



# INDIANA UNIVERSITY

## PALEONTOLOGY COLLECTION

### Indiana University Paleontology Collection Policy

Repository of the Department of Earth and Atmospheric Sciences

Indiana University, Bloomington, Indiana

<http://www.indiana.edu/~palcoll/>

Approved January 2012 by Policy Committee and Chair,  
Department of Earth and Atmospheric Sciences, Indiana University

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## **Preamble**

The IU Paleontology Collection is an international research resource that houses fossil materials for the purposes of research and teaching. The Collection is available for study by the international scientific community. Our Collection contains type specimens that are accessible to the scientific community as prescribed by the International Code of Zoological Nomenclature (2000, Recommendations 72D, 72F).

### **I. Acquisitions**

#### **A. Conditions of acceptance**

Specimens acquired for the IU Paleontology Collection (hereafter referred to as the Repository) should be obtained free and clear without restrictions as to use or future disposition. The Repository cannot guarantee that specimens will be retained permanently, placed on display permanently, or remain together as a group in storage (but see our restrictive policy on deaccessions below). Exceptions may be made for special collections such as those obtained from Federal agencies that are forbidden by law to be transferred. The Repository normally accessions only those specimens that have associated geographic and geologic data, without which their scientific usefulness is limited.

#### **B. Thesis and Dissertation Collections**

Specimens collected for theses and dissertations, including described or figured specimens, along with accompanying data (e.g., field, laboratory or preparation notes), will normally be deposited with the Repository (or another institution that houses paleontology collections if collecting agreements so stipulate).

### **II. Collection Management**

#### **A. Incoming loans**

Loans made by other institutions to IU faculty, staff, and students are to be handled by the curators of the Repository to ensure that records of where the material belongs are maintained. Once the loan is accepted, the conditions of loan (e.g., use, storage, exhibition, duplication, destructive sampling) set by the lending institutions will be adhered to by IU. Loans may not be transferred to another institution or person without prior written approval from the lending institution. All loan documentation becomes part of the permanent record.

The Repository will not knowingly accept material on loan that was

collected or imported illegally, or that might place the University in a compromising legal or ethical position.

Specimens that are damaged or lost while on loan to the Repository must be documented and the lending institution notified immediately.

#### B. Use of the collection

Methods of accessing specimens or data from the Collection include 1) physical access to the specimens; 2) loan of specimens; or 3) verbal or written compilations of associated data. Unconditional access to and use of specimens is not feasible, therefore, the following guidelines will be followed:

#### C. Access to the collection

Access to the collection is restricted to the curators, authorized faculty and students, and visitors with supervision. Authorized faculty and students are those who need to use the collections for teaching and research.

Visitors wishing to use the collection must request an appointment in advance and be approved by the curators. Visits will be granted as the curators' schedules permit. Visitors must be supervised by the curators, authorized faculty, or students at all times. The following criteria will be used to grant access to the collection:

1. The individual must have a legitimate reason for using the collection (e.g., scholarly research),
2. The individual must comply with security precautions and collection procedures,
3. The individual must be willing to work during regular departmental hours, and
4. The individual may be asked to demonstrate competence in the physical handling of specimens.

Visitors who have abused their status or damaged specimens may be denied access. Keys are not issued to non-University personnel, except in rare cases and only with permission from the curators.

Non-academic requests (private collectors, hobbyists, clubs, commercial users, artists, etc.) will be reviewed individually. Such non-academic access (tours behind the scenes) will be closely supervised by the curators, authorized faculty, or students. Research and photographic equipment, and preparation materials will be made available whenever possible.

Access to the Collection's archives and specimen data is open to the public with written permission of the curators, with occasional restriction on documents containing information on site-specific location of rare, threatened, and endangered species, significant historic, archaeological, and paleontological sites if the disclosure of such information would jeopardize the

integrity of continued existence of the resource. See Section D for restrictions on commercial use.

#### D. User Fees

No fees are charged for in-house use of materials, for loaned materials, or for internet-based information that is used by researchers or the public for non-profit scientific or educational purposes. Requests for commercial use will be reviewed on a case-by-case basis. Fees may be charged for commercial projects if deemed appropriate.

#### E. Loans

Request for loans should be made in writing (including e-mail) and should include the purpose of the loan and a description of material requested. Loans must have a scholarly or educational purpose. Loans are made to institutions and sent to the borrower (a permanent employee of the institution) as the person responsible for the loan. Students may examine specimens; however, loans on behalf of students will be made to the student's academic supervisor.

Loans are subject to the following guidelines (exceptions must be requested and granted in writing).

1. The borrower must sign and return the loan form accompanying the specimens as an acknowledgment that the specimens were received in good condition (exceptions noted).
2. The borrower is responsible for the safety of loaned material. Specimens should be stored according to professional standards in specimen cases that are free from hazards (fire, theft, water damage, etc.; recommendations will accompany specimens with special needs).
3. All material sent on loan must be returned by the specified date (or extension). Loans may be extended upon request from the borrower. Type specimens are loaned for six months, non-types for one year. More restricted loans (1 month or less) are issued when the material is needed by in-house faculty or students.
4. Specimens may not be forwarded to another institution or individual without prior written approval of the curators.
5. Specimens may not be prepared, destructively sampled, or altered in any way without prior written approval of the curators. Special requests for destructive testing must be fully justified and submitted in writing for approval by the curators. Requests to alter primary type specimens (holotypes, lectotypes, neotypes) are discouraged and evaluation of such requests will be considered more conservatively than for non-type specimens.
6. If permission is granted for further preparation or destructive sampling, the specimens must be well documented (photographed and, in some cases, cast

- or scanned) before preparation. All preparations, fragments, casts, photographs, and scans made prior to preparation must be returned.
7. All original documents accompanying the specimens must remain with the specimens and should not be defaced. Indicate nomenclatural changes and relevant observations on a "comment card" accompanying the specimens (sign and date the comment card and place it with the specimen).
  8. Specimens are the responsibility of the borrower until returned to the Repository. Therefore, loans should be packed carefully and shipped in the same (or better) manner as received. Type specimens must be returned by registered mail (or another method that tracks delivery).
  9. The borrower must agree to cover the cost of return shipping and insurance (if deemed necessary).
  10. The Indiana University and the Department of Geological Sciences must receive credit in any publications based upon the use of specimens from the collection. The acronym "IU" should be used as a prefix to the catalogue number.
  11. The borrower must request new catalogue numbers for use with previously uncatalogued material or for specimens that need to be distinguished from a lot. The curators will assign appropriate catalogue designations.
  12. Authors shall send a reprint, which may be in PDF format, of any publications based in whole or in part upon material loaned from the Repository. Normally we expect that copies of casts, digital photographs, scans, or other data directly derived from the specimens be deposited with the Repository for inclusion in our internet database of associated data; exceptions will be considered on a case-by-case basis.
  13. Failure to follow Repository guidelines may jeopardize future borrowing privileges.

#### F. Destructive Sampling

The fossil specimens in the Repository were collected primarily for research and education; a secondary purpose is for exhibition. Many taxonomic groups or features can be studied only after the specimen has been prepared (e.g., thin sectioned, stained, coated, acidized, etc.). Type specimens and pristine display specimens should not be sampled if other suitable material exists. This sampling policy is flexible, and sampling will be permitted when the potential for gaining scientific knowledge outweighs the sacrifice of the specimen. Modification of type specimens requires definitive, written justification and must be specifically pre-approved by the curators (see Section E, Point 5 above and the paragraph below).

All requests for destructive sampling must be made in advance in writing describing the proposed method of analysis and agreeing to allow the data to become a permanent part of the specimen documentation (i.e., published data are public; unpublished data must be supplied after some

agreed upon time period, perhaps 3-5 years).

#### G. Reproductions

The Repository has never engaged in the practice of commercial sale of specimen reproductions. If such an opportunity should arise, reproduction shall not compromise the University's image nor its ethical responsibility to preserve scientific specimens and to hold these specimens in trust for the public.

#### H. Damaged Specimens

Loaned specimens that are damaged or lost while under the care of the Repository must immediately be documented in writing and the lending institution must be notified. Specimens belonging to the Repository that are damaged or lost at IU or while on loan must also be documented in writing and brought to the attention of the curators.

#### I. Curatorial Ethics

Curatorial staff must carry out their duties professionally and ethically, adhering to the *Curatorial Code of Ethics* established by the Curators' Committee of the American Association of Museums (AAM).

### III. Deaccessions

#### A. General statement

The deaccession process shall be cautious, deliberate, and scrupulous. The term "deaccession" applies to any specimen or specimen lot brought into the repository for research purposes whether or not it is catalogued. Before specimens can be disposed of, reasonable effort shall be made to ascertain that the Repository has clear title to and is free to dispose of the specimens. If there is any question as to encumbrances on the specimen(s), the Repository will seek advice of legal counsel.

A committee consisting of the curators, the department chair, and one outside specialist will, in consultation with the Office of the Vice Provost of Research, use the following criteria when considering deaccession of material:

1. The material does not fall within the scope of the collection as described in this policy;
2. The material lacks the associated geologic and geographic data that enhance its scientific value;
3. The material lacks physical integrity or has deteriorated beyond usefulness;
4. The material is redundant and no alternative use can be determined;
5. The department cannot provide adequate care for the material; or
6. The material is occupying space and using valuable resources that could be

better used to improve or strengthen the collection in order to further the Repository goals.

The Repository maintains a small group of “give away” specimens. These specimens are kept isolated from the research collection and are given to teachers for classroom use or to children for their collections. The specimens are those that were found in the collection without data and have gone through the formal deaccession process. Also included are specimens that were donated specifically for this purpose and were never accessioned into the collection because the taxa and localities are already well represented in the collection.

#### B. Exceptions to disposal

Type specimens, extinct biological specimens, endangered/threatened species, voucher specimens, figured or illustrated specimens, or specimens described in any professional or scientific publication may not be deaccessioned. Other unusually valuable specimens may also be so designated.

#### C. Disposal of material

Specimens or collections having an estimated market or intrinsic value less than \$1000 may be disposed of by the curators with the approval of the Deaccessioning Committee (described above). Collections with estimated market or intrinsic value greater than \$1000 shall be deaccessioned only with the explicit approval of the Chair and/or Office of the Vice Provost of Research (OVPR). The Chair or OVPR may request additional outside expert advice in dealing with special cases or cases where the judgment of the Committee may be called into question. Priorities for the method of disposal are:

1. Transfer to another IU collection or department;
2. Transfer to the Indiana State Museum (in the case of material that originated in the State);
3. Transfer (by donation or exchange) to another non-profit research or educational institution or organization, preferably within the state of Indiana, where the material will be used for research, education, exhibit, or public service;
4. Return to the original owner, or heir;
5. Sale in a manner consistent with Indiana University regulations (only as a last option; only through public sales or auctions; vertebrate fossils will never be sold, unless the sale keeps the material in the public trust, as recommended by Article 12, Code of Ethics, of the Member Bylaws of the Society of Vertebrate Paleontology); and
6. Destruction, only in cases that the material has deteriorated beyond

usefulness or cannot be disposed of as described above.

Deaccessioned specimens may not be transferred to employees, trustees, non-paid research associates, volunteers, or members of their immediate families or agents.

#### D. Documentation

All reviews and deaccessioning decisions will be documented according to professional standards. These documents will be made part of the permanent record. Collection records (i.e. the catalogue) will be updated to reflect deaccessioning activities.

\* These Indiana University Paleontology Collection policies are based on those of the University of Iowa and Yale Peabody Museum, whose policy documents served as templates for this text.

## IV. Appendices

### A. Scope of Collections Statement

The IU Paleontology Collection serves the research and teaching needs of the Department of Geological Sciences and faculty, emeriti, and students in cognate departments. The IU Paleontology Collection serves as the repository for reference materials acquired in the course of research and teaching, as well as for occasional donations from outside parties.

#### **Acquisition Priorities**

Ordovician invertebrates – the collection from the Indiana flanks of the Cincinnati Arch accumulated by E.R. Cumings and his group documents the Ordovician-Silurian boundary throughout the southeast corner of the state, including measured sections, detailed stratigraphic samples of all macroinvertebrates, and a large collection of bryozoan thin sections. [Priority-Indiana]

Waldron Shale – the collection contains extensive collections of macroinvertebrates from the Waldron Shale (Silurian). [Priority-Indiana]

Carboniferous macroinvertebrates, vertebrates and plants – the collection contains extensive collections of all organisms from the Mississippian and Pennsylvanian of the Midwest and other regions, with notable subcollections from the Edwardsville Fm. in Monroe County and Crawfordsville, from the Salem Limestone of southern Indiana, from the St. Louis and Ste. Genevieve Fms. of southern Indiana, and from the Pennsylvanian strata of southwestern Indiana. [Priority-Indiana and Midwest]

Conodonts – the conodont collection consists of tens of thousands of specimens, primarily the result of research by Carl Rexroad. [Priority-Indiana]

Bivalves – a large collection of Mesozoic bivalves was the core of Erle Kauffman's research career [Priority-North America]

Rudist bivalves and corals – Mesozoic rudist bivalves and Mesozoic and Cenozoic corals from the Gulf of Mexico and Caribbean have been assembled by Claudia Johnson and students [Priority-Neotropics]

Neogene mammals–Quaternary mammals from Indiana have been part of the collection since the time of D.D. Owen and O.P. Hay. The collection includes material from Harrodsburg Fissure, Monroe County. [Priority-Midwest]

Paleogene mammals – the collection contains material from the early Wasatchian of the Bighorn Basin collected by Randy Patrick and colleagues [Priority-North America]

#### **Unique segments of the collection**

**Owen Collection:** a small group of fossils collected during David Dale Owen's 1846-1848 survey of Wisconsin, Iowa, and Minnesota.

**Cumings Collection:** extensive collection of the Ordovician boundary of the Indiana sections of the Cincinnati Arch.

**Galloway Micropaleontology Collection:** a large collection of microfossils assembled by J.J. Galloway for teaching micropaleontology and economic geology.

**Rexroad Conodont Collection:** a large collection of conodonts from Indiana and elsewhere in North America assembled by Carl Rexroad.

**Perry Bryozoan Collection:** A large collection of bryozoan macrofossils and thin sections of bryozoans amassed by Thomas G. Perry and students.

**Lane and Ausich Crinoid Collection:** detailed paleoenvironmental collection from the Mississippian Edwardsville Fm. at Monroe Lake and Crawfordsville, Indiana.

**Kauffman Collection:** large, worldwide collection of Mesozoic and Cenozoic mollusks assembled by Erle G. Kauffman.

**Horowitz and Potter Collection:** extensive collection of thin-sections illustrated by the authors in *Introductory Petrography of Fossils*.

## **B. Curators of Record**

Curators of the IU Paleontology Collection will be appointed by the Chair of the Department of Geological Sciences and will normally consist of one or more of the tenured or tenure-track faculty in the Department of Geological Sciences whose research is focused on paleontology, paleobiology, or geobiology. The current (January, 2012) curators of record are:

Dr. Claudia C. Johnson  
Dr P. David Polly  
Dr. Jackson Njau