

Appendix I: Lot Cataloging

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APPENDIX I: LOT CATALOGING

A. General Rules for Lot Cataloging

- 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.
- 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.
- 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
- 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.
- 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+.
- 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.
- How do I number the objects in a lot?*

<i>If there are...</i>	<i>Then...</i>
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 Name: 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. 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.

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

<i>If the specimens...</i>	<i>Then track them...</i>
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.

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Completed Catalog Record – Lot Cataloging (Archeology)
Completed Catalog Record – Lot Cataloging (Archeology)
Completed Catalog Record – Lot Cataloging (History)
Completed Catalog Record – Lot Cataloging (Biology)
Completed Catalog Record – Lot Cataloging (Geology)

Figure I.1. Completed Catalog Record – Lot Cataloging (Archeology)

MUSEUM CATALOG RECORD-CR	REGISTRATION DATA		CATALOG DATA	
	CLASSIFICATION ARCHEOLOGY	OBJECT LOCATION UNC LABORATORY OF ARCHEOLOGY	CONTROLLED PROPERTY N	
	PREHISTORIC	OBJECT STATUS AND YEAR LOAN OUT - NON-NPS 1998	PARK ACRONYM PARK	CATALOG NUMBER NUMBER 28020
	MINERAL	ACQUISITION TYPE FIELD COLLECTION	ACQUISITION DATE 09/05/1998	ACCESSION NUMBER PARK-00248
	CERAMIC	OBJECT VESSEL FRAGMENT	LOT QUANTIFICATION ITEM COUNT 26	
	STORAGE UNIT EA			
	DESCRIPTION SAVANNAH FINE CORDMARKED. APLASTIC, GRIT. APLASTIC, SAND. BODY. COILED. FIRED. CORD IMPRESSED. T AND E. MATERIALS. FOOD. PROCESSING.			
	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 MISSISSIPPIAN	
	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 12. Completed Catalog Record – Lot Cataloging (Archeology)

MUSEUM CATALOG RECORD-CR	REGISTRATION DATA		CATALOG DATA	
	CLASSIFICATION	OBJECT LOCATION	CONTROLLED PROPERTY	
	ARCHEOLOGY	UNC LABORATORY OF ARCHEOLOGY	N	
	PREHISTORIC	OBJECT STATUS AND YEAR	CATALOG NUMBER	
	ANIMAL	LOAN OUT - NON-NPS 1998	PARK ACRONYM PARK	NUMBER 25185
	BONE	ACQUISITION TYPE	ACQUISITION DATE	ACCESSION NUMBER
		FIELD COLLECTION	09/05/1998	PARK-00248
	OBJECT	LOT QUANTIFICATION		
	BONE	ITEM COUNT	STORAGE UNIT	
			1.00 BAG	
DESCRIPTION ANIMALIA				
BYPRODUCT, RESIDUALS, FOOD PROCESSING, FAUNA				
SITE OF ORIGINAL COLLECTION/PROVENIENCE		SITE OF ORIGIN		
248.1 09CH 0002SQ0420N0670E, LV03 CONNINGHAM _BECKETT _NC		CONNINGHAM _BECKETT _NC _USA		
CULTURAL IDENTITY		OBJECT DATE	HISTORIC / CULTURAL PERIOD	
DIMENSIONS/WEIGHT		PHOTO NUMBER	OTHER NUMBERS	
_ 84.5 G _			PARK-00248	
MEDIUM/MATERIALS		CONDITION	MAINTENANCE CYCLE	
BONE		FRG/GD	5.0/1998	
IDENTIFIED BY AND DATE		EMINENT FIGURE ASSOCIATION		ARTIST/MAKER
OGLETHORPE, MARK 09/05/1998				
CATALOGER AND DATE		VALUE AT ACQUISITION, BASIS		CURRENT VALUE, DATE, BASIS
ASWORTH, MARY 09/15/1998				
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.3. Completed Catalog Record – Lot Cataloging (History)

MUSEUM CATALOG RECORD-CR	REGISTRATION DATA		CLASSIFICATION HISTORY	OBJECT LOCATION BLDG 45 RM 14 CAB 5 DR C	CONTROLLED PROPERTY N			
			COMMUNICATION ARTIFACTS	OBJECT STATUS AND YEAR STORAGE 1998	CATALOG NUMBER PARK ACRONYM PARK 17719			
			DOCUMENTARY ARTIFACT	ACQUISITION TYPE GIFT	ACQUISITION DATE 04/08/1998	ACCESSION NUMBER PARK-00001		
			OBJECT PLATE, COMMEMORATIVE	LOT QUANTIFICATION		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				
		CATALOGER AND DATE RAMIREZ, JOSE 06/01/1998		ARTIST/MAKER WEDGEWOOD\MANUFACTURER				
		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 1.4. Completed Catalog Record – Lot Cataloging (Biology)

MUSEUM CATALOG RECORD-NH	REGISTRATION DATA		CLASSIFICATION		OBJECT LOCATION L140 MS CAB 14 DR B			CONTROLLED PROPERTY				
	BIOLOGY		ANIMALIA		INSECTA		LEPIDOPTERA		N			
	OBJECT STATUS AND YEAR		STORAGE 1999		ACQUISITION TYPE		FIELD COLLECTION		PARK ACRONYM PARK			
	CATALOG NUMBER		12089		ACQUISITION DATE		06/06/1999		ACCESSION NUMBER PARK-00074			
	OBJECT/SPECIMEN NAME		Gnophaela ___ vermiculata ___ GROTE ___		LOT QUANTIFICATION		ITEM COUNT		STORAGE UNIT			
					10		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.									
	MUSEUM CATALOG RECORD-NH	CATALOG DATA		COLLECTION SITE		PARK		TOWNSHIP/RANGE/SECTION		COUNTY		STATE
MERSER RIVER VALLEY		PARK						MONROE		OR		
WATERBODY/DRAINAGE		UTM Z/E/N		LAT.		LONG.		ELEVATION		DEPTH		
		10/608181/5198717										
HABITAT/DEPOSITIONAL ENVIRONMENT		FORMATION-PERIOD		DIMENSIONS/WEIGHT								
COLLECTOR		COLLECTION NO.		COLLECTION DATE		MAINTENANCE CYCLE		CONDITION				
MACDONALD, JAMES		FS 120		07/29/1998		5.0/1999		COM/GD				
IDENTIFIED BY AND DATE		TYPE		VALUE AT ACQUISITION, BASIS		CURRENT VALUE, DATE, BASIS		PHOTO NUMBER				
MITSUHIRO, YOSHIMURA 07/10/1999		N										
CATALOGER AND DATE		EMINENT FIGURE ASSOCIATION		OTHER NUMBERS								
COLTON, WILLIAM T. 07/13/1999												
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)

MUSEUM CATALOG RECORD-NH	REGISTRATION DATA		CLASSIFICATION		OBJECT LOCATION			USGS MENLO PARK CA		CONTROLLED PROPERTY		N		
			GEOLOGY		OBJECT STATUS AND YEAR			PARK ACRONYM		CATALOG NUMBER		NUMBER		
			ROCKS		LOAN OUT -			PARK		9765				
			IGNEOUS		1999									
			VOLCANIC AND SHALLOW-INTRUSIVES		ACQUISITION TYPE			ACQUISITION DATE		ACCESSION NUMBER				
					FIELD COLLECTION			01/21/1999		PARK-01114				
			OBJECT/SPECIMEN NAME					LOT QUANTIFICATION						
			BAKER LAKE VOLCANIC ROCK CORE SAMPLES __ANDESITE, DACITE AND PUMICE					ITEM COUNT		STORAGE UNIT				
								12		EA				
			DESCRIPTION		PALEOMAGNETIC CORE SAMPLE: ANDESITE OF MAULEY COVE 79 PLUS MINUS 13,74 PLUS OR MINUS 10KA, SKELL HEAD ANDESITE.									
MUSEUM CATALOG RECORD-NH	CATALOG DATA		COLLECTION SITE		PARK		TOWNSHIP/RANGE/SECTION		COUNTY		STATE			
			MAULEY COVE		PARK				SKAGIT		WA			
			WATERBODY/DRAINAGE		UTM Z/E/N		LAT.		LONG.		ELEVATION		DEPTH	
							__48__95		__237__95					
			HABITAT/DEPOSITIONAL ENVIRONMENT		FORMATION-PERIOD			DIMENSIONS/WEIGHT						
			VOLCANO		MOUNT MAZAMA, CASCADES									
			COLLECTOR		COLLECTION NO.		COLLECTION DATE		MAINTENANCE CYCLE		CONDITION			
			HERTZOG, DONNA		4B438		08/16/1997 --AD --		0.9/1999		COM/EX			
			IDENTIFIED BY AND DATE		TYPE		VALUE AT ACQUISITION, BASIS		CURRENT VALUE, DATE, BASIS		PHOTO NUMBER			
			HERTZOG, DONNA 08/21/1997		N									
		CATALOGER AND DATE		EMINENT FIGURE ASSOCIATION				OTHER NUMBERS						
		LOPEZ, JUAN 01/23/1999												
		RESTRICTION		REPRODUCTION		PUBLICATION CITATION		PRESERVATION TREATMENT		CATALOG FOLDER		SIGNIFICANCE		
		N		N		N		N		N		N		
		U.S. DEPARTMENT OF THE INTERIOR		MUSEUM CATALOG RECORD - NATURAL HISTORY				NATIONAL PARK SERVICE						
								FORM 10-254B REV. 7/84						