should extend just beyond the lacquer primer rectangle.

Refer to Conserve 0 Gram 1/4, Use of Acryloid B-72 Lacquer for Labeling Museum Objects, for detailed instructions on applying catalog numbers.

Apply numbers in a well-ventilated area, and use latex or cotton gloves when marking metal objects.

Note: You can get Material Data Sheets on Acryloid B-72 and acetone from the Supply and Equipment Program of the Museum Management Program.

4. *When do I remove a catalog number from an object?*

Remove a catalog number only when necessary. You will need to remove numbers when the:

- number is incorrect
- ink smears
- object is removed from a lot and individually cataloged

When in doubt, consult your regional/support office (SO) curator or a conservator before removing numbers.

Refer to Section A.8 for information about catalog numbers from previous owners.

5. *How do I remove a catalog number from an object?*

Before you remove a catalog number, you need to know what marking materials were used on the object. Check with a conservator if you're not sure. Be aware that removing numbers can alter the object. For example, you may lose a small amount of the finish on finished wooden objects.

Before 1987 the NPS used shellac for marking objects. Remove shellac with denatured alcohol.

In early 1987, the NPS issued a cellulose nitrate lacquer (clear and white) from GSA. In April 1987, the NPS switched to the acrylic lacquer (clear and white) currently in use. You can remove all these lacquers with acetone, but check to make sure there is no shellac overcoat. Sometimes lacquer was used with a shellac overcoat.

To remove the number:

- Make sure you work in a well-ventilated area.
- Apply a small amount of solvent with a cotton swab. The material is carried into the swab rather than diluted and absorbed into the object.

C. Marking Human Remains

1. *Are there special procedures for marking human remains?*

Yes. Consult with affiliated groups about marking human remains. It may be inappropriate to place catalog numbers on these items. An alternative is to mark or tag the container.

2. *How do I mark human remains?*

To mark cremations:

- Completely enclose the burial vessel with unbleached muslin and fasten it with cotton twill tape.
- Attach the catalog number and any other labels to the twill tape. Use acid-free paper or Tyvek® for the labels.

To mark inhumations:

- Group small bones by type and place them in a polyethylene bag.

Place an acid-free label in each bag.

- Place the catalog numbers on the storage container.

To mark skeletal remains with soft tissue:

- Place the catalog number on an acid-free tag, and tie the tag to the remains or the storage container.

D. Marking Paper Items

1. *How do I mark paper items?*

Never use ink or indelible pencils to mark paper items. Use #2H, HB or softer pencils only. You want to use a pencil that won't indent but yet is hard enough not to smear. Write lightly, so you don't leave an impression. Place the object on a clean hard surface before numbering it. You can use a sheet of heavy Mylar.

2. *What tools and supplies do I need for marking paper items?*

Use the following tools and supplies when marking paper items:

#2H, HB, or softer pencils
acid-free paper photographic enclosures
Mylar sleeves
archival film pen

3. *Where do I mark paper items?*

There are various locations for marking paper items.

Individually cataloged paper items

Place the catalog number directly and inconspicuously on the reverse side in the lower right corner. If the item has embrittled edges, place the number away from the edge. If the object is in special housing, number the housing as well as the object.

Archival and manuscript collections

Place the catalog number on the folder.

Books

Place the number inside the front cover at the lower edge of the right hand corner, and on the back of the title page at the lower edge of the right hand corner.

Framed objects

Place the catalog number on the frame and object, on the reverse, lower right edge.

Photographs

Place the catalog number on the reverse, lower right edge. If the number wears off you will have to reapply it. If necessary, set up a monitoring cycle to check the catalog numbers for wear.

For photographs in acid-free paper or Mylar enclosures, mark the enclosure. Use an archival film pen on Mylar sleeves. Mark the sleeve before placing the photograph inside.

When working with photographs, remember that inks (ballpoint pen, felt-tip, manuscript, and rubber stamp) may be acidic and can cause fading of silver images.

Never list additional information on the backs of photographs. Use a cross-reference sheet to list information about names of individuals in group shots.

Photographic negatives

Don't mark the negatives directly. Place the number on the acid-free

(including glass plates)

enclosures that hold the negatives. Mark the number on an archival print of the negative to make sure that you don't lose the number.

4. *How do I remove an incorrect catalog number from paper items?*

If you need to remove an incorrect number, use a white vinyl eraser. Avoid abrading the paper by keeping the pressure as light as possible.

E. Plastics, Vinyl, Resins, and Rubber

1. *How do I mark plastics, vinyl, resins, and rubber?*

There's no single method for applying catalog numbers to these materials. Identification of different types of plastics, vinyl, resins, and rubber is difficult. Their chemical compositions vary and can interact negatively with standard labeling materials.

2. *Why can't I use standard labeling practices with these materials?*

Solvents such as acetone and toluene may:

- dissolve the surfaces of some plastics
- cause stress cracking or crazing
- destroy some glossy finishes

Some water-based materials initiate stress cracking over time. In addition, these materials are not reversible in water when dry.

Regular oil paints and their solvents soften or otherwise damage some plastics over time.

Inks often contain metallic elements that can degrade rubber.

3. *What tools and supplies can I use to mark plastic, vinyl, resin, and rubber objects?*

Use the following tools and supplies when marking plastics, vinyl, resins, and rubber:

Teflon® tape (plumbers tape) with archival film pen
Mylar with archival film pen and nylon or Teflon® monofilament
cotton twill tape and pigma pen
acid-free paper tags with pigma pen

4. *What are some methods for marking plastics, vinyl, resins, and rubber?*

If possible, apply the catalog number to a component of the object not made of these materials using standard techniques with lacquer and ink or pencil. If you can't do this, consider doing one of the following:

- Use Teflon® tape (plumbers tape) and an archival film pen.
- Use Mylar, and an archival film pen. (This may be the most unobtusive way to label objects on exhibit.)
- Label the container or object mount.
- Use an acid-free paper tag and pigma pen.
- Use cotton twill tape and a pigma pen.

Write the catalog number on the labeling material before attaching it to the object. See E.6 for information on how to attach the labeling material to the object.

If you need to apply a number directly to an object consult with a conservator.

5. *Where do I place the catalog number for different plastic, vinyl, resin, and rubber objects?*

Placement of the catalog number for objects made of these materials will vary. It depends on the type of object, whether the object is on exhibit, and the labeling technique you use. Place numbers in a consistent location for the same types of objects. Keep in mind standard concerns. The number should be legible, durable, reversible, non-damaging, non-obtrusive, and easily found.

6. *How do I attach the catalog number to different plastics, vinyl, resins, and rubber?*

Make sure you apply the catalog number to the labeling material and allow it to dry before attaching the number to the object. Attach the number in a secure and unobtrusive but easily found location.

If you use…	***Then…***
Teflon® tape or twill tape,	use the tape itself to secure the catalog number to the object.
Mylar,	round the edges of the tag so they can't damage the object, and use chemically inert Teflon® monofilament to secure the tag to the object.
acid-free paper tags,	use cotton string to secure the catalog number to the object.
the mount or container,	use either lacquer and ink or pencil directly on the mount or container. For objects in storage you may place a tag inside the container.

F. Marking Textiles

1. *What tools and supplies do I use to mark textiles?*

Use the following tools and supplies when marking textiles:

cotton twill tape
pigma pen
colorfast cotton thread (Mettler, Guttermann, and cotton quilters thread)
small, sharp needles, various sizes
small, sharp sewing scissors
tweezers

2. *How do I mark textiles?*

Use permanent black ink (pigma pen), cotton twill tape, and colorfast cotton thread to mark textiles. Choose a size and weight of twill appropriate for the object. Use white thread, except for objects on exhibit. Write the catalog number on the cotton twill tape. After the ink has dried thoroughly, baste the tape to the textile.

Baste the linen tape directly onto the textile with colorfast cotton thread. For fragile or open weave items, such as lace, attach the tape with a small loop of thread.

3. *Where do I place the catalog number on textiles?*

Garments

Place the catalog number in the neckband or waistband of the garment. For garments on exhibit, place the number in an unobtrusive location. For example, place the number on the right or left side of the neckband rather than the center. This location will be less visible when the object is on display. If the threads go through the back of the garment where they could be visible, use colorfast cotton thread matching the fabric of the garment.

Flat textiles

For flat textiles, such as rugs, linens, draperies, and flags, place the number on the underside of the garment. Use colored colorfast thread that matches the color of the fabric for items on exhibit.

Rolled textiles

For rolled textiles, place the number so that it is readable without having to unroll the item.

4. *How do I attach the catalog number to textiles?*

Use a basting stitch to attach the twill tape to the textile. Baste all four sides of the twill tape using large stitches. If you only baste the ends of the tape, something could catch between the object and the tape. With a one inch strip of twill tape, you would use one stitch on each end and two on each side.

Keep a loose tension on the thread. Too much tension can stress the textile. Too little tension will leave loose threads that can catch on things and cause damage.

There are two methods for starting and ending your stitches. One method is to use the same holes and go through your first and last stitch twice. This leaves a tail at each end so someone can tell where you started and ended your stitches.

To use the second method, leave a tail with your thread when you start to stitch. After you are done, bring the tail through the second stitch and bring the ending tail back through the third stitch. You'll need tweezers for this technique.

Note: Don't use a knot to start and end your basting. You can pull knots through the fabric causing damage.

For loose weave textiles like lace, loop the string that holds the twill tape label through the weave.

5. *How do I remove an incorrect catalog number from textiles?*

Choose the finest needle that will work for the task. For silk, use numbers 10, 11, 12, or a quilting needle. Rugs may need a number 6 needle. Carefully lift the end of the thread, and pull it gently through the label.

G. Large and Small Objects and Unstable Surfaces

1. *Are there special techniques for marking large objects?*

Yes. Large objects such as wagons, cannons, anchors, and objects kept outdoors need especially durable numbers. Paint the number on the object following the instructions in Section F.3 below. Locate the number in the same place in a protected but accessible area for each type of object.

In addition to the painted number, you may choose to add a supplemental tag. Make sure the tag is attached with something non-abrasive.

You may attach a supplementary stamped or engraved aluminum tag to large outdoor items. Attach these tags with Teflon® tape. This tape is soft, chemically inert, and water, oil, chemical, and insect resistant.

For objects in storage, you can print information on 8 ½ x 11" paper or card stock that you put in a polypropylene bag. Attach the bag to the object with polyester or polypropylene cord in a prominent place.

For objects on exhibit, you may also use a Mylar tag. Round the corners so the sharp corners can't cause damage. This material is resistant to oil, water, and insects. Attach the tag with Teflon® monofilament, or for equipment you can use Teflon® tape.

2. *What are the tools and supplies I'll need to mark large objects?*

Use the following tools and supplies to mark large objects:

aluminum tags
Dymo® labeler (for use with aluminum tags)
engraving or stamping tools (use only on aluminum tags)
pencil or knitting needle
string ties or Teflon® monofilament
Teflon® tape to secure tags
red cadmium or black carbon pigment oil paint
mineral spirits
Tyvek® for labels
Mylar tags

3. *How do I paint numbers on large objects?*

Use mineral spirits to clean and degrease the area where you will apply the catalog number. When it dries, apply the number directly on the object. Use an appropriate size sable brush and cadmium red or black carbon pigment oil paint.

You may need to trim the brush and thin the paint with turpentine. Choose the color of paint based on the color of the object.

4. *Where do I place the catalog number for large objects?*

Apply the number to the right rear of vehicles or boats. Use an out-of-the-way but consistent spot. Because large objects are hard to move, be sure to place the number in an area that is easy to access.

5. *How do I remove an incorrect catalog number?*

While still wet you may remove the paint with VMP Naptha or turpentine.

Once dry, removing the paint will require a strong solvent like methylene chloride. A conservator or qualified member of the staff should perform this task. It's easier to paint over the number with artist's oil paint and reapply the correct number.

6. *Are there special techniques for marking small objects?*

If an object is too small for marking, place the object in a small container, and mark the container. Containers include vials, polyethylene bags, or acid-free envelopes. Place an additional tag inside the container. Tag containers of lot cataloged objects in the same way.

7. *How do I mark objects that have unstable surfaces?*

Some objects may have an uneven, friable, or powdery surface, such as corroded metals or leather objects. Don't use lacquer and ink on these objects. Place the catalog number on an acid-free paper or Tyvek® tag, and attach it with cotton string or polypropylene cord.

H. Leather and Baskets

1. *How do I mark soft leather and hide?*

Don't use lacquer and ink to mark soft leather or hides. You may use lacquer and ink on hard finished leather. Use either an acid-free tag or a textile label to mark soft leather and hide. Use existing holes in the piece to loop the tag through the label, or secure the label to an appendage. When using existing holes, take care not to stress the material.

In some cases, you can mark a component of the object. For example, mark one of the metal pieces of a bridle rather than the leather.

2. *How do I mark baskets, mats, bark cloth, and other fibrous materials?*

On some baskets and fibrous materials it may be difficult to use lacquer and ink because of the narrowness or texture of the fibers. You can apply lacquer and ink to these items, if the surface is firm. When in doubt, use acid-free tags or cotton twill tape. For flat items, place the number on the reverse right corner.

I. Numbering Component Parts, Pairs, and Sets

1. *How do I number objects with component parts?*

Number objects with component parts with the catalog number and the component part designator. Mark each component individually. Each part has a unique lower case suffix.

Example:

Object	Components	Catalog Number on Object
Teapot	Teapot	PARK 5a
	Lid	PARK 5b

See Section I of Appendix C in this handbook for a discussion of component parts. If you need more than 26 letters, double the letters. For example, use 10aa, 10ab, 10ac, and so forth.

Note: Don't use component part designators with biological specimens, such as animal skeletons. Count the bones, and enter this number in the

Item Count field in ANCS+. Mark each bone with the same catalog number. Place bones too small to be individually numbered in a vial with a specimen label showing the catalog number.

2. *How do I number pairs?*

Number pairs, such as a pair of shoes, with the catalog number and a component part designator. Mark each item individually.

Example:

Object	Components	Catalog Number on Object
Spur	Spur	PARK 4511a
	Spur	PARK 4511b

See Section I of Appendix C in this handbook for a discussion of pairs.

3. *How do I number sets and kits?*

Number sets and kits as you would number an object with component parts. Number each piece of the set individually with the catalog number and a component part designator. Each piece has a unique lower case suffix.

Example:

Object	Components	Catalog Number on Object
Kit, Needlework	Thread	PARK 78a
	Thimble	PARK 79b
	Needles	PARK 80c

See Section I of Appendix C in this handbook for a discussion of sets and kits. If you need more than 26 letters, double the letters. For example, use 10aa, 10ab, 10ac, and so forth.

J. Number Location for Specific Types of Objects

As a rule, place the catalog number in the same location on all objects of the same type. The list in this section includes standard locations and techniques for marking various types of objects.

Object	Location	Marking Material
Armor	Inside each element.	lacquer and ink
Baskets	On base. Don't place catalog numbers on a portion of the basket that may conceal diagnostic information. Tag baskets that are fragile.	lacquer and ink or tag
Beads	Place on the edge or on an attached tag. Put the object in a clear vial container or polyethylene bag with a paper label inside.	tag or place in a marked container

Object	Location	Marking Material
Books	On endpaper (blank leaf inside front cover), lower edge near spine, and on lower edge, right hand corner on back of the title page. Loose pages must receive the same catalog number, individually on reverse, lower right.	soft pencil (#2H, HB or softer)
Buttons	On reverse side or same procedure as beads.	tag or place in a marked container
Ceramic, glass, pewter	On the underside, but avoid parts that would be abraded when the object is moved. Label whole ceramic vessels on the exterior base, near the center. Number sherds on the undecorated surface. Use multiple applications of lacquer on porous surfaces to build up a base that will prevent absorbtion of ink.	lacquer and ink
Clothing	Place the number on cotton twill tape, and sew it on the costume to the neckband or waistband. Sew the number on in a location that is easily seen during inventory but not so obvious during exhibition.	sew-on label
Coins	On the edge/rim. *Don't* number mint condition coins. Place the number on the container holding the coin.	lacquer and ink
Documents, photos, prints, letters, postcards, and envelopes	Reverse, lower right corner.	soft pencil (#2H, HB or softer)
Dolls wooden or china head	Back of neck or bottom of foot.	lacquer and ink
Firearms	Inside trigger-guard, or on the breech of the barrel opposite the lock, or on the lower right butt.	lacquer and ink
Flags/pennants/ banners	Reverse side at top of hoisting edge.	sew-on label
Framed image	Reverse, lower right corner of frame.	lacquer and ink
Furniture	Near the inside top of the right rear leg; or for pieces without legs, on the right side near rear corner. Number heavy objects on the right side/leg at the base. Place number so it can be seen easily during inventory, but not obvious when on exhibit.	
beds	Top of back, right headpost or foot rail.	lacquer and ink
trunk/chest	Top right corner of back.	lacquer and ink
chairs, sofas	Top right of back leg, or seat frame.	lacquer and ink

Object	Location	Marking Material
mirrors	Lower right corner of back of frame.	lacquer and ink
stoves	Top right corner of back.	lacquer and ink
tables	Apron or top right corner of a leg at one end of table.	lacquer and ink
Jewelry	Smooth surface on the right lower corner on reverse side. Number cotton twill tape and sew around necklaces, bracelets, and rings.	lacquer and ink or cotton twill tape
Model vehicles, boats	Right side of back end or stern.	lacquer and ink
Paintings	Reverse, lower right corner. Number both stretcher and frame, in case they are separated. *Don't* place numbers or labels on the front or back of the canvas. For heavy frames that are difficult to remove from the wall, use the lower right corner on the side of the frame. Number scroll paintings on the scroll knob.	lacquer and ink
Rugs, tapestries, and drapes	Reverse side, lower right corner.	sew-on label
Scabbard	On reverse of the throat, at top, or (absent a throat) on the body near an opening.	lacquer and ink
Scrapbooks, albums	Lower corner near spine inside front cover.	soft pencil (#2H, HB or softer)
Sculpture in the round	At the rear of the base near the bottom; also at the lower edge of the back of pedestal.	lacquer and ink
Sculpture in relief	Lower right of back or edge in an inconspicuous place.	lacquer and ink
Stamps	Write the number on the back of the stamp with a soft pencil. You can also place stamps in acid-free containers, and label the container.	soft pencil (#2H, HB or softer) or place in a marked container
Stone	On base center. Don't put a number on flaking areas.	lacquer and ink
Swords, daggers, and knives	On reverse of the blade, on ricasso just below the counter guard, if it will not likely be scraped off by the scabbard.	lacquer and ink
Tools	Working part of tool (on head rather than on handle.)	lacquer and ink

For further information on placement of numbers see *The New Museum Registration Methods*, Washington, DC: American Association of Museums, 1998.

K. Natural History Specimens

1. *What are natural history specimen labels?*

The NPS uses standardized natural history specimen labels to identify all natural history museum collections. These labels are mandatory for all natural history specimens. See Appendix H in this handbook for a description and illustrations of the labels and their uses. Appendix H is in a separate notebook.

2. *Who completes the natural history specimen label?*

The collector or specialist usually completes the label. The accession and catalog numbers are added to the label after the specimen is cataloged. This may be done by park staff, the collector, or the repository that manages the specimens. Refer to Section VI in Chapter 4 of this handbook for information on following regulations for cataloging natural history specimens.

3. *What if the labels on my specimens are incomplete?*

Complete them using data provided by the collector. Follow the instructions in Appendix H of this handbook.

4. *When do I create new NPS labels?*

Only remove old labels if they are damaging the specimen. If you must remove the old label, place it in the accession or catalog folder. Never discard old labels!

Don't remove clearly legible, well-attached collector labels that have much of the information required on NPS specimen labels. Add any additional or new information, such as accession and catalog numbers, to the NPS label, and keep both labels with the specimen.

5. *Where can I get natural history labels?*

ANCS+ can produce all the required natural history labels. The program also completes most of the information on the label from data you enter on the catalog record. Use acid-free paper to produce labels.

6. *What kind of supplies do I need to mark and label natural history specimens?*

Use the following supplies to mark and label natural history specimens:

acid-free NPS natural history labels
glue for labels (white glue such as Elmers glue)
permanent, waterproof black ink
clear lacquer for rocks and minerals (Acryloid B-72® acrylic resin/acetone)
white lacquer for rocks and minerals (Acryloid B-72® acrylic resin/acetone with titanium dioxide white pigment)
acetone
polyvinyl acetate adhesive 5% in ethanol
crowquill or Rapidograph® pen.

7. *How do I mark a number on a natural history specimen?*

You don't mark the catalog number directly on all natural history specimens. For some specimens, mark the number only on the label.

When applying the catalog number to a specimen, use ink and lacquer. Follow the procedures in Section B of this appendix. Make sure you don't cover important features with the number. Place the catalog number and label in a location that minimizes handling the specimen.

Place very small specimens in vials, and attach a label to the vial. If appropriate, place the catalog number inside the vial. Place insect labels on

an insect pin.

When attaching labels directly to a specimen, use cotton thread. For oily and wet specimens you may want to use a polypropylene cord.

For lot cataloged specimens, place a label on the storage container. Place an additional tag inside the container. Refer to Appendix I in this handbook for information on cataloging specimens in lots.

8. *How do I mark plant specimens?*

Herbarium specimens

Don't mark the number directly on the specimen. Glue the Herbarium Collection Label, Form 10-512, on the lower right corner of the herbarium sheet. Mark the catalog and accession numbers on the label.

Don't use starchy pastes. They can attract insects and mold. Don't use glues with a toluene or acetone base (model airplane glues). White glue, such as Elmers glue or polyvinyl acetate emulsion works well.

Nuts, large seeds, and wood specimens

Place the number on the specimen. Use clear lacquer for a primer coat with permanent black ink and a protective overcoat of clear lacquer.

Wet plant specimens

Don't mark the number directly on the specimen. Write the accession and catalog numbers on a Wet Plant Specimen Label, Form 10-506, and place it in the jar or container. Currently you should get labels for wet specimens from the Supply and Equipment Program of the Museum Management Program.

9. *How do I mark vertebrate specimens?*

Bones

Place the number directly on vertebrate bones. Use clear lacquer for a primer coat with permanent black ink and a protective overcoat of clear lacquer. Locate catalog numbers:

- in the center of the largest part of the bone
- near the proximal end of long bones
- at the lower back center of the skull
- on the right ramus of the jaw

Put small bones in a vial or box and write the accession and catalog numbers on the Skull Vial or Box Label, Form 10-502. Place the label in or on the container.

Wet vertebrate specimens

Don't place numbers directly on wet vertebrate specimens. Write the accession and catalog numbers on the Vertebrate Wet Specimen Label, Form 10-500. Place this label in the jar or container. You can also write the numbers on a Vertebrate Specimen Label, Form 10-501. Tie it to:

- the right hind leg above the ankle
- for fish, through a nose or gill
- for some amphibians and reptiles, around the body near the head.

Currently you should get labels for wet specimens from the Supply and Equipment Program of the Museum Management Program.

Animal skins

Place the number on flat skins. Use clear lacquer for a primer coat with permanent black ink and a protective overcoat of clear lacquer. Locate the number on the reverse, on the inside of the neck, or on the right hind leg. You can also number flat skins by writing the catalog number on a Vertebrate Specimen Label, Form 10-501. Attach the label to a right hind leg. For large skins, attach it through a natural opening like an eye or the nose.

Eggs

Place the number directly on the eggs. Use clear lacquer for a primer coat with permanent black ink and a protective overcoat of clear lacquer. Also write the catalog number on an Egg Box Label, Form 10-508. Attach the label to the outside of the box with polyvinyl acetate adhesive 5% in ethanol (PVA).

10. *How do I mark invertebrate specimens?*

Insects

Don't place numbers directly on the insect. Write the accession and catalog numbers on an Insect Label, Form 10-509. Pin the insect with a rust-proof insect pin. Then pin the label at standard height, below the specimen, parallel to the insect's longitudinal axis. The label must be readable from the left side. A collector's label indicating locality, collector's name, and date may exist on a separate label placed in a similar orientation below the insect label.

Other Invertebrates

Place the number directly on other invertebrates, such as shells. Use clear lacquer for a primer coat with permanent black ink and a protective overcoat of clear lacquer. Locate the number on the interior, bottom, or reverse of the specimen. Write the accession and catalog numbers on the Invertebrate Label, Form 10-507, or the Invertebrate Specimen Label, Form 10-503. Place the label in the container with the specimen.

Wet invertebrate specimens

Write the accession and catalog numbers on the Invertebrate Label, Form 10-507, or the Invertebrate Specimen Label, Form 10-503. Place the label in the jar or container with the specimen.

Currently you should get labels for wet specimens from the Supply and Equipment Program of the Museum Management Program.

11. *How do I mark paleontology specimens?*

Place the number on the specimen. Use clear or white lacquer for a primer coat with permanent black ink and a protective overcoat of clear lacquer. Locate the catalog number in a flat inconspicuous surface, where it will not wear off or obscure any important features. Write the accession and catalog numbers on the Paleontology Label, Form 10-505. Place the label with the specimen.

Fossil resins may dissolve in solvents. Don't apply lacquer to a specimen of this type without consulting a conservator. Write the catalog number on an acid-free tag, and attach or place it with the specimen. You can also write the number on Teflon® tape with archival film pens, and tie the tape to the specimen.

12. *How do I mark geology*

You can usually mark the number directly on the specimen using lacquer

specimens?

and ink. Don't use lacquer with extremely fibrous and powdery or flaky specimens. Write the catalog number on an acid-free paper tag or cotton twill tape, and attach or place it with the specimen. Make sure the pressure of securing it won't damage the specimen.

If the specimen is a resin it may dissolve in solvents. Don't apply lacquer to a specimen of this type without consulting a conservator. Write the catalog number on an acid-free tag, and attach or place it with the specimen. Alternatively, write the number on Teflon® tape with archival film pens, and tie the tape to the specimen.

Rocks

Use clear or white lacquer for a primer coat with permanent black ink and a protective overcoat of clear lacquer. Locate the catalog number in a flat inconspicuous surface, where it will not wear off or obscure any important features. Keep the number small. Also print the accession and catalog numbers on the Geology Label, Form 10-504. Place the label with the specimen.

Minerals

Use clear or white lacquer for a primer coat with permanent black ink and a protective overcoat of clear lacquer. Locate the catalog number in a flat inconspicuous surface, where it will not wear off or obscure any important features. Keep the number small. Print the accession and catalog numbers on the Mineral Label, Form 10-511. Place the label with the specimen.

13. *How do I mark microscopic specimens?*

For glass slides use clear lacquer for a primer coat with permanent black ink and a protective overcoat of clear lacquer. For cardboard slides, use pencil to write the number. Write the number on the end of the slide. Avoid touching the cover slip.

Write the accession and catalog numbers and any additional information, if provided, on a small acid-free paper label. For geology specimens, additional information might include age and formation. Store the labels by catalog number, near the specimen microscopic slides. These labels are not standardized.

14. *When do I use an annotation label?*

Use an Annotation Label, Form 10-510, when a specialist reviews a specimen to verify or correct the scientific name. Attach the annotation label to the specimen, or store it with the specimen. Include the name confirmation or change of name, the name of the identifier, and the date of review on the label.

Appendix K: Photography

Page

A. Museum Record Photography K:1
Why should I photograph museum collections? K:1
When should I photograph museum collections? K:1
Do I need to hire a photographer if I have no photography experience? K:1
How can I learn how to photograph objects? K:1
Do I need to follow the procedures in this appendix? K:1
Do I need to photograph the entire collection? K:1
When should I photograph archival materials? K:1
Can I use digital imaging for record photography? K:2
Should I use color or black and white film for record photography? K:2
How many photos do I need for each object? K:2
What's the most important point to remember about museum record photography? K:2

B. Equipment K:2
What equipment will I need for record photography? K:2
What additional equipment might be useful for photographing objects? K:5

C. Procedures K:5
What are the basic procedures for taking photographs of museum objects? K:5
What are the step-by-step procedures for taking record photographs? K:6

D. Processing the Film K:13
Can I process the film at the park? K:13
What do I need to know about using a commercial lab? K:13
What if I can't find a lab that processes black and white film? K:13
What kind of photos should I get? K:13

E. Documentation and Storage K:14
Why is it important to document photographic negatives and prints? K:14
What is the photograph number? K:14
How do I document the prints? K:14
How do I store the prints? K:14
How do I store contact sheets? K:15
How do I document and store the negatives? K:15
Where do I store the object photograph log? K:15
What's the best storage environment for photographs and negatives? K:15

F. List of Figures K:16

APPENDIX K: PHOTOGRAPHY

A. Museum Record Photography

1. *Why should I photograph museum collections?*

Photography is an excellent supplement to cataloging. In most cases, photos are more effective than words in describing objects. Narrative description of texture, marks, damage and materials is difficult. Most of these qualities are apparent in a good photograph. Photographs are especially useful for recording the condition of an object. In the case of a loss or theft, a good photograph can help in recovering the object.

Photographs also reduce the need for handling objects. In many cases, you can use a photo for initial research rather than handling the objects.

2. *When should I photograph museum collections?*

You should photograph objects:

- as part of the cataloging process
- to document accessions and the condition of incoming loans
- to document the condition of outgoing loans
- before deaccessioning them

3. *Do I need to hire a photographer if I have no photography experience?*

No. You should be able to take acceptable record photos using the procedures in this appendix. If you have a large collection to photograph or want photos for publications, you may want to hire a professional photographer.

4. *How can I learn how to photograph objects?*

Become familiar with the equipment, especially how the camera operates. Read the camera operating manual, and practice. You will gain expertise through trial and error and experience.

5. *Do I need to follow the procedures in this appendix?*

No. This appendix gives you a list of the necessary equipment and a simple process for photographing museum objects. If you are an experienced photographer you can use your own methods and setup.

6. *Do I need to photograph the entire collection?*

No. You should photograph all controlled property. You must decide if a photograph is useful for non-controlled property. You can photocopy, rather than photograph, some archival materials. Refer to Sections C.9 and C.10 in Chapter 3 of this handbook for information about collections to photograph.

7. *When should I photograph archival materials?*

Photograph, rather than photocopy, archival materials if the item:

- is of very high artifactual value and is a continuous tone photograph (silver gelatin photoprint, platinum print, or similar process)
- is a detailed visual image with many nuances, such as an original drawing or architectural plan
- has nuances that can't be captured by a photocopy machine, such as a beautifully handwritten letter
- is of high evidential value, such as a land document

Note: Archival collections usually have very few items that you will need to photograph for documentation purposes. Consider the importance of the collection when deciding what to photograph.

You may want to photograph many archival items for access and use such as posting on the Web. These aren't photographs for documentation.

8. *Can I use digital imaging for record photography?*

No. Digital images are wonderful for access but, at present, not good for long-term preservation. Digital data can fail and vanish overnight. It is much more fragile than film, and has a shorter life expectancy. It also requires frequent migration to be compatible with rapidly changing hardware and software. There is a high cost to managing, refreshing, and migrating digital files over time.

You may want to purchase a digital camera to take images at the same time you are doing record photography. ANCS+ allows you to attach digital images to your catalog records. See Section VIII in Chapter 6 of the *ANCS+ User Manual* for information on using images with ANCS+.

Note: Video can also be useful for documenting collection storage, exhibit installations, and other collection activities.

9. *Should I use color or black and white film for record photography?*

Use black and white film for record photography. Black and white acetate film should last 100 years if stored at temperatures below 70° F and 30 - 50% relative humidity levels. Color film doesn't last nearly as long, but you may want to use it for additional images of your objects.

10. *How many photos do I need for each object?*

The number of photos you need for each object depends on the object. Complex objects may require several shots at different angles. If you are documenting condition, marks, or inscriptions, you may need close-up shots of particular areas. On the other hand, many objects may need only one photo taken at different exposures.

11. *What's the most important point to remember about museum record photography?*

Be sure to cross-reference the photographs to the catalog records so that you can easily retrieve the photos. Also make sure to record the documentation associated with the photography, such as recording roll and frame numbers. Use of the photo identification stand ensures documentation of the object in the photo. Refer to Section E in this appendix for information on documenting and storing the photographs.

B. Equipment

1. *What equipment will I need for record photography?*

The following list includes the equipment you'll need for record photography:

Camera

Use a 35mm single lens reflex camera. It offers flexibility and quality at a reasonable price. Be sure that you can set the aperture and shutter speed manually on the camera. Automatic cameras must have an override that allows for manual adjustment.

Lens

A 50mm lens has the most useful focal length. A 55mm macro lens is a good choice for small objects and close-up work as well as general use. For wide angle shots, use a 35mm or 28mm lens or a 28-85 or 35-105 lens with a macro feature.

You can use a close-up lens kit to increase focusing capability for small details.

Filter

Use a polarizing filter to reduce reflections and glare. Use an ultraviolet

(UV) filter to protect the front surface of each lens. For black and white images, it may cause a negligible increase in image contrast. For color films it may make the image slightly more reddish if there are light sources other than photoflood lights. You also might want to use polarizing gelatin filters on your lights to reduce reflections and glare.

Lights

Use EBW Number B2 photoflood lamps (500 watts each) mounted in reflectors. The reflectors should be between 10 and 16 inches in diameter with a preferred size of 12 or 14 inches. Quality and cost vary greatly. Some reflectors attach to adjustable lights stands, and others have clamps that you may attach to stable objects such as chairs. Lights are available through most photography supply stores.

Film, Black and White

The following film is recommended for record photography:

- Kodak T-Max 100 and 400
- Ilford Delta 100 and 400
- Kodak Plus-X 125
- Kodak Tri-X

You can get film at bulk rates through the General Services Administration.

Note: There is a new monochrome chromogenic film on the market that is advertised as black and white film. Kodak Advantix is one of the brand names. You can get this film porcessed at a color lab. The image is a black dye image, rather than silver grains, and is processed the same as standard color negatives. Because the image is dye based, the monochrome chromogenic negatives won't be as stable as traditional black and white films with silver-based images. This film is not recommended for museum record photography.

Film, Color

The following film is recommended for color photography.

- Fuji 160 NPS (daylight) and 160 NPL (tungsten) for color prints (very good dye stability)
- Kodachrome 25 or 64 for color transparencies

Note: Kodachrome is the most stable color transparency film, but it's sometimes difficult to find laboratories to process it.

Developer

For in-house processing, use the developer that the manufacturer recommends. For commercial processing, use the same lab so that processing will be consistent.

Refer to Section D of this appendix for information on processing film.

Tripod

You must have a sturdy tripod to hold the camera steady when using slow shutter speeds. A tripod with 2 or 3 telescoping section legs and a swivel or pan head is best.

Shutter Release Cable

Use a shutter release cable for slow shutter speeds to avoid moving the camera when releasing the shutter cable. The cable attaches to the shutter button. Movement of the camera will result in blurry images. Spending a little more on a cable release by a known manufacturer will ensure longer use.

Exposure Meter

You may use a reflected-light meter, either built into the camera or handheld, for metering the objects. This meter measures the amount of light reflected off the object. You should use it with a gray card. Another type of meter is a handheld incident-light meter, which measures the amount of light falling on an object. You don't need a gray card with an incident-light meter.

Gray Card

Use a gray card to take accurate exposure meter readings under lights with a reflected-light meter. The light reflected from the gray card gives a better reading than the light reflected from the object. An 8 X 10 inch, 18% gray card is available in photography supply stores. See Figure K.1 for instructions on using the Kodak gray card.

Background Paper

Use light gray and dark gray. You can buy this inexpensive paper at any professional photography supply store. It comes in widths of 54 inches to 11 feet by lengths up to 100 feet. There should be a distinct contrast between the object and the background. You can lose detail if the object is the same color or has the same contrast in shades as the background. For example, a piece of wrought iron would not show up well against a black background or a bone against a white background. In certain instances, black may create the best contrast. A large piece (3 X 6 feet) of black velveteen or dense black matte board is useful to have on hand.

Identification Stand

Place a stand with the film roll number and the object's catalog number (including park acronym) in every photograph. This information identifies the object and the photograph. You will need stands for both large and small objects, a roll label, and changeable magnetic numbers and letters. Stands, roll labels, and park acronym letters are available from the Supply and Equipment Program of the Museum Management Program (MMP). Refer to the *Tools of the Trade* catalog.

Meter Scale

Place a standard metric scale next to or on the identification stand in every photograph. The scale should have alternating black and white blocks in standard metric units. You will need a large and small centimeter scale for objects of different sizes. Scales are available from the Supply and Equipment Program, MMP. Refer to the *Tools of the Trade* catalog.

Color Control Card

Place a color control card next to the identification card in every color photograph. It provides a control for determining correct color in color printing and for identifying colors in the object. Color control cards are available from photography supply stores.

Gray Scale Control Card

Include a gray scale control card in black and white photographs to provide control for determining correct shades in black and white printing. It's especially good for two-dimensional printed materials. Gray scale control cards are available from photography supply stores.

2. *What additional equipment might be useful for photographing objects?*

The following list includes some equipment that you might find useful when photographing objects.

Materials to Support Objects

Materials for supporting objects include: styrofoam, plexiglass, cardboard, wood blocks, display easels, and wall hooks.

Diffusion Materials

You can place materials such as Rolux diffusion directly in front of the lights to diffuse them and create more muted shadows. For example, you can create a cone with this material and place it around an object such as a coin. The lights penetrate the material and create smooth, less specular highlights.

It's important to buy diffusion materials designed for use with photo lights. Buy diffusions materials from photography supply stores.

Light Form Panels

Use light form panels to add fill light to an image. They will soften shadows and bring out details that would otherwise be lost in the image. You can place a piece of white poster board in front of an object at an angle to reflect light into shadowed areas. Light form panels are available from photography supply stores.

Copy Stand

Use a standard photography copy stand to take photographs of small or two-dimensional objects. The stand has two or four lights with a temperature of 3200º Kelvin.

C. Procedures

1. *What are the basic procedures for taking photographs of museum objects?*

The following basic procedures for taking photographs should result in good record photographs. These procedures aren't the only way to photograph museum objects. Photographers with more knowledge and experience may use different techniques and equipment. The procedures in this section provide a simple process that anyone can use.

- group objects by size and type
- prepare background
- place object, identification card, metric scale, gray scale control card (color control card for color) on background paper
- load camera with film, and set the camera to the film speed (ASA, ISO, or EI)
- arrange lights
- mount camera on tripod
- attach shutter release cable
- compose the picture

- turn on lights
- place gray card in front of object and determine exposure
- remove gray card
- take photograph
- turn off lights, or change objects and repeat steps as appropriate
- record information about the photograph

Note: Turning lights on and off helps protect the objects from heat build-up but significantly reduces the life of the bulb. It's important to set up the photograph as much as possible before turning on the lights. It's more efficient to leave the lights on and move the object from under the lights. However, moving the object may not be possible and requires you to handle the object more. You can use a dimmer switch with halogen lights that have appropriate bulbs. Don't leave the objects under the lights for more than a few minutes.

2. *What are the step-by-step procedures for taking record photographs?*

By following the step-by-step procedures in this section, you should be able to produce good photographs of your museum objects.

Grouping Objects by Size and Type

Grouping the objects to be photographed by size and type will save you time and energy. You won't have to adjust distances or heights of the lights or camera for every object. It will also minimize the need to turn the lights on and off. You can remove one object and replace it with another one without having to change the lighting or camera setup.

Preparing the Background

A table against a wall works well for objects under 3 feet in size. Hang the background material on the wall, using drafting tape or gaffer's tape that won't mark the wall. Let the material drape over the table without forming a crease or seam. Larger objects will usually be easier to handle on the floor. For very large objects, you usually won't need a background material.

Placing the Object

Place the object in the middle third of the flat working surface, if possible. This placement avoids having the front edge of the background in the photograph or the back portion of the background in focus. See Figure K.2.

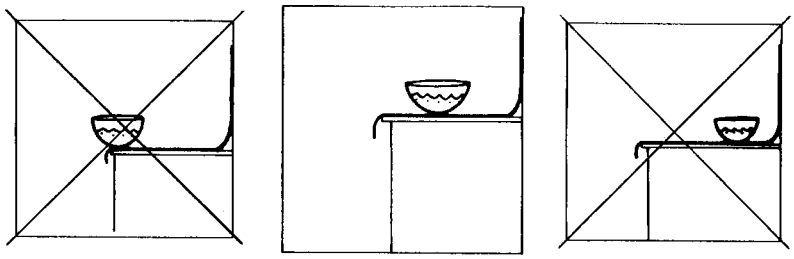


Figure K.2. Placement of Object

Place the identification information near the front of the object without blocking any part of the object. See Figure K.3. The identification information includes:

- identification stand with the catalog number and roll and frame number
- metric scale
- gray scale control card (color control card for color)

Note: Different size objects require different size indentification information.

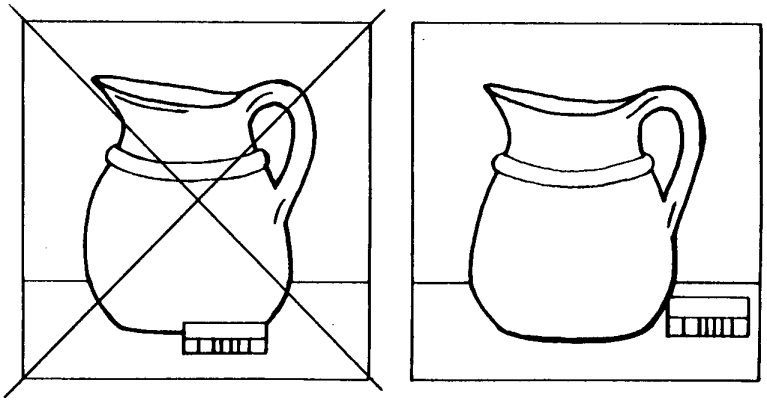


Figure K.3. Placement of Identification Information and Metric Scale

Loading the Film and Setting the Exposure Index

Load the film in the camera. Modern electronic cameras generally don't have rewind buttons. For older camera models or those with rewind knobs, check that the film is advancing properly. Wind to exposure "1" for manual cameras. Then turn the rewind knob carefully in the direction of the rewind arrow until you feel a slight tension. When the film is advanced after the first exposure, the rewind knob should rotate in the opposite direction of the rewind arrow. If the rewind knob doesn't rotate, then the film may not be loaded properly. Reload the film if necessary.

Follow the operating manual for your camera to set the camera to the film speed. Older camera models will use American Standards Association (ASA) to describe film speed. Usually you will see Exposure Index (EI) or International Standards Organization (ISO) on the film box. ASA is equivalent to ISO or EI. Set the Exposure Index on the camera to match the EI of the film.

Number each roll of film consecutively as it is used.

Arranging the Lights

The basic lighting setup for most objects will be a key light and fill light. The key light is the main source of light on the object. The fill light is the secondary light used to minimize shadows. See Figure K.4 and the information that follows below for the distance, angle, and height for the lights.

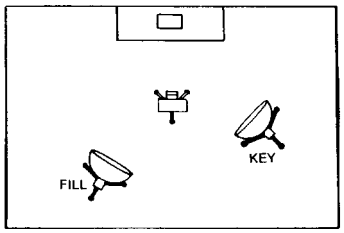


Figure K.4. Basic Lighting Setup

Carefully adjust the distance, angle, and height of the lights. This will make the difference between a properly lit object and one with many obscuring shadows. See Figure K.5 and K.6. Adjust the lights to best illuminate the object. Do this without overhead lights.

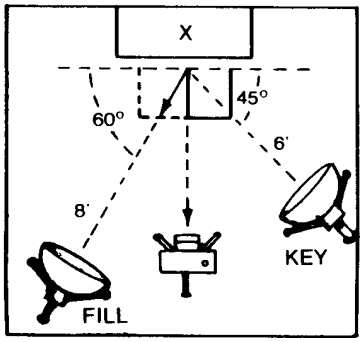


Figure K.5. Distance and Angles for Light Placement

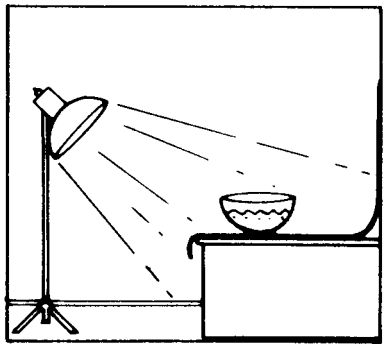


Figure K.6. Height of Light

Use the following standards to set up the lights, and then adjust them as needed for the best results:

- distance — key light at 6 feet; fill light at 7 or 8 feet
- angle — key light at 45º from the front plane of the object; fill light at 60º to 70º from the front plane of the object
- height — high enough to light the top surface and front of the object

You can also use a piece of string and a 12 inch cardboard square to

determine the distance and angles of the lights. To use this procedure:

- draw a diagonal line on the card from point A (starting at a corner) to point D forming a 45º angle
- from point A (the same corner) draw a second line to point C forming a 60º angle
- place the same illustrations on the reverse, keeping the A-D axis on the same diagonal of the card
- cut the string to 8 feet and knot it at 6 and 7 feet
- attach the string at point A
- place the card on the background, with point A on the spot where the object will be and point B in the direction of the camera
- hold the string taut and move around until the string aligns with the A-D line (45º at 6 feet) for the key light
- flip the card and align the string with the A-C line (60º at 7 or 8 feet) to position the fill light

See Figure K.7. CD is half of BD.

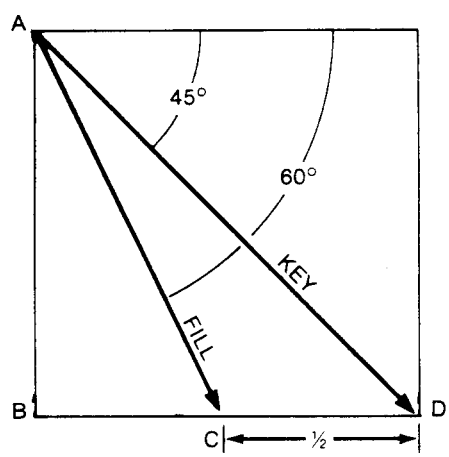


Figure K.7. Angles for Key and Fill Lights

The key light, at 6 feet, will create a harsh shadow. The fill light will lighten the shadow from the key light without creating a second harsh shadow. See Figure K.8.

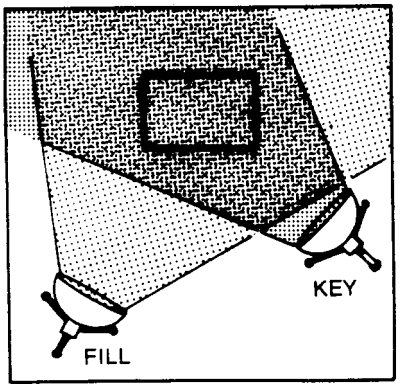


Figure K.8. Relationship of Shadows from Key and Fill Lights

Composing the Photograph

Mount the camera securely on the tripod, and attach the shutter release cable. Check the position of the identification information. Compose the photograph. Make sure the object fills up as much of the photograph as possible. Check the
distance, angle, and format (horizontal versus vertical).

Adjust the distance of the camera to the object so that the object fills one-half to three-quarters of the frame. See Figure K.9.

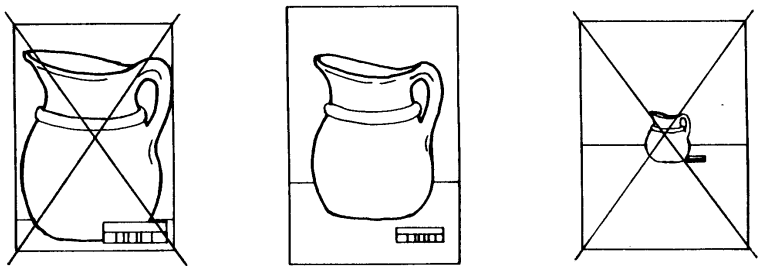


Figure K.9. Composing the Photograph: Distance

Determine the angle. For three-dimensional objects, place the camera slightly higher and looking down on the object. If you shoot the object on a straight line, it won't look three-dimensional. See Figure K.10

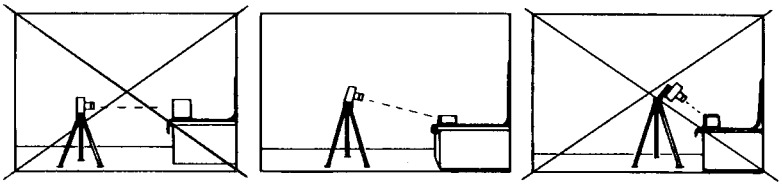


Figure K.10. Composing the Photograph: Camera Angle

For small, two-dimensional objects, use a copy stand that mounts the camera directly above the object. The stand usually includes fixed lights located about 30 inches from the copy board and at a 45º angle to the camera lens axis. Mount large two-dimensional objects on the wall. Place the two flood lights at equal distance and height, at a 45º angle from the object. The camera should be level and aimed at the center point of

the object. Use polarizing filters on the lights and camera lens when

photographing reflective surfaces, such as oil paintings and reflective glass. Use a gray scale control card when photographing black and white photographs.

Choose the format. You want to frame the object within the image so that the object isn't surrounded by extra space.

If the object is…	***Then…***
taller than it is wide,	use the camera in a vertical position.
wider than it is tall,	use the camera in a horizontal position.

See Figure K.11.

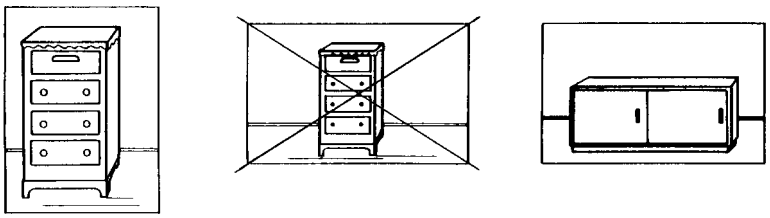


Figure K.11. Choosing Vertical or Horizontal Format

Turning on the Photoflood Lights

Remember that turning lights on and off reduces the life of the bulbs. It's possible to hook both lights up to a foot switch or a hand switch located next to the camera. Using a light switch will:

- minimize the length of time the lights are left on
- protect the objects from heat and humidity changes
- keep the work area cool

Ideally the photoflood lights should be the only source of light. Turn off overhead or other room lights (especially if they are fluorescent lights) because they:

- distort the color in color shots
- dilute the effects of the photoflood lights

Note: Be aware of how light from additional sources such as windows can affect the image, especially an image with a reflective surface. It may be necessary to cover windows or at least shoot the photograph on an overcast day. The room should be dark except for the photo lights.

Placing the Gray Card

Place the gray card perpendicular to the lens line of sight. Take the exposure meter reading using light reflected from the gray card. This reading will be more accurate than one taken using light reflected from the object and background.

Determining Exposure

Start by setting the aperture (f/stop). A larger f/stop number (small aperture) will result in greater depth-of-field (area of sharpness) in the photograph. Once you set the f/stop, match it with the appropriate shutter

speed setting.

To take an exposure reading, use a handheld meter or a camera with a built-in meter. To take a reading with the camera, place the meter near the gray card without casting any shadows on the card. Be certain that the gray card fills the entire viewing screen. The photoflood lights should be on. Take an exposure reading and set the camera f/stop and shutter speed to that reading.

Each package of film has exposure suggestions for different situations.

If a meter isn't available, use the following exposures as a guideline for Kodak T-Max 100 using two 500 watt photoflood lights. As the lights become older, greater exposures will be necessary. When taking photographs in this way, bracket to either side of the first shot. When you bracket, you take additional exposures around your first exposure. For example, for Kodak T-Max 100 ISO at f/16 for 1/8 second, use the following five settings:

- f/22 for 1/8 second
- between f/22 and f/16 for 1/8 second
- f/16 for 1/8 second
- between f/16 and f/11 for 1/8 second
- f/11 for 1/8 second

Exposures for 100 EI Film

Key Light	**Fill Light**	**Exposure**
6 ft.	6 ft.	f/16 at 1/8 second
6 ft.	7 ft.	f/16 at 1/8 second
6 ft.	8 ft.	f/16 at ¼ to 1/8 second
7 ft.	8 ft.	f/16 at ¼ second
8 ft.	10 ft.	f/16 at ½ second

Note: You can't use the guidelines for meterless exposure with overhead lights.

Review the negatives and the recorded exposures to judge if the settings are appropriate. Make sure that the negatives are not consistently overexposed or underexposed. Always shoot and process the first roll of film immediately to assess the correct exposure. Then complete the project.

Shooting the Photograph

Remove the gray card. Focus the camera. Squeeze or depress the shutter button slowly and smoothly. The shutter release cable is especially useful because it allows you to depress the shutter button without touching the camera. The shutter release cable eliminates the potential for camera movement, which causes blurry images.

Some objects may require more than one photograph to document detail accurately. After taking all the necessary shots, turn off the lights, and record the information about the photographs. If you're working with similar objects, put the next objects in place, focus, and take the next shots. For different objects, repeat the steps in this section to prepare the next setup.

Recording Information about the Photograph

Each time you use a new roll of film, start a new photograph record log that includes:

- roll number (check the roll number of the previous log sheet)
- exposure number (the frame number on the roll)
- exposure reading (f-stop and shutter speed)
- catalog number
- object name

When the film is processed, the frame number and object may not correspond with the frame number and object listed in the log. Correct the log to correspond with the frame number on the negative. Figures K.12a-b show a blank and sample object photograph record sheet.

D. Processing the Film

1. *Can I process the film at the park?*

Yes. If the park has darkroom facilities, park staff can process the film following the technical data sheet for the developer. Use the appropriate developer for the particular film. For example, process Kodak T-Max 100 using T-Max developer or standard commercial developer. Using a toning solution helps longevity. Most problems with longevity come from insufficient washing.

2. *What do I need to know about using a commercial lab?*

Processing can affect the quality of the final image. It's important to find a good place for processing film and use it consistently. You're then sure that the film is processed the same way each time, and you have a consistently good product.

3. *What if I can't find a lab that processes black and white film?*

Finding a local lab that will process black and white film may be difficult for many parks. You can call Kodak at 1-800-242-2424 to find the professional processing lab nearest to your site. You can also use Kodak's web site at <http://www.kodak.com> to locate a lab near you or in your geographic area.

4. *What kind of photos should I get?*

For record photos, make at least one black and white print for the photo file. Use either 3 X 5 inch prints or contact sheets. Contact sheets can be made exactly the same size as the negative or slightly larger (11 X 14).

E. Documentation and Storage

1. *Why is it important to document photographic negatives and prints?*

You need to document the negatives and prints to access them. Use a numbering system as a cross-reference.

2. *What is the photograph number?*

The photograph number is the roll number followed by the frame number. It serves as the cross-reference between the print, contact sheet, negative, object photograph log, and catalog record.

Roll	Frame	Photo Number
200	3	200/3
2050	25	2050/25

Note: Enter this number in the Images supplemental record in ANCS+. The most recent photo number in the Images supplemental record prints in the Photo Number field on the Museum Catalog Record, Form 10-254 Rev. Refer to Section VII in Chapter 3 of the *ANCS+ User Manual* for information on the Images supplemental record.

3. *How do I document the prints?*

The roll number and object catalog number appear in the photograph. In addition, you'll need to make a label with information about the photograph. Use acid-free paper or the front of an archival paper enclosure for the label. The label should include:

- catalog and accession numbers
- object name
- photo number (roll and frame number)
- date taken
- photographer
- remarks

See Figure K.13 for sample label information.

Note: The National Visual Inventory Card, Form 10-30 is no longer in use.

4. *How do I store the prints?*

File prints numerically by photograph number or catalog number depending on how you want to access the image. Store them in archival quality enclosures, either paper or polyester (Mylar®). There are several styles available. Refer to *Conserve-O-Gram (COG)* 14/2, Storage Enclosures for Photographic Prints and Negatives, and *MH-I*, Appendix R: Care of Photographic Collections. Both paper and polyester enclosures are available from the Supply and Equipment Program, MMP. See the *Tools of the Trade* catalog.

You can write the label information in pencil on the front of paper enclosures. For archival-quality polyester enclosures, place the photo and label back-to-back in double-sided photo sheets or envelopes. This method

allows you to view the photo and label without having to handle the photo. Some parks use a copy of the catalog card and photo back-to-back in a polyester sleeve.

Note: Use plastic materials only if you can maintain relative humidity below 70%.

5. *How do I store contact sheets?*

Place contact sheets or strips in polyester enclosures. Store them in archival quality three-ring binders with the matching photograph log sheets. Binders and enclosures are available from the Supply and Equipment Program, MMP. See the *Tools of the Trade* catalog.

6. *How do I document and store the negatives?*

Cut the negatives into strips. File them by roll and frame number in archival polyester holders. Place them in a three-ring archival quality binder. File one roll on each page. Shooting only 35 frames of a 36 exposure roll makes everything fit on one page.

Mark the roll number, with a permanent marker pen, in the space at the top of the page. You can use contact sheets as indexes to the negatives.

Binders and enclosures are available from the Supply and Equipment Program, MMP. See the *Tools of the Trade* catalog.

7. *Where do I store the object photograph log?*

Store the object photograph log in a three-ring binder and keep it with the museum collection records. File the sheets with the highest number on top. If you use contact sheets, store a copy of the pertinent log sheet with each contact sheet.

8. *What's the best storage environment for photographs and negatives?*

Storage conditions greatly contribute to the stability and longevity of your photographs and negatives. The storage environment is of prime importance. Carefully monitor the temperature and relative humidity (RH) to keep them constant.

Store black and white photographic prints and negatives at 20º C (68ºF) or below at a constant RH between 30% and 50% in dark storage. Avoid RH fluctuations of more than 5%. Humidity is the important factor. High RH levels dramatically increase the rate of deterioration. Very dry conditions may cause cracking and embrittlement.

You can significantly increase the film life of black and white negatives by lowering the humidity below 50%.

Store color prints and negatives at 2-10º C (35-50ºF) or below at 20-30% RH in dark storage. Temperature is the most significant factor in determining the rate of fading and staining.

You will also want to monitor and control the presence of pollutants in the air. Oxidizing gases and chlorides can greatly contribute to the destruction of photographic material. Dust is especially damaging because of its hygroscopic character. Dust causes abrasion when you move negatives. Never allow smoking in photographic storage areas.

Refer to the *MH-I*, Appendix R: Curatorial Care of Photographic Collections, for additional information on storage environment.

F. List of Figures

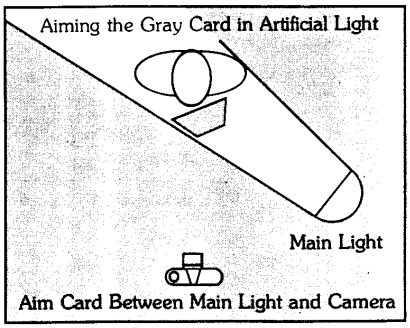
K.1	Kodak Gray Card Instructions
K.2*	Placement of Object
K.3*	Placement of Identification Information and Metric Scale
K.4*	Basic Lighting Setup
K.5*	Distance and Angles for Light Placement
K.6*	Height of Light
K.7*	Angles for Key and Fill Lights
K.8*	Relationship of Shadows from Key and Fill Lights
K.9*	Composing the Photograph: Distance
K.10*	Composing the Photograph: Camera Angle
K.11*	Choosing Vertical or Horizontal Format
K.12a	Object Photograph Record Sheet
K.12b	Object Photograph Record Sheet (Sample)
K.13	Labelling for Photo Enclosures (Sample)

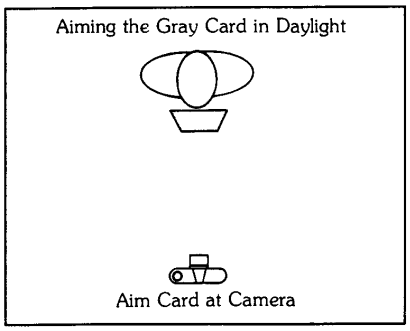
* Figures K:2 – K.11 appear in text.

How to Use KODAK Gray Cards...

To Determine Exposure

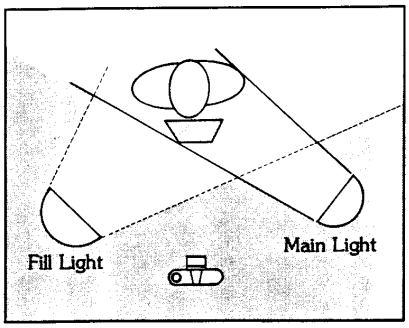
- All meter readings of the gray card are reflection measurements of *incident* illumination on the card. To get accurate exposure information, be sure the gray card is receiving the same illumination as the subject to be photographed.
- Position the gray card facing the camera so there are no shadows on it, no brightly colored objects reflecting light on it, and no glaring (specular) reflections coming off the card itself.
- Normally you should use the gray side of the card and the rated ISO speed of the film to figure exposure. (Or, if the light is so dim that your meter will not read the gray side, divide the film speed by 5, reset your meter to this value, and read the white side of the card.)
- To be sure you read only the card, hold your meter about 6 inches (15 centimetres) away. Of course, if you are using a single-lens-reflex camera with a built-in meter or spot meter, you can see exactly what you are reading.
- In artificial light, position the card close to and in front of the subject, aimed halfway between the main light and the camera.
- In daylight, position the card facing the camera and as close to the subject as possible. Or, you can make an exposure reading of the card near your camera, as long as you position the card so it receives the same angle and intensity of illumination as the subject.
- If your subject is quite dark, *increase* your calculated exposure by ½ to 1 stop.
- If your subject is quite light, *decrease* your calculated exposure by ½ to 1 stop.
- Bracket your exposures in situations where you are unsure of the best exposure.





To Determine Lighting Ratios

- A lighting ratio expresses the relationship between main plus fill-in illumination and fill-in illumination alone.
- Generally, the lighting ratio should not exceed 3 to 1 for color or 5 to 1 for black-and-white when full detail is wanted in a final print.
- You can use a KODAK Gray Card to determine, and if necessary adjust, the lighting ratio of a particular setup even if the lighting arrangement is complex. To do so, follow these suggestions:
  - — Position the card as close to the subject as possible.
  - — When reading main plus fill-in illumination, turn the card to the position that gives the maximum reading on the scale of your light meter. For this reading, all lights should be on except those positioned so far to the side or back that they might influence the meter directly. Record the reading.
  - — When reading fill-in illumination, turn the card so it faces the camera lens, and turn off the main light or lights. Record the reading.
  - — With both readings recorded, you can determine the lighting ratio by using the table at right.



Stops Difference	Lighting Ratio	Stops Difference	Lighting Ratio
⅔	1.5:1	2⅔	6:1
1	2:1	3	8:1
1⅓	2.5:1	3⅓	10:1
1⅔	3:1	3⅔	13:1
2	4:1	4	16:1
2⅓	5:1	5	32:1

© Eastman Kodak Company, 1983

Figure K.1. Kodak Gray Card Instructions

OBJECT PHOTOGRAPH RECORD SHEET

_____
PARK

Photographer: _____ **Date:**_____ **Roll no.**_____

EXP. NO.	EXP.	CAT. NO.	*ITEM*		EXP. NO.	EXP.	CAT. NO.	ITEM

Figure K.12a. Object Photograph Record Sheet

OBJECT PHOTOGRAPH RECORD SHEET PARK
PARK

Photographer: STEVE SMITH **Date:** 5 Jul 2000 **Roll no.** 1021

EXP. NO.	EXP.	CAT. NO.	ITEM		EXP. NO.	EXP.	CAT. NO.	ITEM
1	f/16 1 sec	PARK 2902	Basket					
2	f/16 1 sec	PARK 2903	Basket					
3	f/16 1 sec	PARK 3000	Basket					
4	f/11 1 sec	PARK 2904	Rug					
5	f/11 1 sec	PARK 2905	Sculpture					
6	f/16 1 sec	PARK 3005-3007	Necklace, Ring, Bracelet Set					

Figure K.12b. Object Photograph Record Sheet (Sample)

Catalog Number (Roll/Frame Number)
Accession Number

Object Name

Date Taken
Photographer Name

Remarks

Figure K.13. Labelling for Photo Enclosures (Sample)

Appendix L: Bibliography

Page

ARCHEOLOGY L:1
Arctic and Subarctic L:1
Mid-Atlantic L:1
Midwest L:1
Northeast L:2
Pacific L:2
Hawaii L:3
Southeast L:3
Southwest L:3
West L:4
Prehistoric Archeology – General L:5
Historic Archeology - General L:5
Historic Archeology – Materials L:5
    Buttons L:5
    Ceramics and Glass L:6
    Coins L:6
    Bottles L:7
    Military L:7
Archeology – Natural History L:7
    Fauna L:7
    Flora L:7
    Human Osteology L:7
    Rocks and Minerals L:7

ETHNOLOGY L:8
General Guides L:8
Pacific L:8
North America L:8
U.S. Regions L:9
    California L:9
    East L:9
    Northwest L:9
    Plains L:9
    Southwest L:10
    Subartic L:10

HISTORY L:10
STRUCTURES L:10
Buildings L:10
Building Component L:12
Site Feature L:12

FURNISHINGS L:12
General Guides L:12
Bedding L:13
Floor Covering L:13
Furniture L:13
    American L:13
    English L:15
    Period/Style/Movement L:15
Household Accessory L:16
Lighting Devices L:16
Plumbing Fixtures L:16

Temperature Control Device L:16
Window/Door Coverings L:17

PERSONAL ARTIFACTS L:17
Adornment L:17
Clothing L:17
Footwear L:18
Headwear L:18
Outerwear L:18
Underwear L:18
Uniforms L:18
Personal Gear L:19

TOOLS & EQUIPMENT FOR MATERIALS L:20
Agricultural Tools and Equiment L:20
Animal Husbandry Tools and Equipment L:20
Fishing & Trapping Tools and Equipment L:20
Food Processing Tools and Equipment L:21
Masonry & Stoneworking Tools and Equipment L:21
Metalworking Tools and Equipment L:22
Textiles and Textileworking Tools and Equipment L:22
Woodworking Tools and Equipment L:24

TOOLS & EQUIPMENT FOR SCIENCE & TECHNOLOGY L:24
Military – General L:24
Armament – Firearm L:25
Armament – Ammunition L:29
Armament – Edged L:29
Armament – Artillery L:30
Armament – Accessory L:31
Mechanical Tools and Equipment L:31
Medical Tools and Equipment L:31
Optical Tools and Equipment L:32
Timekeeping Tools and Equipment L:32
Weights and Measurements L:32

TOOLS & EQUIPMENT FOR COMMUNICATION L:32
Musical Tools and Equipment L:32
Photographs and Photographic Tools and Equiment L:33
Telecommunication Tools and Equipment L:34

DISTRIBUTION & TRANSPORTATION ARTIFACTS L:34
Container L:34
Land Transportation L:35
Rail Transportation L:35
Water Transportation L:36

COMMUNICATION ARTIFACTS L:36
Advertising Medium L:36
Art L:36
Ceremonial Artifact L:37
Documentary Artifact L:37
Exchange Medium L:38
Personal Symbol L:38
Medals and Insignias L:38

RECREATIONAL ARTIFACTS L:39
Sports L:39
Toys L:39

MATERIALS L:39
Brass and Copper L:39
Iron L:40
Paktong L:40
Pewter L:40
Silver and Gold L:41
Tin and Other Metals L:42
Ceramics and Glass L:42

CATALOGS AND GENERAL REFERENCE L:45

MUSEUM REFERENCES L:46

APPRAISALS L:46
Price Guides L:46
Auction Catalogs L:47

APPENDIX L: BIBLIOGRAPHY

Refer to Appendix D of this handbook for a bibliography on archival and manuscript collections.

Refer to Appendix H of this handbook for a bibliography on natural history collections.

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Forum for buying and selling merchandise and accessing information on the antique and collectible industry.

Address: Antique Trader
100 Bryant Street
P.O. Box 1050
Dubuque, Iowa 52004-1050.

Web Address: <www.collect.com/antiquetrader/>.

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Christie's

Address Regional offices: 20 Rockefeller Plaza
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Appendix M: Memorial Items

Page

A. Overview of Memorial Items. M.1
What are memorial items?..... M:1
How does the NPS handle memorial items?..... M:1
Why does the NPS consider memorial items to be abandoned?..... M:1
Who collects the memorial items left at NPS sites?..... M:1
How does the NPS inform the public about what happens to abandoned items? M:1

B. Management of Memorial Items. M.1
Do all NPS sites collect memorial items?..... M:1
What choices does the NPS have for managing memorial items?..... ..... M:2
What happens to items that are retained?. M:2
Who decides which items to retain?..... M:2
Why doesn't the NPS keep all memorial items as museum collections?..... M:2
What happens to items that the NPS does not retain?.. ..... M:3
What authority allows the NPS to destroy abandoned items?. M:3
Can the NPS give memorial items to other federal agencies?..... M:3
May memorial items retained by the NPS be returned to the person who left them?..... M:3
May memorial items be given to NPS museums by other means than leaving them at the site?. M:4

C. Use of Memorial Items. M.4
How does the NPS use memorial items that become part of a museum collection?..... M:4
How does copyright law affect the use of memorial items?..... ..... M:5
What if a researcher wants to use memorial items in a commercial publication?..... M:5
How can the NPS prevent copyright infringement of memorial items used on-line?. M:5
Are there restrictions on certain types of memorial items?. M:5

A. Overview of Memorial Items

1. *What are memorial items?*

Memorial items are objects left at a NPS site to honor, or pay tribute to, those associated with the site. The site can be a memorial, such as the Vietnam Veterans Memorial or the Flight 93 National Memorial. The site can also commemorate the life and achievements of an individual, such as a presidential site. The items left at these sites are heartfelt remembrances from family, friends, and the general public. For these people, the act of placing the items at the site can be of great significance.

A park may also receive memorial items through the mail with little or no sender information.

Note: This guidance does not cover memorial items or offerings that are left by traditionally associated peoples at culturally significant sites.

2. *How does the NPS handle memorial items?*

The NPS treats all memorial items with respect. However, because these items are voluntarily left at a site, they fall under the Code of Federal Regulations for abandoned property:

- 36 CFR §2.22, Property
- 41 CFR §§ 102-41.80-10241.115, Voluntarily Abandoned Personal Property

The NPS manages all memorial items left at NPS sites as voluntarily abandoned property. However, selected items may become part of a site's museum collection.

3. *Why does the NPS consider memorial items to be abandoned?*

The NPS considers memorial items to be abandoned because they are intentionally and voluntarily left on government property. The owner has given up title to the items by leaving them at the site with no intent to retrieve them.

4. *Who collects the memorial items left at NPS sites?*

Each site determines the staff assigned to collect the items and the schedule for pickup. Schedules are dependent on weather, material type, and the number of items.

5. *How does the NPS inform the public about what happens to abandoned items?*

The NPS uses signs or other information at a site to let the public know that items left at the site will be treated as abandoned property. NPS web sites should also include information about the disposition of abandoned items. Information should include a prohibition on leaving human remains at NPS sites

B. Management of Memorial Items

1. *Do all NPS sites collect memorial items?*

No. Only a very few NPS sites collect and manage memorial items. The decision to collect these items and manage some of them as museum collections must be made by the Regional Director in a written memo or other written communication. Permission to collect and manage these items must be noted in the site's Scope of Collection Statement (SOCS).

2. *What choices does the NPS have for managing memorial items?*

The NPS may choose to retain or dispose of the items. The receipt of all memorial items is recorded depending on their nature and intended disposition. Common items to be destroyed can be recorded in an inventory list. Unusual or representative examples to be destroyed can be photographed, individually or in groups, as needed. Items retained permanently or for an extended time for consideration should be documented with a receipt for property.

3. *What happens to items that are retained?*

Selected memorial items are accessioned and cataloged into the site's museum collection, and with some site-specific exceptions, become available for research, exhibition, and publication. Staff photographs all items that are retained for the museum collection.

4. *Who happens to items that are retained?*

Selected memorial items are accessioned and cataloged into the site's museum collection, and with some site-specific exceptions, become available for research, exhibition, and publication. Staff photographs all items that are retained for the museum collection.
The site superintendent or site manager gives the final approval for which items to retain in the museum collection. Approval is based upon:

- the Scope of Collections Statement (SOCS) for the site
- recommendations from the site's Collections Advisory Committee

The Scope of Collections Statement (SOCS) is the document that establishes the types of objects the site should collect. The SOCS may also include provisions for retaining only samples of certain types of items if there are a large number of similar examples. The SOCS is based on the park's mission and the laws and regulations mandating the preservation of collections. Parks that receive memorial items or have the potential for receiving memorial items should specifically address these items in the SOCS. The SOCS is reviewed at least every five years.

The Collections Advisory Committee is chaired by the curator of collections and includes subject matter specialists. The committee reviews potential accessions and makes recommendations regarding acquisitions. Large numbers of items received after an event such as a notable person's death can be reviewed in groups rather than individually.

Parks without a GS-11 curator must include the Regional Curator, or that person's designee, on the committee.

5. *Why doesn't the NPS keep all memorial items as museum collections?*

Keeping all memorial items is not feasible. Museum storage space is limited and costly due to environmental controls, fire suppression, and security systems. Staff to document and manage the items also adds to the cost. Some items cannot be maintained because they are hazardous, detrimental to other collections, attractive to pests, or perishable.

6. *What happens to items that the NPS does not retain?*

The NPS destroys the items that are not retained as part of the museum collection. These items include but are not limited to:

- food
- flowers and plants
- American flags (see note below)
- containers and vases that are not an integral part of an item
- commercial or generic items with no direct association to the site
- items that are unstable or in poor condition
- items that are redundant after a sample has been retained
- items that do not fit the site's Scope of Collections

Note: See Federal Flag Code: Public Lay 94-344 for disposal guidance on flags. The code does not apply to small replica flags on sticks.

7. *What authority allows the NPS to destroy abandoned items*

Federal Management Regulation (FMR) § 102-36.305 - 102-36.330 grants government agencies the authority to destroy abandoned property if the property:

- has no commercial value
- has an estimated acquisition cost of less than $500
- will cost more to care for and maintain than its monetary value

8. Can the NPS give memorial items to other federal agencies?

Yes. Memorial items that the NPS does not want to retain may be transferred to another federal agency, such as the Department of Defense. Parks must go through GSA to give memorial items to a private museum or charity

9. *May memorial items retained by the NPS be returned to the person who left them?*

Yes. The NPS can accept donations of items but must ensure that the donation:

- fits the site's Scope of Collection Statement
- is reviewed and recommended by the site's Collections Advisory Committee
- has no restrictions
- includes copyright, if possible

Donations are documented with a deed of gift that is signed by the site superintendent and the donor.

10. *May memorial items be given to NPS museums by other means than leaving them at a site?*

Yes. The NPS can accept donations of items but must ensure that the donation:

- fits the site's Scope of Collection Statement
- is reviewed and recommended by the site's Collections Advisory Committee
- has no restrictions
- includes copyright, if possible

Donations are documented with a deed of gift that is signed by the site superintendent and the donor.

C. Uses of Memorial Items

1. *How does the NPS use memorial items that become part of a museum collection?*

Most memorial items that become part of a NPS museum collection can be used:

- in exhibits at the site
- in on-line exhibits of digitized collections
- in web-catalogs using thumbnail images
- for research
- for interpretive programs
- in loans to other institutions

These uses of museum collections are considered to be fair use under the Copyright Act because they are:

- for teaching
- for private study, scholarship, or research
- non-profit

At some sites, money left at a memorial site can go to a donation box. Consult the Administration Officer for the site.

2. *How does copyright law affect the use of memorial items*

Although memorial items are considered to be abandoned property, the NPS does not automatically own the copyright to memorial items that are added to the museum collection. Items of particular copyright concern are letters, poems, photographs, and original works of art. For example, the person leaving the letter owned the letter, but the person who wrote the letter owns the copyright.

In general, leaving original materials in a public place indicates the intent to place them in the public domain. However, leaving a copy rather than the original may indicate the intent to retain copyright. A site cannot assume that copyright is transferred to the NPS when an object is abandoned.

3. *What if a researcher wants to use memorial items in a commercial publication?*

The researcher has the responsibility for determining the holder of the copyright and getting permission to use the items. Sites must have researchers sign a Copyright and Privacy Restrictions notice and keep the signed notice on file. The Interior Collections Management System (ICMS), or its successor, contains a copy of the notice.

4. *How can the NPS prevent copyright infringement of memorial items used on-line?*

Sites should take precautions to minimize high resolution copying and downloading capabilities for on-line images of memorial items. A copyright notice can be included with on-line exhibits. Sites should also have a take-down policy in place in the event that someone alleges copyright infringement.

5. *Are there restrictions on certain types of memorial items?*

Yes. In accordance with the Privacy Act, the NPS restricts the use of memorial items containing Personal Identity Information (PII). All human remains or items containing human remains are restricted from exhibit and research. Human remains left at NPS memorial sites are not retained in memorial collections.

Appendix N: Reproductions, Period Pieces, Living History Items, Exhibit Props, and Outdoor Exhibits

N.1. Overview

N.1.1 What Information will I find in this appendix? N:1
N.1.2 What is an original/site-associated item? N:1
N.1.3 What is a reproduction? N:1
N.1.4 What is a period piece? N:1
N.1.5 What are living history materials? N:2
N.1.6 What is an exhibit prop? N:2
N.1.7 What is an outdoor exhibit? N:2

N.2. Reproductions

N.2.1 Why do parks acquire reproductions? N:2
N.2.2 What kinds of reproductions does the NPS use? N:3
N.2.3 How are reproductions different from objects in the museum collection? N:3

N.3. Period Pieces

N.3.1 Why do parks acquire period pieces? N:3
N.3.2 Can period pieces be used for the same purpose as a reproduction? N:3
N.3.3 How are period pieces different from original objects in the museum collection? N:4

N.4. Accessioning and Cataloging Reproductions and Period Pieces

N.4.1 Must I accession and catalog all reproductions and period pieces? N:4
N.4.2 Who should make the decision about when to accession a reproduction or period piece? N:4
N.4.3 What should the committee consider when evaluating a reproduction or period piece? N:4
N.4.4 May I remove reproductions or period pieces that are currently in the collection? N:6
N.4.5 What if the park has a large number of reproductions to deaccession? N:7
N.4.6 What about reproductions and period pieces that are used consumptively? N:7
N.4.7 How will reproductions or period pieces be tracked if they are not cataloged? N:7

N.4.8 Are there special procedures for documenting reproductions and period pieces that are cataloged? N:8

N.5. Living History Items

N.5.1 Are living history items part of the museum collection? N:8
N.5.2 How does the park document living history items? N:9

N.6. Exhibit Props

N.6.1 What's the difference between reproductions and exhibit props? N:9
N.6.2 How should I document exhibit props? N:9
N.6.3 What if I have exhibit props in my museum collection? N:10
N.6.4 When should I accession and catalog exhibit props? N:10

N.7. Outdoor Exhibits

N.7.1 Do I catalog objects in outdoor exhibits? N:10
N.7.2 Do I catalog fixed outdoor structures such as monuments? N:10
N.7.3 Do I complete a facility checklist for museum items in outdoor exhibits? N:10

Decision Checklist **N:11**

Appendix N: Reproductions, Period Pieces, Living History Items, Exhibit Props, and Outdoor Exhibits

N.1. Overview

N.1.1 What information will I find in this appendix?

The information in this appendix will help you decide how to document reproductions, period pieces, living history items, exhibit props, and outdoor exhibits. These types of objects are used for exhibitions, education, and interpretation. Although they are used for museum purposes, they are not always accessioned and cataloged into the museum collection. This section will help you determine when to include these types of materials in the museum collection.

N.1.2 What is an original/site-associated item?

An original/site associated item is one that historically belonged to or is connected to the site.

N.1.3 What is a reproduction?

A reproduction is the reconstruction or fabrication of an accurate copy of an original object/item. The original object/item may:

- be too fragile to exhibit
- no longer exist except in photographs or drawings
- not be in the park's collection

A reproduction can be off-the-shelf or custom-made.

Example: the reproduction of Martin Van Buren's dining room table

N.1.4 What is a period piece?

A period piece is an item made during the site's period of significance, but the item has no historic association to the site.

Example: a horsehair-covered footstool from circa 1855 purchased at an antique mall

Period of Significance is the main historical time frame for the site or the time frame chosen as the focus for the site. For example, the period of significance for the Old

House (or Peacefield) at Adams NHP is 1787-1927. John Adams purchased the house in 1787, and the last member of the fourth generation, Brooks Adams, died in 1927.

N.1.5 What are living history materials?

Living history materials are props, reproductions or period pieces acquired specifically for consumptive use by interpreters as part of living history demonstrations or exhibitions.

Example: a wash tub used for laundry demonstrations

Note: Period pieces should only be used consumptively in living history demonstrations when a suitable substitute cannot be found or is cost prohibitive.

N.1.6 What is an exhibit prop?

An exhibit prop has no historic association with the park. It is an item that is added to an exhibition but is only used to enhance interpretation.

Example: artificial apples in a fruit bowl or books acquired only to fill a bookshelf

N.1.7 What is an outdoor exhibit?

Outdoor exhibits consist of an object or collection of objects on public display outdoors. The objects are usually large, such as farm equipment or cannon, and are movable. Fixed monuments are tracked in the List of Classified Structures (LCS). Ships and railroad cars, although movable, are also tracked in the LCS.

Example: cannon on the surrender field at Yorktown

N.2. Reproductions

N.2.1 Why do parks acquire reproductions?

Parks acquire reproductions for exhibits and interpretation. A park may decide to use reproductions when:

- the park does not have the specific items in the collection needed for an exhibit.
- original pieces in the collection are too fragile for exhibit or need to be protected from extended exposure or loss.

Reproducing objects of religious or spiritual significance to a traditionally associated people requires consultation. The park will consult with culturally affiliated or traditionally associated peoples to determine the religious status of any object whose sacred nature is not confirmed (Management Policies 2006, 5.3.5.5.3).

N.2.2 What kinds of reproductions does the NPS use?

Parks use several different types of reproductions in exhibits. These include those:

- available on the commercial market
- created for a specific exhibit installation or by a contractor or park staff
- based on objects from the park's collection or another park's or institution's or private collection

Chapters 4 and 5 in the *Museum Handbook*, Part III, provide additional information on two-dimensional and three-dimensional reproductions, including commercial use.

N.2.3 How are reproductions different from objects in the museum collection?

Although reproductions have monetary and interpretive value, they don't have the associative or site-specific value attached to original/site-associated museum objects. However, in certain cases, reproductions may be the only remaining evidence of the originals. They may also be inherently significant themselves, such as the Navajo rug reproductions at Hubbell Trading Post NHS.

N.3. Period Pieces

N.3.1 Why do parks acquire period pieces?

Parks acquire period pieces for the same reasons they acquire reproductions. Some period pieces may cost less to procure for an exhibit than a reproduction.

N.3.2 Can period pieces be used for the same purpose as a reproduction?

Yes. Period pieces may be acquired to serve the same purpose as a reproduction.

N.3.3 How are period pieces different from original objects in the museum collection?

Although period pieces are from the same time frame as the park, they do not have direct provenance to the park. They have been acquired to substitute for original objects.

Note: Some parks, such as San Francisco Maritime, have scopes related to themes rather than site-specific people and places. Distinguishing between period pieces and original items at these sites can be difficult. Determining what should be accessioned must be made in consultation with the collections advisory committee and the curator of the collection.

N.4. Accessioning and Cataloging Reproductions and Period Pieces

N.4.1 Must I accession and catalog all reproductions and period pieces?

No. Cataloging provides the maximum control and protection for an object. However, maintaining accountability for dozens of reproduction items takes valuable time away from managing the historically important objects in the collection.

Determining whether or not to accession and catalog a reproduction or period piece depends on an evaluation of its purpose and its scientific, cultural, historic, educational, esthetic, or monetary value. Some types of objects can be evaluated as a group. Others, such as rare or expensive custom reproduction textiles or period furniture, may need to be evaluated on a case-by-case basis.

Example: Cannon mounted on reproduction carriages are a common occurrence in military parks. Although carriages are expensive, a park may decide not to catalog them because they deteriorate in outdoor conditions.

N.4.2 Who should make the decision about when to accession a reproduction or period piece?

All accessions of reproductions and period pieces must be reviewed by a collections advisory committee that includes the curator of the collection. Refer to Chapter 6 for information on committee members and procedures.

N.4.3 What should the committee consider when evaluating a reproduction or period piece?

The collections committee should consider a variety of criteria when evaluating a reproduction or period piece. Criteria to consider (in no priority order) include:

- Scope of Collections (SOCS). Does the park SOCS provide guidelines on reproductions and period pieces in the collection? Parks should include a statement about the types of reproductions and period pieces that are included and accepted into the collection.

- Research and educational value. Does the reproduction or period piece add to information about the collection that would be of value for research and education?

- Unique attributes. Does the reproduction or period piece contain unique attributes that complement the existing collection?

- Technical accuracy and workmanship. Is the reproduction or period piece a museum quality piece in its own right?

- Artist or maker. Does the artist or maker of the reproduction have a special association with the site?

- Monetary value. Should the reproduction or period piece be accessioned because it is of high monetary value, which would make it difficult to replace (possible benchmark value of $5000 or more)?

- Number of objects. If there are a large number of similar reproductions or period pieces, should one or a sample be put in the collection rather than all of them?

- Longevity. Has the reproduction or period piece been in the park for such a long period of time that it could be considered museum material? Clearly mark reproductions or period pieces that are retained in the collection so that future staff do not mistake them for original material.

- Rarity. Would the park have great difficulty in replacing the reproduction or period piece due to technical accuracy and materials?

- Level of documentation. Does the reproduction or period piece have a particularly noteworthy provenance that can justify its inclusion in the collection?

- Intended use. Will the object be used consumptively, such as a reproduction carpet?

- Condition and completeness. Is the reproduction or period piece in good condition with all its component parts?

- Long-term preservation costs. Will the park be able to, or want to, pay for conservation treatment of the object in the future?

- Environment. Is the reproduction or period piece in an environment that does not meet museum standards, such as reproduction bedding on the *USS Cassin Young?*

- Storage space. When the reproduction or period piece is no longer on exhibit, is it an item that the park wants to keep in museum storage? Is there adequate storage space available?

- Interpretive focus. Has there been a change in interpretive focus at the park that would make the reproduction or period piece fit the SOCS?

- Exhibit termination. Does the reproduction or period piece need to be re-evaluated at the termination of an exhibit? Can it be used again/recycled for future exhibits?

Refer to the checklist in Figure 1 to help determine when a reproduction or period piece should be accessioned and cataloged.

N.4.4 May I remove reproductions or period pieces that are currently in the collection?

Reproductions or period pieces that are already cataloged should remain in the collection unless they:

- do not fit the SOCS

- are badly damaged or deteriorated

- there is a strong justification that the items were accessioned in error

Refer to Chapter 6 in this handbook for instructions on deaccessioning objects and documenting the removal of items that were accessioned in error.

A collections advisory committee must review and recommend deaccessions and the removal of non-museum property that has been accessioned in error.

Don't reuse the catalog numbers of reproductions or period pieces that are deaccessioned or removed from the collection as accessioned in error.

N.4.5 What if the park has a large number of reproductions to deaccession?

Parks with large numbers of reproductions already in the museum collection may wish to reevaluate existing collections. The park must have an up-to-date SOCS that specifically addresses reproductions and period pieces. A collections committee must evaluate these items against the factors in this appendix. The Regional Curator must also review and approve the committee's recommendations.

N.4.6 What about reproductions and period pieces that are used consumptively?

The superintendent can request the Regional Director to approve a cataloged reproduction or period piece for consumptive use. At the end of the object's useful life, the objects is deaccessioned through a Board of Survey. Refer to the Consumptive Use section in Chapter 6 for information on permission for consumptive use. Generally, reproductions can receive routine approval for consumptive use.

The park may want to determine the disposition of some cataloged reproductions, such as curtains and rugs, which will deteriorate from use over time. At acquisition, note on the catalog record that the object will be destroyed through a Board of Survey at the end of its useful life. Note the final disposition in the Description field on the catalog record and in the accession folder.

N.4.7 How will reproductions or period pieces be tracked if they are not cataloged?

There is no service-wide system for tracking reproductions or period pieces that are not cataloged as part of a museum collection. However, as government property, these objects need to be tracked even if they are not cataloged. A few options include:

- listing reproductions and period pieces used in an exhibit in the Exhibits Module of ICMS (or its successor). The exhibit record for each exhibit can include a list of the uncataloged reproductions or period pieces in that exhibit. Enter the list in the Comments field or one of the User fields.

- tracking reproductions and period pieces through Excel spreadsheets, an Access database, or a park-specific tracking system

- using the personal property system for items over $5000

- tracking expensive exhibit pieces (such as reproduction furniture) through the Facility Management Software System (FMSS)

- creating a visual inventory system that uses photographs of a case or wall labeled with numbers corresponding to a list of objects

N.4.8 Are there special procedures for documenting reproductions and period pieces that are cataloged?

Yes. Do the following when documenting reproductions and period pieces that are cataloged:

- Add an R or a P to the catalog number that is marked on the object. Clearly and permanently mark the object in an accessible, but not obtrusive, location. Refer to appendix J in this handbook for marking techniques.

- Complete the Reproduction field on the ICMS catalog record, selecting either Reproduction or Period Piece. Include a note in the Description field stating that the object is a reproduction or period piece.

- Use the accession or catalog folder to store any information about the purchase or manufacture of the reproduction or period piece.

N.5. Living History Items

N.5.1 Are living history items part of the museum collection?

No. The park will manage reproductions and period pieces acquired and used for living history separately from the museum collection.

Parks must store living history items in a separate location from the museum collection. However, in some instances, if they are clearly marked, living history items can be part of an exhibit with cataloged collections.

Living history items are not museum property and must be managed according to the personal property system (Director's Order 44) and not entered into ICMS.

Remove living history items that have been inappropriately accessioned into the museum collection. Refer to Chapter 6 in this handbook for information on removing non-museum property from the collection.

N.5.2 How does the park document living history items?

Staff responsible for living history items should clearly and permanently mark them as living history.

N.6. Exhibit Props

N.6.1 What's the difference between reproductions and exhibit props?

Reproductions are exact or close imitations of museum objects. Exhibit props are produced or acquired to enhance an exhibit and are not intended to be museum objects. Examples of exhibit props include:

- molded plastic fruit or food, candles, Christmas decorations
- product boxes and cans to use as shelf fillers in a store
- panels and dioramas
- display panels
- photographs and other display art, graphics, and text labels
- mannequins and other types of museum supports

N.6.2 How should I document exhibit props?

Don't accession and catalog exhibit props (see 6.4 for rare exceptions). Clearly and permanently mark exhibit props as "Exhibit Prop" or "Prop." Mark them in an accessible, but not obtrusive, location. Track them in the same method the park uses for other uncataloged reproductions.

N.6.3 What if I have exhibit props in my museum collection?

Remove exhibit props that have been inappropriately accessioned into the museum collection. Refer to Chapter 6 in this handbook for information on removing non-museum property from the collection.

N.6.4 When should I accession and catalog exhibit props?

In rare cases, you may want to accession and catalog old exhibit props as examples of:

- notable craftsmanship or maker
- the history of the park
- exhibit techniques or interpretive approaches

N.7. Outdoor Exhibits

N.7.1 Do I catalog objects in outdoor exhibits?

Accession and catalog movable objects in outdoor exhibits if they:

- fit the park's SOCS
- possess scientific, cultural, historic, educational, esthetic, or monetary value and have a direct tie or association to the site

Examples include cannon, farm equipment, and automobiles.

N.7.2 Do I catalog fixed outdoor structures such as monuments?

No. The List of Classified Structures (LCS) defines fixed outdoor monuments as historic structures. NPS-28 *Cultural Resource Management Guideline* defines historic structures as "usually immovable, although some …are mobile by design." They include monuments, nautical vessels, railroad locomotives, and outdoor sculpture.

If pieces of fixed historic structures become detached and cannot be reattached, accession and catalog them as you would architectural elements.

Note: Some large movable outdoor items such as ships and train cars are on the LCS and also cataloged. This determination is made by the park.

N.7.3 Do I complete a facility checklist for museum items in outdoor exhibits?

No. Do not do a facility checklist for outdoor exhibits. Designate the items in outdoor exhibits as controlled property so that they are part of the annual inventory.

Decision Checklist

The collections committee can use this optional checklist to make decisions about including reproductions and period pieces in the museum collection.

Y	N	
☐	☐	Scope of Collections. Does the park SOCS provide guidelines on reproductions/period pieces in the collection?
☐	☐	Research and educational value. Does the reproduction/period piece add to information about the collection that would be of value for research and education?
☐	☐	Unique attributes. Does the reproduction/period piece contain unique attributes that complement the existing collection?
☐	☐	Technical accuracy and workmanship. Is the reproduction/period piece a museum quality piece in its own right?
☐	☐	Artist or maker. Does the artist or maker of the reproduction have a special association with the site?
☐	☐	Monetary value. Should the reproduction/period piece be accessioned because it is of high monetary value, which would make it difficult to replace (possible benchmark value of $5000 or more)?
☐	☐	Number of objects. If there are a large number of similar reproductions/period pieces, should one or a sample be put in the collection rather than all of them?
☐	☐	Longevity. Has the reproduction/period piece been in the park for such a long period of time that it could be considered museum material? Clearly mark reproductions/period pieces that are retained in the collection so that future staff do not mistake them for original material.

Appendix O: Appraisals

Page

O.1 Appraisals

O.1.1 What is an appraisal? O:1
O.1.2 When would I want to assign a monetary value to museum objects? O:1
O:1.3 When am I required to get a formal appraisal of museum objects? O.1
O.1.4 Do all collections have a monetary value? O:2
O.1.5 What other kinds of value do museum collections have? O:2

O.2 Monetary Value

O.2.1 What is fair market value? O:2
O.2.2 What is replacement value? O:2
O.2.3 Do all objects have a fair market and replacement value? O:3
O.2.4 What makes an object valuable? O:3

O.3 Informal Appraisals

O.3.1 Can I assign values to museum objects? O:4
O.3.2 How should I determine a value for museum objects? O:4
O.3.3 How can I gain expertise in market values? O:4
O.3.4 How do I locate subject-matter specialists? O:4
O.3.5 Must a specialist come to the park to evaluate objects? O:5

O.4 Professional Appraisals

O.4.1 When do I need to get a professional appraisal? O:5
O.4.2 How much does an appraisal cost? O:5
O.4.3 Should I do a scope of work for the appraiser? O.5
O.4.4 What should I do to prepare for the appraiser's visit? O:6
O.4.5 What should an appraisal report include? O:6
O.4.6 Can I request changes to an appraisal report? O:7
O.4.7 Do I need to get more than one appraisal? O:7
O.4.8 Does the appraiser have to physically examine the objects? O:7

O.5 Appraisers

O.5.1 What does a professional appraiser do? O:7
O.5.2 How do I find an appraiser? O:8
O.5.3 What should I look for in an appraiser? O:8
O.5.4 What do professional appraisal organizations do? O:9
O.5.5 Are there laws related to appraisers? O:9:

O.6 Re-Appraising Objects

O.6.1 How often should I re-appraise the objects in my collection? O:10
O.6.2 How long is a professional appraisal valid? O:10

O.7 Documenting Appraisal Information

O.7.1 Where do I put appraisal information on the catalog record? O:10
O.7.2 Where should I keep appraisal reports and other written documentation on monetary value? O:11

O.8 Appraisals and Tax Deductions

O.8.1 When is an appraisal required for a donation of objects to a museum? O:11
O.8.2 What IRS form does the donor use to claim a tax deduction? O:11
O.8.3 Does the IRS require the park to acknowledge the donation on Form 8283? O:11
O.8.4 What is IRS Form 8282? O:12
O.8.5 Can I appraise objects for tax deduction purposes? O:12
O.8.6 Can I refer an appraiser to a donor? O:12
O.8.7 What if an appraiser inflates the value of a donation? O:12

O.9 Bibliography

Appendix O: Appraisals of Museum Collections

O.1 Appraisals

O.1.1 What is an appraisal?

An appraisal is an expert estimate of the value of something. The term "appraise" means to place a value on, rate, or judge. Appraisals of museum objects usually are made to determine monetary value. Park staff or subject matter experts can provide informal appraisals for park use. An arms-length, qualified appraiser is required for formal appraisals.

O.1.2 When would I want to assign a monetary value to museum objects?

Assigning monetary values to museum objects can be an important part of collections management. You can use monetary values to:

- determine replacement value for insuring outgoing loans
- document that an exchange of museum objects is equitable
- choose which objects will be controlled property
- justify the need for conservation work
- justify protection and preservation actions
- determine loss in case of damage or theft
- confirm purchase price or the monetary value of an acquisition
- document a proposed deaccession

Note: In the case of theft, law enforcement may base the level of investigation on the monetary value of the object.

O.1.3 When am I required to get a formal appraisal of museum objects?

You must get a formal monetary appraisal for objects in an exchange with:

- institutions outside the federal government
- private individuals

Refer to Chapter 6 for information on exchanges.

O.1.4 Do all collections have a monetary value?

Curators and discipline specialists are usually reluctant to give a monetary value to most natural history and archeological collections. However, certain archeology, paleontology, and geology specimens have a monetary value in the current market. For example, dinosaur specimens can have an extremely high value.

A monetary value may be inappropriate for NAGPRA material and other ethnographic items of cultural significance. Consult with the culturally affiliated group before assigning a monetary value to these types of materials.

O.1.5 What other kinds of value do museum collections have?

Museum collections have scientific, cultural, historic, educational, and esthetic value in addition to their monetary value. NPS collections, in particular, have high associative value. The items in NPS collections are associated with the people, events, and natural features that the parks commemorate. These types of values make many museum items irreplaceable and invaluable.

O.2 Monetary Value

O.2.1What is fair market value?

Fair market value is the price that a willing buyer and seller agree to when there is no pressure to buy or sell. Both the buyer and the seller should have a reasonable knowledge of the item for sale.

Formal appraisals are based on fair market value. Use fair market value to determine if an exchange is equal. Donors use fair market value to determine value for tax deduction purposes.

O.2.2 What is replacement value?

Replacement value is the amount of money you would need to buy a similar item at full retail cost. In the case of replacement value, the owner has no intention of selling the item.

Replacement value is appropriate for most situations in a park, such as:

- including a value on the catalog record
- determining insurance coverage for an outgoing loan
- making management decisions about the collection

Note: The cost of conservation treatment for a site-specific, irreplaceable object may be more than the fair market or replacement value. Keep this point in mind when assigning values for outgoing loans.

O.2.3 Do all objects have a fair market and replacement value?

No. You can usually place a fair market or replacement value on items that frequently appear in auction sales and antique stores. These types of items include artwork, furniture, ceramics, gems, firearms, textiles, coins, jewelry, books, and ethnographic objects. It's much more difficult to place a monetary value on items that have a less active market. For example, certain natural history specimens and archeological items such as soil and lithic samples may possess great historic or scientific value but little or no market value.

O.2.4 What makes an object valuable?

Characteristics that affect object value include:

- artist or maker
- condition
- rarity
- authenticity
- fashion (market demand)
- age
- provenience
- documentation
- historic association
- materials
- quality of manufacture

NPS collections contain many objects with historic association that will affect their monetary value. For example, Theodore Roosevelt's Rough Riders hat will have a higher monetary value because of its association with both an historic person and event.

The condition of an object often affects its value. Missing pieces or visible repairs usually decrease value. Mint condition greatly increases value.

Sometimes the fact that a collection is complete makes it more valuable, such as a collection of 1939 World's Fair bric-a-brac. The completeness of the collection is more valuable than the items within it.

O.3 Informal Appraisals

O.3.1 Can I assign values to museum objects?

Yes. You can assign values to museum objects for some purposes, such as cataloging, identifying controlled property, and outgoing loans. You can't assign values for exchanges outside the federal government, for a donor's tax deduction, or in other cases that require a formal appraisal.

O.3.2 How should I determine a value for museum objects?

An accurate identification of the object is the first step in assigning value. Once you have identified the object, you may need to:

- do research
- check auction catalogs and retail prices for information on market value and demand
- get help from NPS and other museum subject-matter specialists to determine authenticity

Note: Examine the object carefully, and match it as closely as possible to the examples in the auction catalogs and price guides.

O.3.3 How can I gain expertise in market values?

Antique shows, auctions, and educational forums are good places to learn market values. Become familiar with auction catalogs, books on collectibles, and trade journals and newsletters. Price guides offer market values for many types of specialized objects such as dolls, pewter, glass, and furniture. Check price guides at least once a year for changes in market prices.

O.3.4 How do I locate subject-matter specialists?

Other NPS curators or your regional office may be able to refer you to specialists who can authenticate particular types of objects, such as firearms or agricultural equipment. Go online to locate museums with specialized collections. Many curators are willing to help other museums identify material, but most museums do not allow their curators to provide monetary appraisals.

O.3.5 Must a specialist come to the park to evaluate the objects?

No. Physical observation is the best way to evaluate objects, but specialists often can give you information from photographs. Provide a detailed description of the object. Photos must show several views and features such as wear, repairs, and maker's marks. Once you have an expert authentication of an object, you can begin to look for a market value.

O.4 Professional Appraisals

O.4.1 When do I need to get a professional appraisal?

You need a professional, or formal, appraisal for:

- objects of extremely high value or questionable authenticity
- an exchange of museum objects with individuals or institutions outside the federal government
- updating the value of an entire collection
- potential high value purchases or outgoing loans

Note: To determine the value of an entire collection, an appraiser classifies the types of items in the collection. He/she then estimates a value for each category and totals the figures. At times, an appraiser may place a value on each item and total the values.

O.4.2 How much does an appraisal cost?

At one time, appraisers charged a percentage of the total value of the appraised objects. The Internal Revenue Service (IRS) now prohibits appraisal fees based on percentages. Appraisers now charge a per diem or hourly fee. Appraisers working with very high value objects are normally justified in charging a rate commensurate with the value of the objects.

A park may also accept donated appraisal services as long as there is no conflict of interest. Apply the same standards to someone donating services as you would to someone you are paying.

To save on costs, several parks may want to do a joint contract for the services of an appraiser. A region may also administer a contract for appraising objects in various parks.

O.4.3 Should I do a scope of work for the appraiser?

Yes. Services of an appraiser usually include an on-site visit, research, and preparation of a written report. It's a good idea to send the appraiser a written scope of work that includes the:

- date the work is to be done
- fee for the appraisal
- objects to be appraised
- requirement for a final written report

O.4.4 What should I do to prepare for the appraiser's visit?

The following preparations will help make the best use of the appraiser's time:

- Decide whether you want market value or replacement value (see O.2.1 and O.2.2).
- Make sure that the appraiser will have physical access to the objects.
- Supply adequate lighting and a work table/space to examine the objects.
- Have relevant documentation for each object readily available. Documentation should include provenience information, photographs, and catalog records.

O.4.5 What should an appraisal report include?

A professional appraiser's written report should include the following information:

- client's name
- appraiser's name, address, and credentials
- date and place the appraiser viewed the material
- names of consultants
- if the value is fair market or replacement value
- description of the objects that includes, if applicable, condition (including repairs or restoration work), dimensions, materials, style, technique, characteristics, title, date, artist/maker, site of origin, exhibit history, provenience, authenticity, maker's marks, and value

- total value
- basis for the value, such as auction house prices, current state of the market, artist's standing
- signature and date of report
- statement certifying no interest, past, present, or future in the subject property
- appraisal fee with a statement that it is not contingent on the appraised values

For additional information on appraisals. See the Uniform Standards of Professional Appraisal Practice (USPAP) at http://www.appraisal.foundation.org.

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O.5.2 How do I find an appraiser?

The geographical location of some parks can make locating an appraiser difficult.

To find an appraiser, contact:

- your regional curator
- other NPS curators
- museum staff from other institutions
- private collectors
- insurance agents
- professional appraisal organizations (see O.5.4)

O.5.3 What should I look for in an appraiser?

You need to make sure that the appraiser you hire is qualified and ethical. The appraisal of museum objects is not a licensed profession. In fact, most appraisers are commercial dealers. You want an appraiser with a good reputation who is impartial and honest. An appraiser must have no past, present, or future interest, monetary or otherwise, in the object being appraised. He/she may not be a previous owner or vendor of the object. Formal appraisals are sometimes called arms-length appraisals because the appraiser acts independently and has no relationship with the objects.

Look for an appraiser who is an expert in the type of collections for which you want an appraisal. If the appraiser doesn't know the material, he/she will have to do additional research that will increase the cost of the appraisal.

Interview potential appraisers and ask about their training, education, experience, specialties, references, and professional memberships. Ask about the resources they use and how they determine comparisons. You'll also want to see an example of their work. Look for appraisal reports that are complete and that show an expert knowledge of the material.

A good appraiser will be objective, professional, and businesslike. He/she will produce a well-documented report that can withstand close scrutiny.

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According to the Act, a qualified appraiser:

- has been designated as a competent appraiser by a recognized professional appraisal organization or has relevant education and at least 2 years of experience
- regularly prepares paid appraisals
- can verify education and experience in valuing the type of objects being appraised
- has not been barred by the IRS for incompetence or violating regulations, according to 31 USC 330(c), within the last three years; however, the IRS does not provide a list of barred appraisers
- does not fit the definition of an excluded individual

The Act defines an excluded individual as:

- the donor or taxpayer claiming the deduction
- the donee

- a party to how the donor acquired the objects
- any person employed by the other excluded persons
- any person related to the other excluded persons
- an appraiser used regularly by the donor or donee who does not appraise for a majority of other clients

O.6 Re-Appraising Objects

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Continual fluctuations in the market for antiques and fine arts mean that values don't remain current. You should periodically re-examine the values on your catalog records. Re-evaluations are particularly important in the event of theft. The value on the catalog record will determine the type of police investigation and whether or not there are criminal prosecution charges.

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An appraiser may be willing to update his/her previous appraisal for a minimal fee.

O.6.2 How long is a professional appraisal valid?

Depending on the material, a professional appraisal may be valid for years or only months. For most transactions, such as acquisitions, loans, and deaccessions, you'll want a current appraisal. For most objects in storage, you'll update the value infrequently. Update the values of exhibit items and controlled property more often.

The appraisals that you use in an exchange or donation can't be more than 60 days old.

O.7 Documenting Appraisal Information

O.7.1 Where do I put appraisal information on the catalog record?

Use the Appraisals Supplemental Record in ICMS to document appraisal information on the catalog record. The record allows you to track changes in value and link the appraisal data to the name and address of the appraiser. Refer to the supplemental record section of the *ICMS User Manual* for information on how to enter data in this record.

Information in the Appraisals Supplemental Record does not appear on the ICMS catalog record screens. Acquisition value and current value print on the Museum Catalog Record, Form 10-254 and 10-254B.

O.7.2 Where should I keep appraisal reports and other written documentation on monetary value?

File appraisal information in the accession folder or the outgoing loan folder, deaccession folder, or catalog folder. Since most appraisals are for more than one object, you may have to make copies for multiple accession and catalog folders.

Attach electronic appraisal reports or scans of paper reports to the ICMS catalog or accession record on the Multimedia tab.

O.8 Appraisals and Tax Deductions

O.8.1 When is an appraisal required for a donation of objects to a museum?

Donors can claim a tax deduction for donating objects to a museum. The IRS:

- does not require an appraisal for donations less than $500
- allows the use of fair market value for donations between $500 and $5,000
- requires a formal appraisal for donations that total over $5,000 in one year

O.8.2 What IRS form does the donor use to claim a tax deduction?

The donor uses IRS Form 8283 Noncash Charitable Contributions to claim a tax deduction. Keep a copy of the form, and file it in the accession folder.

O.8.3 Does the IRS require the park to acknowledge the donation on Form 8283?

Yes. The park must complete the Donee Acknowledgment section (Part IV) of IRS 8283. This section acknowledges that the park:

- qualifies as a charitable organization and has received the donation
- will file IRS Form 8282, Donee Information Return, if the park disposes of the objects within 3 years of the date of receipt
- will or will not use the property for an unrelated use

Note: Signing Form 8283 does not mean that the park agrees with the appraised value.

O.8.4 What is IRS Form 8282?

If you deaccession a donation reported on Form 8283 within three years of receipt, you must report the deaccession to the IRS on Form 8282 Donee Information Return. You must include the donor's tax identification number and send the donor a copy of the form. Keep a copy of the form, and file it in the accession folder.

You don't need to complete Form 8282 if the donation was valued at less than $500.

Note: It's against NPS policy to acquire an object with the intention of deaccessioning it.

O.8.5 Can I appraise objects for tax deduction purposes?

No. NPS staff cannot give appraisals for tax deduction purposes even on their own time. Providing an appraisal for potential donations is a conflict of interest, since the park is an interested party in the transaction.

O.8.6 Can I refer an appraiser to a donor?

No. You can't refer a specific appraiser to a donor in order to get an appraisal for tax deduction purposes. You can give donors a list of appraisers or refer them to the ASA and other professional associations of appraisers.

Refer donors to IRS Publication 561 Determining the Value of Donated Property at www.irs.gov. This publication explains when appraisals are required, what they should contain, and how the IRS reviews them. IRS Publication 526 Charitable Contributions explains how to claim a deduction for charitable contributions.

Note: IRS requirements are frequently modified, so check the IRS web site when dealing with tax deductions.

O.8.7 What if an appraiser inflates the value of a donation?

The Pension Protection Act of 2006 imposes a penalty on the appraiser and the donor for gross overvaluations. The park should not get involved with reporting an overvaluation. Form 8283 contains a statement that the donee's signature does not mean agreement with the appraised value.

O.9 Bibliography

Buck, Rebecca A. and Jean A. Gilmore. *Museum Registration Methods*, 5th ed. Washington, D.C.: AAM Press, 2010.

Malaro, Marie C. and Ildiko P. Deangelis. *A Legal Primer on Managing Museum Collections*, 3rd ed. Washington, D.C.: Smithsonian Books, 2012.

☐ ☐ Rarity. Would the park have great difficulty in replacing the reproduction/period piece due to workmanship and materials?

☐ ☐ Level of documentation. Does the reproduction/piece have a particularly noteworthy provenance that can justify its inclusion in the collection?

☐ ☐ Intended Use. Will the objects be used consumptively, such as a reproduction carpet?

☐ ☐ Condition and completeness. Is the reproduction/period piece in good condition with all its component parts?

☐ ☐ Long-term preservation costs. Will the park be able to, or want to, pay for conservation treatment of the object in the future?

☐ ☐ Environment. Is the reproduction/period piece in an environment that does not meet museum standards?

☐ ☐ Storage space. When the reproduction/period piece is no longer on exhibit, is it an item that the park wants to keep in museum storage? Is there adequate storage space available?

☐ ☐ Interpretive focus. Has there been a change in interpretive focus at the park that would make the reproduction/period piece fit the SOCS?

☐ ☐ Exhibit termination. Does the reproduction/period piece need to be re-evaluated at the termination of an exhibit? Can it be used again/recycled for future exhibits?

Figure 1: Decision Checklist (optional)

Appendix O: Appraisals

Page

O.1 Appraisals

O.1.1 What is an appraisal? O:1
O.1.2 When would I want to assign a monetary value to museum objects? O:1
O:1.3 When am I required to get a formal appraisal of museum objects? O.1
O.1.4 Do all collections have a monetary value? O:2
O.1.5 What other kinds of value do museum collections have? O:2

O.2 Monetary Value

O.2.1 What is fair market value? O:2
O.2.2 What is replacement value? O:2
O.2.3 Do all objects have a fair market and replacement value? O:3
O.2.4 What makes an object valuable? O:3

O.3 Informal Appraisals

O.3.1 Can I assign values to museum objects? O:4
O.3.2 How should I determine a value for museum objects? O:4
O.3.3 How can I gain expertise in market values? O:4
O.3.4 How do I locate subject-matter specialists? O:4
O.3.5 Must a specialist come to the park to evaluate objects? O:5

O.4 Professional Appraisals

O.4.1 When do I need to get a professional appraisal? O:5
O.4.2 How much does an appraisal cost? O:5
O.4.3 Should I do a scope of work for the appraiser? O.5
O.4.4 What should I do to prepare for the appraiser's visit? O:6
O.4.5 What should an appraisal report include? O:6
O.4.6 Can I request changes to an appraisal report? O:7
O.4.7 Do I need to get more than one appraisal? O:7
O.4.8 Does the appraiser have to physically examine the objects? O:7

O.5 Appraisers

O.5.1 What does a professional appraiser do? O:7
O.5.2 How do I find an appraiser? O:8
O.5.3 What should I look for in an appraiser? O:8
O.5.4 What do professional appraisal organizations do? O:9
O.5.5 Are there laws related to appraisers? O:9:

O.6 Re-Appraising Objects

O.6.1 How often should I re-appraise the objects in my collection? O:10
O.6.2 How long is a professional appraisal valid? O:10

O.7 Documenting Appraisal Information

O.7.1 Where do I put appraisal information on the catalog record? O:10
O.7.2 Where should I keep appraisal reports and other written documentation on monetary value? O:11

O.8 Appraisals and Tax Deductions

O.8.1 When is an appraisal required for a donation of objects to a museum? O:11
O.8.2 What IRS form does the donor use to claim a tax deduction? O:11
O.8.3 Does the IRS require the park to acknowledge the donation on Form 8283? O:11
O.8.4 What is IRS Form 8282? O:12
O.8.5 Can I appraise objects for tax deduction purposes? O:12
O.8.6 Can I refer an appraiser to a donor? O:12
O.8.7 What if an appraiser inflates the value of a donation? O:12

O.9 Bibliography

Appendix O: Appraisals of Museum Collections

O.1 Appraisals

O.1.1 What is an appraisal?

An appraisal is an expert estimate of the value of something. The term "appraise" means to place a value on, rate, or judge. Appraisals of museum objects usually are made to determine monetary value. Park staff or subject matter experts can provide informal appraisals for park use. An arms-length, qualified appraiser is required for formal appraisals.

O.1.2 When would I want to assign a monetary value to museum objects?

Assigning monetary values to museum objects can be an important part of collections management. You can use monetary values to:

- determine replacement value for insuring outgoing loans
- document that an exchange of museum objects is equitable
- choose which objects will be controlled property
- justify the need for conservation work
- justify protection and preservation actions
- determine loss in case of damage or theft
- confirm purchase price or the monetary value of an acquisition
- document a proposed deaccession

Note: In the case of theft, law enforcement may base the level of investigation on the monetary value of the object.

O.1.3 When am I required to get a formal appraisal of museum objects?

You must get a formal monetary appraisal for objects in an exchange with:

- institutions outside the federal government
- private individuals

Refer to Chapter 6 for information on exchanges.

O.1.4 Do all collections have a monetary value?

Curators and discipline specialists are usually reluctant to give a monetary value to most natural history and archeological collections. However, certain archeology, paleontology, and geology specimens have a monetary value in the current market. For example, dinosaur specimens can have an extremely high value.

A monetary value may be inappropriate for NAGPRA material and other ethnographic items of cultural significance. Consult with the culturally affiliated group before assigning a monetary value to these types of materials.

O.1.5 What other kinds of value do museum collections have?

Museum collections have scientific, cultural, historic, educational, and esthetic value in addition to their monetary value. NPS collections, in particular, have high associative value. The items in NPS collections are associated with the people, events, and natural features that the parks commemorate. These types of values make many museum items irreplaceable and invaluable.

O.2 Monetary Value

O.2.1What is fair market value?

Fair market value is the price that a willing buyer and seller agree to when there is no pressure to buy or sell. Both the buyer and the seller should have a reasonable knowledge of the item for sale.

Formal appraisals are based on fair market value. Use fair market value to determine if an exchange is equal. Donors use fair market value to determine value for tax deduction purposes.

O.2.2 What is replacement value?

Replacement value is the amount of money you would need to buy a similar item at full retail cost. In the case of replacement value, the owner has no intention of selling the item.

Replacement value is appropriate for most situations in a park, such as:

- including a value on the catalog record
- determining insurance coverage for an outgoing loan
- making management decisions about the collection

Note: The cost of conservation treatment for a site-specific, irreplaceable object may be more than the fair market or replacement value. Keep this point in mind when assigning values for outgoing loans.

O.2.3 Do all objects have a fair market and replacement value?

No. You can usually place a fair market or replacement value on items that frequently appear in auction sales and antique stores. These types of items include artwork, furniture, ceramics, gems, firearms, textiles, coins, jewelry, books, and ethnographic objects. It's much more difficult to place a monetary value on items that have a less active market. For example, certain natural history specimens and archeological items such as soil and lithic samples may possess great historic or scientific value but little or no market value.

O.2.4 What makes an object valuable?

Characteristics that affect object value include:

- artist or maker
- condition
- rarity
- authenticity
- fashion (market demand)
- age
- provenience
- documentation
- historic association
- materials
- quality of manufacture

NPS collections contain many objects with historic association that will affect their monetary value. For example, Theodore Roosevelt's Rough Riders hat will have a higher monetary value because of its association with both an historic person and event.

The condition of an object often affects its value. Missing pieces or visible repairs usually decrease value. Mint condition greatly increases value.

Sometimes the fact that a collection is complete makes it more valuable, such as a collection of 1939 World's Fair bric-a-brac. The completeness of the collection is more valuable than the items within it.

O.3 Informal Appraisals

O.3.1 Can I assign values to museum objects?

Yes. You can assign values to museum objects for some purposes, such as cataloging, identifying controlled property, and outgoing loans. You can't assign values for exchanges outside the federal government, for a donor's tax deduction, or in other cases that require a formal appraisal.

O.3.2 How should I determine a value for museum objects?

An accurate identification of the object is the first step in assigning value. Once you have identified the object, you may need to:

- do research
- check auction catalogs and retail prices for information on market value and demand
- get help from NPS and other museum subject-matter specialists to determine authenticity

Note: Examine the object carefully, and match it as closely as possible to the examples in the auction catalogs and price guides.

O.3.3 How can I gain expertise in market values?

Antique shows, auctions, and educational forums are good places to learn market values. Become familiar with auction catalogs, books on collectibles, and trade journals and newsletters. Price guides offer market values for many types of specialized objects such as dolls, pewter, glass, and furniture. Check price guides at least once a year for changes in market prices.

O.3.4 How do I locate subject-matter specialists?

Other NPS curators or your regional office may be able to refer you to specialists who can authenticate particular types of objects, such as firearms or agricultural equipment. Go online to locate museums with specialized collections. Many curators are willing to help other museums identify material, but most museums do not allow their curators to provide monetary appraisals.

O.3.5 Must a specialist come to the park to evaluate the objects?

No. Physical observation is the best way to evaluate objects, but specialists often can give you information from photographs. Provide a detailed description of the object. Photos must show several views and features such as wear, repairs, and maker's marks. Once you have an expert authentication of an object, you can begin to look for a market value.

O.4 Professional Appraisals

O.4.1 When do I need to get a professional appraisal?

You need a professional, or formal, appraisal for:

- objects of extremely high value or questionable authenticity
- an exchange of museum objects with individuals or institutions outside the federal government
- updating the value of an entire collection
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Note: To determine the value of an entire collection, an appraiser classifies the types of items in the collection. He/she then estimates a value for each category and totals the figures. At times, an appraiser may place a value on each item and total the values.

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The appraisals that you use in an exchange or donation can't be more than 60 days old.

O.7 Documenting Appraisal Information

O.7.1 Where do I put appraisal information on the catalog record?

Use the Appraisals Supplemental Record in ICMS to document appraisal information on the catalog record. The record allows you to track changes in value and link the appraisal data to the name and address of the appraiser. Refer to the supplemental record section of the *ICMS User Manual* for information on how to enter data in this record.

Information in the Appraisals Supplemental Record does not appear on the ICMS catalog record screens. Acquisition value and current value print on the Museum Catalog Record, Form 10-254 and 10-254B.

O.7.2 Where should I keep appraisal reports and other written documentation on monetary value?

File appraisal information in the accession folder or the outgoing loan folder, deaccession folder, or catalog folder. Since most appraisals are for more than one object, you may have to make copies for multiple accession and catalog folders.

Attach electronic appraisal reports or scans of paper reports to the ICMS catalog or accession record on the Multimedia tab.

O.8 Appraisals and Tax Deductions

O.8.1 When is an appraisal required for a donation of objects to a museum?

Donors can claim a tax deduction for donating objects to a museum. The IRS:

- does not require an appraisal for donations less than $500
- allows the use of fair market value for donations between $500 and $5,000
- requires a formal appraisal for donations that total over $5,000 in one year

O.8.2 What IRS form does the donor use to claim a tax deduction?

The donor uses IRS Form 8283 Noncash Charitable Contributions to claim a tax deduction. Keep a copy of the form, and file it in the accession folder.

O.8.3 Does the IRS require the park to acknowledge the donation on Form 8283?

Yes. The park must complete the Donee Acknowledgment section (Part IV) of IRS 8283. This section acknowledges that the park:

- qualifies as a charitable organization and has received the donation
- will file IRS Form 8282, Donee Information Return, if the park disposes of the objects within 3 years of the date of receipt
- will or will not use the property for an unrelated use

Note: Signing Form 8283 does not mean that the park agrees with the appraised value.

O.8.4 What is IRS Form 8282?

If you deaccession a donation reported on Form 8283 within three years of receipt, you must report the deaccession to the IRS on Form 8282 Donee Information Return. You must include the donor's tax identification number and send the donor a copy of the form. Keep a copy of the form, and file it in the accession folder.

You don't need to complete Form 8282 if the donation was valued at less than $500.

Note: It's against NPS policy to acquire an object with the intention of deaccessioning it.

O.8.5 Can I appraise objects for tax deduction purposes?

No. NPS staff cannot give appraisals for tax deduction purposes even on their own time. Providing an appraisal for potential donations is a conflict of interest, since the park is an interested party in the transaction.

O.8.6 Can I refer an appraiser to a donor?

No. You can't refer a specific appraiser to a donor in order to get an appraisal for tax deduction purposes. You can give donors a list of appraisers or refer them to the ASA and other professional associations of appraisers.

Refer donors to IRS Publication 561 Determining the Value of Donated Property at www.irs.gov. This publication explains when appraisals are required, what they should contain, and how the IRS reviews them. IRS Publication 526 Charitable Contributions explains how to claim a deduction for charitable contributions.

Note: IRS requirements are frequently modified, so check the IRS web site when dealing with tax deductions.

O.8.7 What if an appraiser inflates the value of a donation?

The Pension Protection Act of 2006 imposes a penalty on the appraiser and the donor for gross overvaluations. The park should not get involved with reporting an overvaluation. Form 8283 contains a statement that the donee's signature does not mean agreement with the appraised value.

O.9 Bibliography

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