



## Research Collection Policy

Revised April 28, 2020

Approved by the Board of Trustees May 1, 2020

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### 1. Purpose of the Research Collection Policy

- 1.1. The Research Collection of the Paleontological Research Institution (PRI) is held in trust for the benefit of the public. The Research Collection serves the Institution's mission by documenting past and present life on Earth and forms the basis for scientific research, publication, exhibition, and education. The purpose of this policy is to ensure the responsible care, use, and growth of the Research Collection in accordance with professional standards and the New York State Education Law Section 233-aa. At all times, PRI Collections staff are aware of the public trust they serve and of their responsibilities to preserve and protect the Research Collection. Only specimens under the care of the Collections Department are governed by this policy.

### 2. Focus and Major Strengths of the Research Collection

- 2.1. The Research Collection aims to be a significant national resource in invertebrate paleontology, with representatives of all major invertebrate fossil groups worldwide. Within this broad mandate, however, the Collection focuses on several areas of major strength, including Cenozoic marine mollusks and corals of the Western Hemisphere, and Paleozoic marine invertebrates of the northeastern United States. These traditional areas of strength inform the priorities for acquiring new collections. The collection also includes significant holdings of Cenozoic benthic foraminifera of the U.S. Atlantic and Gulf Coastal Plains and Caribbean, Cretaceous and Eocene mollusks from Seymour Island, Antarctica, and all non-botanical fossils and Recent mollusks formerly housed at Cornell University.

### **3. Structure**

- 3.1. For curatorial purposes, the PRI Research Collection is divided into the following sub-collections:
  - 3.1.a. **Type and Figured Collection** (primary and secondary type specimens and specimens figured in published works)
  - 3.1.b. **Taxonomic Collection** (non-type specimens organized in systematic order)
  - 3.1.c. **Stratigraphic Collection** (slabs, bulk sediment samples, and other specimens organized by locality in stratigraphic order)
  - 3.1.d. **Microfossil Collection** (non-type, systematic microfossil specimens and stratigraphic samples)

### **4. Research Collection Areas**

- 4.1. The specific Research Collection areas covered by this policy are as follows:
  - 4.1.a. Raymond Van Houtte Collections Wing in Palmer Hall;
  - 4.1.b. MacDonald Laboratory; and
  - 4.1.c. ancillary (temporary) storage spaces.
- 4.2. All specimens in Research Collection areas must fall into one of the following categories:
  - 4.2.a. specimens owned by PRI; or
  - 4.2.b. specimens on loan to PRI.
- 4.3. Staff members and affiliated students cannot store personal specimen collections in Research Collection areas for more than 24 hours without prior written permission from the Director of Collections.

### **5. Ownership**

- 5.1. All specimens in the permanent custody of the Collections Department are held in the public trust. For legal purposes, this situation is herein referred to as “ownership” of the specimens by PRI.

### **6. Leadership and Responsibilities**

- 6.1. Ultimate responsibility for the Research Collection resides with the PRI Board of Trustees.

- 6.2. The Science Committee of the Board of Trustees (hereafter, Science Committee) oversees collections-related activities.
- 6.3. The Science Committee meets and communicates as necessary with the Director of PRI and the Director of Collections to keep up to date with the status of the collections and of collections-related activities, including any collections-related actions that require approval by the Science Committee.
- 6.4. The Chair of the Science Committee is responsible for reporting on the status of the Research Collection and collections-related activities at PRI to the Board of Trustees.
- 6.5. Day-to-day supervision of the Research Collection is the responsibility of the Director of Collections. The Director of Collections may delegate specific tasks to the Collections Manager, including supervision of loans, accessions, and deaccessions, but remains responsible for their execution. The Director of Collections reports to the Director of PRI.
- 6.6. At the discretion of the Director of Collections various collections-related duties may be assigned to curatorial assistants or volunteers with the exception of loans, accessions, and deaccessions, which must be carried out or supervised personally by the Director of Collections or (if specifically approved by the Director of Collections) the Collections Manager.

## **7. Access**

- 7.1. Routine access to Research Collection areas is restricted to PRI Collections staff. All other PRI staff, affiliated students, and other individuals may obtain access at the discretion of the Director of Collections or Collections Manager.
- 7.2. External visitors wishing to use the Research Collection must make arrangements at least ten working days in advance of the desired date, unless otherwise approved by the Director of Collections or Collections Manager.
- 7.3. All requests for access and specimen information are considered on a case-by-case basis and are subject to staff availability, potential disturbance to the Research Collection, and risks to specimens.
- 7.4. Use of the Research Collection (e.g., for onsite photography or filming) by industry, government, profit-making agencies or individuals (e.g., independent non-academic book authors), government contractors, or individuals currently under contract to for-profit organizations is at the discretion of the Director of Collections.
  - 7.4.a. Access to the collections and their associated records by such entities will be billed at \$100.00 per hour at the discretion of the Director of Collections.
  - 7.4.b. Copies of all data obtained from PRI specimens or records must be deposited with PRI within one month of the use of any specimen or record.
- 7.5. At the discretion of the Director of Collections or Collections Manager, qualified visitors are permitted to work unsupervised in Research Collection areas, except in the Type and Figured Collection, where a staff member must remain present with the visitor.
- 7.6. Under most circumstances, the Research Collection is closed to the general public, except when they are participating in a collections tour.
  - 7.6.a. Collections tours, whether formal or informal, may be given by the Director of Collections or Collections Manager. Any other PRI staff member or trustee trained

and authorized to give tours must obtain permission to give a tour in advance from the Director of Collections or Collections Manager.

- 7.6.b. Tours must be adequately staffed and admit only a reasonable number of people (typically less than 10). During tours, only the authorized PRI personnel giving the tour may handle specimens. Photography of specimens or of the collections space itself during tours is prohibited.
- 7.6.c. The Director of Collections or Collections Manager may deny collections tours or access to any Research Collection area.
- 7.7. PRI reserves the right to refuse access requests that do not align with the mission of the Institution. Permission, once granted, may be withdrawn at any time at the discretion of the Director of Collections or their designees.
- 7.8. The Director of Collections must report annually to the Director of PRI on the number and types of visitors to the Research Collection.

## **8. Technical Analysis, Destructive Sampling, and Preparation**

- 8.1. PRI recognizes that technical analysis, invasive sampling, and specimen preparation are sometimes necessary to address scientifically important questions and that these activities enhance the scientific value of collections objects under its care.
- 8.2. Any procedure that irreversibly alters or has the potential to alter a collections object, its appearance, integrity, or composition, is prohibited without prior written permission from the Director of Collections or Collections Manager.
- 8.3. Requests for conscientious analysis, sampling, and preparation of objects in the Research Collection must be carefully evaluated to prevent the unnecessary depletion of finite and irreplaceable resources. Collections staff must consider the following when reviewing requests for technical analysis, destructive sampling, or preparation of objects from the Research Collection:
  - 8.3.a. The purpose of the research question and its scientific merit;
  - 8.3.b. Why the research question cannot be answered except by using objects from the Research Collection and whether primary field sampling or other collections could provide the same objects;
  - 8.3.c. Whether the researcher has sufficient expertise and resources to undertake the requested procedure;
  - 8.3.d. Whether the requested procedure will be effective in generating useable data and why less intrusive methods were not chosen;
  - 8.3.e. Whether the objects requested are unique, rare, or underrepresented, in general or in the context of the Research Collection in terms of taxonomy, geographic occurrence, or geologic age;
  - 8.3.f. How granting the request may affect the availability of materials in the Research Collection for future research opportunities; and
  - 8.3.g. Availability of staff to process the request and the resources required to deal with remnants and other products of the requested procedure.
- 8.4. PRI reserves the right to limit or deny any requests for technical analysis, destructive sampling, or preparation.

- 8.5. Records of all requests for technical analysis, destructive sampling, and preparation must be maintained in the Requests File.
- 8.6. The Director of Collections must report annually to the Director of PRI on requests for technical analysis, destructive sampling, and preparation of objects from the Research Collection.

## 9. Acquisition, Accession, and Collections Growth

- 9.1. The decision to acquire and accession specimens into the Research Collection should consider the scientific value of the specimens, their relevance to the strengths of the collection, and PRI's ability to manage, preserve, and provide access to them. The Director of Collections or Collections Manager may consider specimens unsuitable for inclusion in the Research Collection for reasons of poor locality data, unreliable provenance, redundancy of material already represented in the collections, specimen condition, inability to care for the material properly, or lack of relevance to the Research Collection.
- 9.2. **Definitions: Acquisition** is defined herein as the transfer of clear title to PRI. **Accession** is defined herein as the official action by an authorized Collections staff member that formally records property as part of the PRI Research Collection, accompanied by the assignment of a unique accession number to a specimen or set of specimens and any associated material.
- 9.3. PRI may acquire specimens for the Research Collection from the following sources:
  - 9.3.a. personal collection by a PRI staff member or affiliated student;
  - 9.3.b. gift or bequest by an individual;
  - 9.3.c. gift or exchange from another institution; or
  - 9.3.d. purchase by PRI through public or private sale.Exceptions to these sources are discussed in Section 12. Unclaimed Property and Section 13. Undocumented Property.
- 9.4. Acquisitions by gift or exchange must be accompanied by a deed of gift (Permanent Specimen Transfer form), completed and signed by the owner or other authorized individual.
- 9.5. PRI staff are not permitted to accept or convey unsolicited donations for the Research Collection without prior approval from the Director of Collections or their assignees.
- 9.6. All acquisitions to the PRI Research Collection require approval by the Director of Collections or their assignees, except under one or more of the following circumstances, under which acquisition requires the specific approval of the Director of Collections, Director of PRI, and the Science Committee:
  - 9.6.a. the donor requires as a condition for the donation that PRI hold any or all donated specimens in perpetuity or store or house them in an overly restrictive manner; or
  - 9.6.b. the donor requires as a condition for the donation that PRI grant special rights or privileges to the donor, heirs and assigns, in the present or future.
- 9.7. When deciding whether to accept a major acquisition, the following information must be considered and, if accepted, documented and filed with the donation record:

- 9.7.a. scientific and/or historical significance of the collection (e.g., addition of new type material, geographic areas, and taxa, inaccessible localities, rare or extirpated taxa, or extraordinary preservation); quality of data (e.g., high level of detail in locality and stratigraphic data) should also be considered;
  - 9.7.b. estimated size of the collection (i.e., number of lots/specimens);
  - 9.7.c. estimated cost of obtaining and/or rescuing the collection and a plan for how the cost will be paid, including possible sources of external funding;
  - 9.7.d. relevance of the collection to the strengths and priorities of the Research Collection;
  - 9.7.e. available space to store the collection until it is processed; and
  - 9.7.f. estimated Collections staff time and cost of curation (including digitization activities, integration with the existing collection, additional labor, supplies and equipment, and a plan for how the cost will be paid, including possible sources of external funding).
- 9.8. Specimens may be purchased for the Institution by the Director of PRI or the Director of Collections only under the following circumstances:
- 9.8.a. the funds used are at the discretion of the Director of PRI or Director of Collections as approved by the Board of Trustees;
  - 9.8.b. the funds used have been provided by a donor expressly for this purpose without any other restrictions, unless approved by the Science Committee; or
  - 9.8.c. the Board of Trustees has expressly approved expenditure of funds for the purchase.
- 9.9. PRI staff, trustees, and their immediate family members are prohibited from providing appraisals of material owned or being considered for ownership by PRI, including appraisals to establish the tax-deductible value of a donation to PRI.
- 9.10. All acquisitions must have been collected, exported, imported, transported, or otherwise obtained and possessed in full compliance with all applicable international, national, tribal, state, provincial, and local laws and regulations (e.g., Lacey Act of 1900, Endangered Species Act of 1973, Marine Mammal Protection Act of 1972, Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) of 1975, Paleontological Resources Protection Act of 2009).
- 9.11. No specimen can be accessioned without adequate written documentation of its legal status. It is recognized that, in some instances, the original permits to collect or ship fossil specimens are retained in the country of origin. In such cases, PRI requires a copy of the permit to be deposited with the specimens.
- 9.12. The Director of Collections or Collections Manager must make reasonable attempts to verify that specimens to be acquired by PRI have been collected and transported under ethical and legal circumstances.
- 9.13. If it is found that PRI has inadvertently acquired an object that was obtained or transported under questionable, unethical, or illegal circumstances (e.g., if the object was mixed among the specimens in a large donation), PRI will promptly return the object to the donor, rightful owner, or other appropriate recipient.
- 9.14. All material acquired and deemed appropriate for inclusion in the Research Collection must receive an accession number and formal accession record within one month of a

Permanent Specimen Transfer Form being signed by the donor or their heirs or assigns. Accession entries can be made only by the Director of Collections or Collections Manager.

- 9.15. Specimens that are acquired but not accessioned must be dealt with according to the methods of disposition described in Section 10.9. Appropriate records of the disposition of specimens acquired but not accessioned must be retained in the Acquisitions and Dispositions Files.
- 9.16. No specimen that was acquired but not accessioned by PRI may become the personal property of PRI staff, trustees, or their immediate family members.
- 9.17. No specimen that was acquired but not accessioned by PRI may be sold by PRI staff, trustees, or their immediate family members for personal gain or on behalf of other PRI staff or trustees.
- 9.18. The Acquisitions and Accessions Files, containing Permanent Specimen Transfer Forms, permits, customs forms, and other relevant documentation attesting to the legal collection and transportation of specimens donated to, purchased by, or purchased for PRI must be maintained. These files are distinct from specimen catalogs but must be cross-referenced with them.
- 9.19. The Director of Collections must report accessions activity and the disposition of any objects that were acquired but not accessioned annually to the Director of PRI.

## **10. Deaccession and Disposition of Research Collection Objects**

- 10.1. PRI recognizes that the thoughtful and intentional removal of objects from the Research Collection is at times necessary for the judicious stewardship of the collections under its care. All deaccession and disposal actions should meet the highest professional, legal, and ethical standards for museum collections and maintain the public trust.
- 10.2. Definitions: **Deaccessioning** is the formal review and decision-making process that leads to the removal of objects from the Research Collection and the formal adjustment of Collections records. **Disposal or disposition** refers to the actual removal of objects from the Research Collection by means of discard or transfer.
- 10.3. Collections objects that have been accessioned or cataloged cannot be removed permanently from the Research Collection without undergoing a formal deaccession process. Generally, specimens with locality and stratigraphic data and reliable provenance are retained indefinitely in the Research Collection, while specimens with insufficient locality or stratigraphic data are not accessioned, or if already accessioned should be deaccessioned, except under exceptional circumstances at the discretion of the Director of Collections.
- 10.4. If specimens that have been accessioned or cataloged by PRI are found to have been obtained or transported under illegal or unethical circumstances, or if PRI learns of changes in laws and regulations that affect the legal status of specimens, or if their presence in the collection poses a significant risk to PRI's integrity or reputation, they should, at the discretion of the Director of Collections and with approval from the Science Committee, be deaccessioned.
- 10.5. The process of deaccessioning specimens under the care of the Collections Department originates as a Deaccession Request by the Director of Collections. Each deaccession request must be assigned a unique number. The Collections Department must maintain a record of the material recommended for deaccession, the reason(s) for deaccessioning,

and the recommended method of disposition. Prior to making a Deaccession Request, Collections staff must make reasonable attempts to search all relevant records to ascertain the following:

- 10.5.a. whether PRI holds full and legal ownership of the object(s);
- 10.5.b. whether the object(s) is(are) free from donor-mandated restrictions;
- 10.5.c. whether the object(s) has(have) been accessioned into the Research Collection for more than three years, to determine whether IRS form 8282 is required, depending on the method of disposition.

These conditions do not automatically qualify or disqualify a collections object from being eligible for deaccessioning, but they should be documented in the deaccession request. All deaccession actions must be supported with accession and catalog records (where available) and written justification.

- 10.6. The Deaccession Request must first be approved by the Director of Collections and then by the Science Committee before Collections staff can proceed with the physical removal of the object(s) from the Research Collection and the approved method of disposition.
- 10.7. Any accession or catalog number(s) that have been placed on the object(s) at any time are to be left on the object(s) and may not be reassigned to any other object(s). Once the Deaccession Request is approved, any PRI numbers on the object(s) must be lightly crossed out with a single line.
- 10.8. Reasons for deaccessioning specimens from the Research Collection may include, but are not limited to, any of the following:
  - 10.8.a. inadequate documentation, which reduces research usefulness;
  - 10.8.b. outside scope of collection;
  - 10.8.c. lack of significance, relevance, or usefulness to PRI research, education, or exhibition mission and goals;
  - 10.8.d. proper care within current PRI facilities and/or resources is not possible;
  - 10.8.e. ethical considerations (e.g., sacred objects, human remains);
  - 10.8.f. legitimate repatriation claim;
  - 10.8.g. legality of ownership is challenged;
  - 10.8.h. poses a physical hazard or is dangerous to the health of staff and visitors;
  - 10.8.i. deterioration, damage, or alteration beyond repair or requiring excessive resources to repair; or
  - 10.8.j. opportunity to upgrade or reduce redundancy in the collection.
- 10.9. Methods of disposition that may be considered include:
  - 10.9.a. Return to rightful owner;
  - 10.9.b. Repatriation;
    - 10.9.b.i. PRI's general policy is to always maintain a willingness to discuss the repatriation of a specimen to its jurisdiction of origin.
    - 10.9.b.ii. A specimen collected or transported under ethically or legally suspect conditions that is deaccessioned may be repatriated to a suitable agency



within its country (or other jurisdiction) of origin or reassigned in some other ethically responsible way at the discretion of the Director of Collections in consultation with the Science Committee. Documentation of repatriation of a specimen will be maintained in the Deaccession and Disposition Files.

- 10.9.b.iii. If external political or environmental circumstances (e.g., war, civil unrest, natural disaster) pose an unacceptable risk of loss or damage, PRI will wait until the situation is resolved before proceeding with repatriation.
- 10.9.b.iv. PRI recognizes that repatriation of deaccessioned specimens can be a complicated and costly process. Where deemed necessary by the Director of Collections, in consultation with the Science Committee, reasonable attempts to repatriate specimens will be undertaken and documented until the issue is fully resolved, with supporting information to be retained in the Deaccession and Disposition Files. During this time, the ethically responsible action is retention of the specimen by PRI. If this circumstance occurs, the specimen and its associated data cannot be used or shared for any purpose.
- 10.9.c. Exchange with or transfer to another internal PRI collection.
  - 10.9.c.i. Deaccessioned specimens may be transferred within PRI for educational purposes (i.e., to the Education Collection); this decision is at the discretion of the Director of Collections.
  - 10.9.c.ii. Specimens retained in the Education Collection, if at one time accessioned, are to be deaccessioned and removed from the care of the Collections Department.
- 10.9.d. Exchange with or transfer to a government entity or public or private institution exempt from federal taxation, provided the recipient is dedicated to the preservation and interpretation of natural or cultural heritage, and qualified to manage museum collections.
  - 10.9.d.i. Exchanges of specimens with other institutions for the purposes of enhancing the quality and/or scope of the Research Collection, provided the exchange is equitable and in the public interest, may be arranged only with the authorization of the Director of Collections.
  - 10.9.d.ii. If more than one option is available, the option that is selected should offer the greatest benefit to PRI. When choosing among multiple options, other considerations include the recipient's ability to care for the objects, likelihood of public benefit, such as research and exhibition, and how well the objects fit in with the recipient's mission and scope of collections.
- 10.9.e. Exchange of objects with private individuals and non-educational or non-cultural institutions is permissible only in exceptional circumstances if the exchange is explicitly justified in writing and no other alternatives are available.
- 10.9.f. Deaccessioned specimens may be disposed of at public sale only under the following restrictions:
  - 10.9.f.i. PRI employees and members of the Board of Trustees are prohibited from purchasing PRI specimens.

- 10.9.f.ii. Immediate family members of PRI staff and trustees are prohibited from purchasing PRI specimens.
- 10.9.f.iii. Proceeds from the sale of a specimen can only be used for the acquisition of other Research Collection objects or for the preservation, protection, and care of the Research Collection, and cannot be used to defray other ongoing operating expenses of PRI. Further restrictions on the use of proceeds derived from a disposed item may be set by the Science Committee.
- 10.9.g. Irreversible destruction or discard.
  - 10.9.g.i. Irreversible destruction is permitted for specimens determined to have no scientific, cultural, historic, or educational value or of unauthorized or counterfeit materials, or that are in such poor condition that they cannot be repaired or repurposed. Witness of Destruction Records must be kept.
  - 10.9.g.ii. Disposal of hazardous items must follow the standards of appropriate regulatory agencies or experts in the field.
- 10.10. No deaccessioned specimen may become the personal property of PRI staff, trustees or their immediate family members.
- 10.11. No deaccessioned specimen may be sold by PRI staff, trustees or their immediate family members for personal gain or on behalf of other PRI staff or trustees.
- 10.12. PRI staff, trustees, or their immediate family members are prohibited from providing appraisals of any specimens requested for deaccession.
- 10.13. All Deaccession Requests must be reviewed by the Science Committee. The role of the Science Committee is to provide an impartial and disinterested review of the appropriateness of deaccessions and disposition methods, to protect PRI from real and apparent conflicts of interest. The decision of the Science Committee is binding.
- 10.14. Appropriate records of deaccessions and disposals are permanently retained in the Deaccession and Disposition Files.
- 10.15. The Director of Collections must report on deaccession activity annually to the Director of PRI.

## **11. Loans**

- 11.1. Any Research Collection specimens removed from PRI's West Hill Campus must be treated formally as a loan. Under extraordinary circumstances, exceptions may be made only at the discretion of the Director of Collections or Collections Manager.
- 11.2. PRI endeavors to accommodate all reasonable requests for research and non-research loans from the Research Collection. Loan requests are considered on a case-by-case basis. PRI reserves the right to deny any loan requests of material from the Research Collection at the sole discretion of the Director of Collections or Collections Manager.
- 11.3. Loans are administered by the Collections Manager under the supervision of the Director of Collections. Only the Director of Collections or Collections Manager may formally grant a new loan, renew an existing loan, or close a returned loan.

- 11.4. Material on loan cannot be transferred to a different person or institution without written permission from PRI.
- 11.5. **Research Loans** are loans of material for purposes of scientific study. Research loans of specimens are issued to institutions on behalf of an **Approved Borrower** in good standing, which means that the individual Approved Borrower and their institution are jointly responsible for the care, safety, and prompt return of the loan.
  - 11.5.a. Approved Borrower status or Approved Student Borrower status must be granted by the Director of Collections or Collections Manager before a loan request can be processed.
  - 11.5.b. Typically, only qualified researchers, students, and other individuals affiliated with an academic or research institution (e.g., universities, museums, and government agencies with a scientific mandate) may be granted borrowing privileges.
  - 11.5.c. To obtain Approved Student Borrower status, students must have a faculty sponsor, who is an Approved Borrower in good standing. Loans for students must be issued to their faculty sponsor who will be responsible for the loaned material.
  - 11.5.d. Under exceptional circumstances, the Director of Collections may grant individuals without an institutional affiliation borrowing privileges.
- 11.6. **Non-research loans** are loans of material for education or exhibition purposes.
  - 11.6.a. PRI may specify further terms and instructions for insurance, shipping, attribution, and display and storage conditions on a case-by-case basis.
  - 11.6.b. Generally, non-research loans are issued to external institutions for exhibition.
  - 11.6.c. Under special circumstances, non-research loans may be issued to approved borrowers to allow off-site use of material at educational events.
  - 11.6.d. On occasion, research specimens may be used by other PRI departments for teaching purposes at the discretion of the Director of Collections or Collections Manager. In this event, a Non-Research Loan Form must be filled out.
  - 11.6.e. Type material cannot be loaned for non-research purposes unless approved in writing by the Director of Collections.
- 11.7. Exhibiting Research Collection specimens at the Museum of the Earth does not require initiating a loan, but Collections staff should maintain a record of the specimens used for exhibition purposes. Specimens designated for possible use in exhibitions at the Museum of the Earth must first be cleared by the Director of Collections or Collections Manager. Specimens to be used in an exhibition can only be handled by an authorized Collections staff member.
- 11.8. Loan Periods
  - 11.8.a. Type and Figured specimens can be loaned for a period of up to six months.
  - 11.8.b. Non-type specimens can be loaned for a period of up to one year.
  - 11.8.c. Extensions of loans for additional months or years can be granted at the discretion of the Director of Collections, upon receipt of written request.
  - 11.8.d. PRI may terminate or recall a loan at any time for any reason. Collections staff should endeavor to provide at least 14 days advance notice when possible.

- 11.9. Loan forms must list the specimens loaned by PRI catalog number or IGSN (International GeoSample Number) number. No uncataloged specimens may be sent out on loan. The number of specimens loaned from each lot must be noted. Loan records must be maintained on standard PRI Loan Forms. A file must be maintained by year for open and returned loans. The records of past and current loans are part of the permanent Collections records.
- 11.10. Specimens with a PRI catalog number must have photographs on file before they can be loaned. If possible, historic labels should also be imaged.
- 11.11. All specimen loans, whether domestic or international, must be shipped with tracking and returned by the same means. Loans may also be hand carried at the discretion of the Director of Collections or Collections Manager.
- 11.12. Under special circumstances, the Director of Collections and Collections Manager may grant permission for qualified researchers to perform technical analysis, destructive sampling, or preparation on a loaned specimen from the Research Collection, when the request is well-supported and likely to increase the scientific value of the specimen (see Section 8. Technical Analysis, Destructive Sampling, and Preparation).
- 11.13. Recalls on outstanding loans must be made annually by Collections staff.
- 11.14. No out-going loan may exceed five years or have an indefinite duration. Exceptions are made at the discretion of the Director of Collections and must be reported to the Director of PRI.
- 11.15. If PRI discovers that a borrower has failed to comply with any of the general or specific terms and conditions of a loan, PRI may respond with, but is not limited to, the following actions:
  - 11.15.a. Sending the borrower a written request to immediately comply with all applicable terms and conditions of the loan;
  - 11.15.b. Recalling the loan;
  - 11.15.c. Revoking approved borrower status for up to 10 years; or
  - 11.15.d. Placing the department or institution under a borrowing ban.
- 11.16. The Director of Collections must review the loan files annually and report on the use of the Research Collection to the Director of PRI.

## 12. Unclaimed Property

- 12.1. Occasionally loans held by the Collections Department are not claimed by the lender. Any specimens that have in the past been formally or informally loaned to PRI that have not been retrieved by the lender, or anyone acting legitimately on the lender's behalf, even after Collections staff have made reasonable attempts to contact the lender to return the loan, must be treated as **unclaimed property**.
- 12.2. **Definition: Unclaimed property** under the New York State Education Law, Section 233-aa, refers to any property loaned to PRI, about which the lender has not contacted PRI for at least five years after the loan expired, or for at least ten years since the start of an indefinite loan (sometimes called a "permanent loan").
- 12.3. PRI must first acquire title to any unclaimed objects before proceeding with their accession, use, or disposal. Before title is acquired the object and its associated data

cannot be used or shared for any purpose. The methods of disposal, and any restrictions, for unclaimed property must follow those discussed in Section 10. Deaccession and Disposition of Collections Objects.

- 12.4. Any items acquired through the provisions of the New York State Education Law, Section 233-aa, must be thoroughly documented and the acquisition approved by the Director of Collections. Records of the acquisition must be maintained in the permanent files of the Collections Department, regardless of whether the property ultimately remains in the Research Collection.
- 12.5. Under no circumstances will Collections staff agree to receive a formal or informal loan whose duration is indefinite or greater than five years, except as explicitly approved by the Science Committee.

### **13. Undocumented Property**

- 13.1. Occasionally objects are found in the Research Collection that are missing documentation or whose ownership is uncertain. Any objects in the Research Collection whose ownership or accession status is uncertain must be treated as undocumented property.
- 13.2. **Definition:** Pursuant to the New York State Education Law, Section 233-aa, ***undocumented property*** refers to property that has been at PRI for at least ten years, and for which PRI cannot determine the donor or owner after making a good faith and reasonable search from museum and other records.
- 13.3. If the PRI Research Collection moves to acquire title of any undocumented objects through the provisions of the New York State Education Law, Section 233-aa, the acquisition must be approved by the Director of Collections, and all actions fully documented, regardless of whether the property ultimately remains in the Research Collection.
- 13.4. PRI must first acquire title to any undocumented objects before proceeding with their accession, use, or disposal. Before title is acquired the object and its associated data cannot be used or shared for any purpose. The methods of disposal, and any restrictions, for undocumented property must follow those discussed in Section 10. Deaccession and Disposition of Collections Objects.

### **14. Condition Reports**

- 14.1. If a specimen from the Research Collection is broken, damaged, or is missing, the Collections Manager or Director of Collections must be informed immediately. Collections staff must fill out a specimen condition report within one business day of the incident or its discovery.

### **15. Volunteers, Interns, and Work-Study Students**

- 15.1. The Collections Manager, and other Collections staff, if so designated, must provide appropriate training and supervision to all volunteers, interns, and work-study students working in the Research Collection, whether with specimens or associated data. If in the opinion of the Director of Collections or Collections Manager, an individual work-study student or volunteer shows that they are unable to perform specific collections tasks as assigned or requested, the Director of Collections or Collections Manager must meet with

the appropriate PRI staff member to discuss the situation and arrive upon an alternative solution. Once a person is determined to be unqualified to work in collections, they will not be allowed to remain there.

## **16. Food and Drink**

- 16.1. No food or drink is allowed in any Research Collection areas.

## **17. Security**

- 17.1. All interior and exterior doors leading to Research Collection areas must remain locked at all times. Keys for these doors may be issued to permanent Collections staff. Other PRI staff may be issued keys at the discretion of the Director of Collections, but they must inform Collections staff when they want to enter areas where collections are stored. Cabinets housing the Type and Figured Collection must be locked at all times. Keys to the Type and Figured Collection cabinets may be issued only to permanent Collections staff at the discretion of the Director of Collections.

## **18. Supervision of Outside Contractors**

- 18.1. Outside contractors passing through or working in any of the Research Collection areas must be supervised by a PRI staff member throughout the entire time the contractor is present. No outside contractor is permitted to enter the Research Collection areas without the knowledge of the Director of Collections or Collections Manager. If any outside contractors (e.g., an electrician or plumber) are required to enter any collections areas, the Director of Collections or Collections Manager must be notified by the Associate Director for Operations with the date and time of arrival as well as the areas to be entered. Upon arrival, the contractors must be accompanied by the Director of Collections or Collections Manager to the area in which the work is to be performed. If deemed necessary, and at their discretion, the Director of Collections or Collections Manager can observe the operation being performed.

## **19. Changes to This Document**

- 19.1. Changes to this document must be made in consultation with the Director of PRI and Director of Collections and must be approved by the Science Committee of the Board of Trustees.