

## Appendix I: Lot Cataloging

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# APPENDIX I: LOT CATALOGING

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## 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?*

<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.

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**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.

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**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.

**D. List of Figures**

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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)



MUSEUM CATALOG RECORD-CR		REGISTRATION 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 28020
MINERAL	ACQUISITION TYPE FIELD COLLECTION	ACQUISITION DATE 09/05/1998	ACCESSION NUMBER PARK-00248
CERAMIC	OBJECT	LOT QUANTIFICATION	
	VESSEL FRAGMENT	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	
IDENTIFIED BY AND DATE OGLETHORPE, MARK 09/09/1998		ARTIST/MAKER	
CATALOGUER AND DATE ASWORTH, MARY 10/09/1998		CURRENT VALUE, DATE, BASIS	
RESTRICTION N	REPRODUCTION N	PUBLICATION CITATION N	PRESERVATION TREATMENT N
U.S. DEPARTMENT OF THE INTERIOR MUSEUM CATALOG RECORD - CULTURAL RESOURCES			
CATALOG FOLDER		SIGNIFICANCE	N
NATIONAL PARK SERVICE FORM 10-254 REV. 7/84			

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

MUSEUM CATALOG RECORD-CR		CATALOG DATA		REGISTRATION 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 25185	NUMBER	
ANIMAL	ACQUISITION TYPE FIELD COLLECTION	ACQUISITION DATE 09/05/1998	ACCESSION NUMBER PARK-00248		
BONE		LOT QUANTIFICATION		STORAGE UNIT	
OBJECT		ITEM COUNT	1.00 BAG		
BONE					
DESCRIPTION	ANIMALIA				
	BYPRODUCT, RESIDUALS, FOOD PROCESSING, FAUNA				
SITE OF ORIGINAL COLLECTION/PROVENIENCE 248.1 09CH 0002SQ0420N0670E, L V03 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	EMINENT FIGURE ASSOCIATION		CONDITION FRG/GD	MAINTENANCE CYCLE 5.0/1998	
IDENTIFIED BY AND DATE OGLETHORPE, MARK 09/05/1998	CURRENT VALUE, DATE, BASIS				
CATALOGER AND DATE ASWORTH, MARY 09/15/1998	VALUE AT ACQUISITION, BASIS				
RESTRICTION N	REPRODUCTION N	PUBLICATION CITATION N	PRESERVATION TREATMENT N	CATALOG FOLDER N	SIGNIFICANCE N
U.S. DEPARTMENT OF THE INTERIOR					
<b>MUSEUM CATALOG RECORD - CULTURAL RESOURCES</b>					
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	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).		
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 WEDGEWOOD/MANUFACTURER		
CATALOGER AND DATE RAMIREZ, JOSE 06/01/1998	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.3. Completed Catalog Record – Lot Cataloging (History)

<b>MUSEUM CATALOG RECORD-NH</b>		<b>REGISTRATION DATA</b>		<b>CATALOG DATA</b>	
CLASSIFICATION	OBJECT LOCATION	L140 MS CAB 14 DR B		CONTROLLED PROPERTY	
BIOLOGY	OBJECT STATUS AND YEAR	STORAGE 1999		N	
ANIMALIA	PARK ACRONYM	PARK		CATALOG NUMBER	
INSECTA	STORAGE	12089		NUMBER	
LEPIDOPTERA	ACQUISITION TYPE	FIELD COLLECTION		ACQUISITION DATE	
OBJECT/SPECIMEN NAME	ACQUISITION DATE	06/06/1999		PARK-00074	
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.				
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		
	COLLECTION NO.	COLLECTION DATE	MAINTENANCE CYCLE	CONDITION	
	FS 120	07/29/1998	5.0/1999	COM/GD	
IDENTIFIED BY AND DATE	TYPE	VALUE AT ACQUISITION, BASIS	CURRENT VALUE, DATE, BASIS		
MITSUHIRO, YOSHIMURA 07/10/1999	N				
CATALOGER AND DATE	EMINENT FIGURE ASSOCIATION		OTHER NUMBERS		
COLTON, WILLIAM T. 07/13/1999					
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		

Figure I.4. Completed Catalog Record – Lot Cataloging (Biology)

<b>MUSEUM CATALOG RECORD-NH</b>		<b>REGISTRATION DATA</b>	
CLASSIFICATION GEOLOGY ROCKS IGNEOUS VOLCANIC AND SHALLOW-INTRUSIVES	OBJECT LOCATION USGS MENLO PARK CA	CONTROLLED PROPERTY N	
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.	OBJECT STATUS AND YEAR LOAN OUT - 1999 ACQUISITION TYPE FIELD COLLECTION	PARK ACRONYM PARK	CATALOG NUMBER NUMBER 9765
		ACQUISITION DATE 01/21/1999	ACCESSION NUMBER PARK-01114
		LOT QUANTIFICATION ITEM COUNT 12	STORAGE UNIT EA
<b>CATALOG DATA</b>			
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
IDENTIFIED BY AND DATE HERTZOG, DONNA 08/21/1997	TYPE N	VALUE AT ACQUISITION, BASIS EMINENT FIGURE ASSOCIATION	CONDITION COM/EX
CATALOGER AND DATE LOPEZ, JUAN 01/23/1999	OTHER NUMBERS		PHOTO NUMBER
RESTRICTION N	REPRODUCTION N	PUBLICATION CITATION N	PRESERVATION TREATMENT N
CATALOG FOLDER	SIGNIFICANCE N	NATIONAL PARK SERVICE	
U.S. DEPARTMENT OF THE INTERIOR			
MUSEUM CATALOG RECORD - NATURAL HISTORY			
FORM 10-254B REV. 7/84			

Figure I.5. Completed Catalog Record – Log Cataloging (Geology)