

## **Instructions to Applicants For Paleontological Investigations, Excavations, and/or Collections on State Managed Lands in Utah**

The following instructions are provided to inform applicants about permit requirements and to assist applicants in completing the *Permit Application For Paleontological Investigations, Excavations, and/or Collections on State Managed Lands in Utah*.

### **Line 1: Name and Title of Principal Investigator (Attach Resume)**

Identify the individual(s) legally obligated to carry out all terms and conditions of the permit. Enter on this line the name of the applicant(s) and their title at the sponsoring institution. The Principal Investigator is responsible for planning, supervision, and performance of fieldwork, for evaluations and recommendations regarding the paleontological materials under study, and for compliance with the terms and conditions of the permit in the field.

### **Line 2: Field Supervisors (Attach Resumes)**

Names of any individuals other than the Principal Investigator who may be in direct charge of field work. Field supervisors are responsible for planning, supervising, and carrying out fieldwork in the absence of the Principal Investigator. A proven record of completing field projects is required for all Field Supervisors on Mitigation Permits (i.e. a graduate degree or significant professional publications).

### **Line 3: Sponsoring Institution or Affiliation**

Identify the Sponsoring Institution with whom the Principal Investigator is affiliated. Sponsoring Institutions may include universities, museums, and government agencies, or a business if you are working as a paleontological consultant. If you are applying for a permit to do consulting work (mitigation/salvage) as a paleontological consultant, include your business name or write *paleontological consultant* on this line.

### **Lines 4, 5, and 6: Address, Telephone Numbers, and Email**

Enter a mailing address, email address, and office and cell phone numbers for both the applicant's permanent office and for the field party (if possible). A field telephone number may be a cell phone or a phone located at a ranch, campground, or business near the field camp.

### **Line 7: Type of Permit - Surface Collecting, Excavation, or Mitigation/Salvage**

Check *Surface Collecting*, *Excavation*, or *Mitigation/Salvage* depending on what kind of permit is being applied for. Surface Collecting Permits allow for survey work and limited collection over broad areas within the state for research purposes. Collections may be made but surface disturbance may not exceed one cubic meter at any one location. Should work exceeding that allowable under such a permit be necessary, an excavation permit will be required.

Mitigation/Salvage Permits for paleontological consultants are now issued separately from Surface Collection Permits for paleontological researchers. Separate application forms must be submitted for each type of fieldwork anticipated.

## **Line 8: Location of Proposed Work**

Define the limits of the project area in terms of (a) Geological units and age, (b) Geographic location (county, section, township, range, and meridian). Attach a copy of the (c) appropriate topographic map(s) showing these boundaries; note, (d) the land ownership. Applications for Surface Collecting Permits should be as specific as possible. **Applications for Excavation Permits (e) must indicate the specific Locality Numbers where work is anticipated. Applicants must get a Utah Paleontological Locality Number from the Utah Geological Survey, and fill out Locality Data Sheets for each locality. Locality coordinates should be recorded in the UTM, NAD 83 Datum.**

## **Line 9: Fossils you expect to collect**

List the taxonomic groups you expect to collect.

## **Line 10: Purpose for Collection - Mitigation/Salvage, Research, Exhibit**

Indicate the purpose for the permit by checking the appropriate category or categories: *Research, Exhibit, or Mitigation/Salvage.*

A brief explanation may be entered in Line 11:

For **research**, describe methods for locating fossils, research plan, reasons for the research, including plans for record-keeping, preparation, and repository.

If specimens are sought for **exhibit** purposes, give a brief summary of plans, resources, and facilities for display and interpretation. This proposal should indicate how and where the materials will be used/interpreted in a program promoting the scientific study of fossils and earth history. Describe the expected extent and condition of the target fossils, methods of excavation, preparation plans, and record-keeping plans.

Where the permit is intended for **mitigation/salvage** work as a paleontological consultant, describe areas to be disturbed, provisions for monitoring of construction activities, criteria for decision regarding whether to collect, methods to be employed in collections, and plans for record-keeping, preparation, and repository. Indicate the name, developer, and nature of the project, if known. Otherwise indicate that no specific project has been identified.

## **Line 11: Research Plan (Detail for Excavation Permit)**

What are you planning to do and why? If needed, use a separate sheet to describe the proposed project and the methods to be used to carry it out.

For excavation permits, explain why the excavation will be necessary, what will be excavated, and what kind of information is being sought. Estimate how much surface disturbance will be made during excavation. Also include mitigation plan for site when excavations are completed. The permit application should include an outline or schedule for publishing or otherwise reporting results of the work.

## **Line 12: Tools and Collecting Techniques**

For excavation permits, explain what will be excavated and in what manner (hand tools, mechanized equipment, etc.). For surface collecting permits, explain survey methods and data

collection techniques. Detailed plans must be provided and approved prior to the use of any large scale earth moving equipment.

**Line 13: Repository (Attach Repository Agreement and, as necessary, UMNH-ARA)**

Name and address of the repository. **The Utah Museum of Natural History (UMNH) is the designated curation facility for paleontological collections made on State Lands in Utah, by law under U.C.A. 53-B-17-603. State Permit applications designating a repository other than UMNH must therefore include a letter of Alternative Repository Authorization (UMNH-ARA) from the UMNH Registrar valid for the calendar year the permit is to be issued. Please note that the Utah Museum of Natural History (UMNH) is now also known as the Natural History Museum of Utah (NHMU), but for collection and repository purposes they will continue to use the UMNH acronym.** UMNH repository agreements and ARAs expire yearly on December 31<sup>st</sup>. Alternate repositories may be the applicant's organization/affiliation (line 3) or another facility that meets acceptable curation standards (U.C.A. Rule R-807-1). This facility must have agreed in writing to accept and house collections resulting from permit work. Include a copy of this agreement with application. Repository Agreement Forms and Policies for the Natural History Museum of Utah can be found on their website at: <http://nhmu.utah.edu/collections/policies-forms>.

A right-of-entry letter from the specific land management agency may also be required. Most state-owned land in Utah is managed by the School and Institutional Trust Lands Administration (SITLA), but other state land management agencies include the Division of Forestry, Fire and State Lands (sovereign land); Division of Wildlife Resources; Division of State Parks and Recreation; and the Department of Transportation. The letters must recognize the proposed repository as valid for fossils collected from state-owned lands.

**Line 14: Comments or Explanation**

Use this space and additional sheets if necessary for any information that cannot be accommodated in the spaces provided.

**Line 15: Sources of Information and/or Published References**

Add text about sources of information or published references.

**Line 16: Applicant Signature**

The individual(s) named in line 1 must sign and date the application here.

## **ADDITIONAL MATERIALS REQUIRED**

### **A. RESUMES**

Applications must include a resume for each individual named on lines 1 and 2 above. These resumes must demonstrate the achievement of the following for the Principal Investigator:

1. Professional instruction in paleontology, obtained through:
  - Formal education resulting in a graduate degree from an accredited institution in paleontology, or in geology, anthropology, biology, botany, or zoology if the **major emphasis** is in paleontology; **OR**
  - Equivalent paleontological training and experience, including at least 24 months of full time employment as a paleontologist under the guidance of a professional paleontologist with the qualifications for formal education, providing increasing responsibility leading to professional duties similar to those proposed in the application.
2. Demonstrated experience in collecting, analyzing, and reporting paleontological specimens and data, similar to the type and scope of work proposed.
3. Demonstrated experience in planning, equipping, staffing, organizing, and supervising crews performing work of the type and scope proposed.
4. Demonstrated experience in carrying paleontological projects to completion, as evidenced by timely completion and/or publication of theses, research reports, scientific papers, and similar documents.

There may be cases in which an applicant wishes to make a collection but does not meet the criteria above. A permit may be issued to the applicant provided that there is a co-applicant who does meet these criteria and who is willing to co-sign the application, thereby agreeing to supervise project planning, associated fieldwork, scientific evaluations and recommendations regarding paleontological materials under study, and the writing and submission of reports.

### **B. SUMMARY OF ORGANIZATIONAL CAPABILITIES**

Applications must show the capability of the applicant's organization to support work of the type and scope proposed. An organizational resume or summary of organizational experience should be submitted with the following minimum information.

1. Description and location(s) of facilities and equipment.
2. Organizational structure and staffing.
3. Specification of which, and to what extent, facilities, equipment and staff listed would be involved in the proposed work.

### **C. SUMMARY OF ORGANIZATIONAL HISTORY**

Applications must include a statement of the applicant's/organization's history of completing the type of work proposed, including:

1. Similar past projects.
2. Past government contracts.
3. Selected bibliography of project of contract reports and/or publications resulting from the above.
4. Previous state or federal permits held, effective dates of permits currently in force, and applications pending or planned.
5. Other pertinent experience, such as research and special studies.

If applicant's organization is a newly formed entity, individual capabilities of personnel will carry greater weight than evaluation of organizational qualifications.

Lack of an organizational history will not be the principal factor in evaluating an application.

## **REPOSITORY AGREEMENTS**

- A. Each application must include a Repository Agreement, written certification signed by a properly authorized official of the repository, named in line 13, of its willingness to accept and curate any collections, records, data, photographs, and other documents derived from permitted work, and to assume permanent curatorial responsibility for such materials on behalf of the State of Utah. The official may be the person named in line 1.
- B. If the repository agreement is from an institution other than the Utah Museum of Natural History (UMNH), an Alternate Repository Authorization (UMNH-ARA) must be obtained from the UMNH Registrar. A UMNH-ARA designates the institution named in line 13 as the official repository for materials collected under this permit. Please see UAC Rule R807-1(7-10) for standards and obligations of alternate repositories. UMNH-ARAs includes requirements that the alternate repository will submit to UMNH: yearly inventories of new material and a cast copy of any specimens that are cast from collections made under this permit. To apply for a UMNH-ARA, the applicant must send a copy of the permit application and a copy of the repository agreement from Section A with justification for selection as an alternate repository to: Registrar's Office, Natural History Museum of Utah, 301 Wakara Way, Salt Lake City UT 84108. Repository Agreement Forms and Policies for the Natural History Museum of Utah can be found on their website at: <http://nhmu.utah.edu/collections/policies-forms>
- C. Both UMNH Repository Agreements and ARAs expire yearly on December 31.
- D. A letter must be obtained from the appropriate state land management agency granting Right of Entry and agreement with the repository designation. For permits to conduct paleontological investigation on School and Institutional Trust Lands, contact the State of Utah School and Institutional Trust Lands Administration at 675 East 500 South, Suite 500, Salt Lake City UT 84102-2818. For permit requirements on other state lands, contact the office of the state paleontologist at [marthahayden@utah.gov](mailto:marthahayden@utah.gov) for additional information.

## **SPECIAL CONDITIONS – Annual Reporting Requirements for Permit Holders**

1. For paleontological investigations on **School and Institutional Trust Lands**, a **Right of Entry Permit** is required. A copy of the permit will be forwarded to Trust Lands Administration who will determine whether additional restrictions or conditions apply. A waiver of the Right of Entry fee, or payment of the fee, will be required. Other state land management agencies include the Division of Forestry, Fire and State Lands (sovereign land); Division of Wildlife Resources; Division of State Parks and Recreation; and the Department of Transportation. These agencies will determine if there are any additional special conditions requirements for collections made on lands they manage. The Paleontological Collection Permit is valid only for state-owned lands in Utah. For federal lands, please contact the appropriate land management agency. For private lands, the applicant should obtain permission, preferably in writing, from the landowner.
2. Updated **Resumes** for the Principal Investigator and all Field Supervisors may be requested for long term permit holders. Digital copies should be submitted via email whenever possible.
3. For permit holders who have a **Utah Museum of Natural History (UMNH) Repository Agreement**, see their website at <http://nhmu.utah.edu/collections/policies-forms> for reporting requirements. Please note that for new accession number requests an inventory of fossils collected in also required.
4. If a repository other than UMNH has been approved for this permit, **an inventory of fossils collected must be forwarded to the UMNH Registrar by the end of each calendar year. Also, in accordance with requirements of the Utah Museum of Natural History, the applicant is to provide a cast copy of any specimens that are cast to the Utah Museum of Natural History.**
5. An **annual, year-end report** summarizing all activity conducted under this permit should be submitted to the office of the State Paleontologist by December 31st of each year for which a permit is issued. A copy should be forwarded to the UMNH Registrar ([registrar@nhmu.utah.edu](mailto:registrar@nhmu.utah.edu)). A cover sheet to streamline this process will be available on the UGS website. This report will include listing of all sites with map coordinates, map plots and photos; summary of activities at all sites, with lists of fossils encountered and all fossils collected; technical report for each site; location of collected specimens at time of the report; expected completion dates and plans for future work; and copies of all publications and reports arising from the project.
6. **Paleontological Locality Data Sheets** should be submitted for all newly recorded localities. Use of the **State of Utah Paleontological Locality Numbers** is required.
7. Unless special permission is granted, all excavated areas will be restored as nearly as possible to their original condition or at a minimum the surface will be contoured to prevent artificial ponding or danger of slope failure.

8. All camp sites used during the course of any field investigation must be left clean, all refuse must be carried out, and adequate sanitation facilities must be maintained.
9. The permittee, in exercising the privileges granted by this permit, must comply with all federal, state, county, and municipal laws, ordinances, or regulations which are applicable to the area of operations covered by this permit.
10. If access to the area of investigation is through fenced land, it is the responsibility of the permittee to see that all gates are closed, or left as first encountered.
11. Other permittees may be engaged in the investigation of the same area and any resulting conflict should be resolved by the parties concerned. When this is not possible, the problem will be resolved by the office of the State Paleontologist.
12. The exploration or excavation of any grave, cemetery, or burial ground less than 200 years of age is expressly prohibited. Permits to conduct archaeological excavations must be obtained from the Governor's Public Lands Policy Coordination Office. For additional information and Archaeological Survey and Excavation Forms, see their website at <http://governor.utah.gov/publiclands/archaeologicalpermitting.htm>.

**PLEASE INCLUDE PERMIT NUMBER ON ALL CORRESPONDENCE, REPORTS,  
AND LOCALITY DATA SHEETS.**

UGS 12/2012 Draft - Subject to Revision