Appendix F—Heritage Health Index Survey Instrument, Instructions, and Frequently Asked Questions

Heritage Preservation
The National Institute for Conservation

Heritage Health Index
a partnership between Heritage Preservation and the Institute of Museum and Library Services

August 16, 2004

Dear Director,

The survey you have just opened represents a historic opportunity for archives, museums, libraries, historical societies, and scientific research organizations in the United States. The Heritage Health Index, sponsored by Heritage Preservation in partnership with the Institute of Museum and Library Services, is the first attempt to prepare a comprehensive picture of the condition and preservation needs of this country's collections.

We strongly encourage you to take the time to complete this survey because:

• The survey results will be used extensively in the years ahead as administrators, policy makers, government agencies, and private funding sources make decisions that affect the preservation of collections.
• The Heritage Health Index will assess collections in all media, in all formats, in all types of institutions, and in every state. We need your help to ensure that institutions of your type are accurately represented in the final results.
• Institutions that tested the questionnaire found it to be a thorough self-assessment, helping them gather information that was useful for long-range planning and funding requests.
• In appreciation of your time, probably one to three hours, we will send you a copy of the final survey report that will be publicized nationwide.

Please complete the questionnaire by October 12, 2004. We encourage you to submit the questionnaire online at www.heritagehealthindex.org. Your institution's password is   Doing the survey online gives you helpful tools and instant access to some of the preliminary results. If you prefer, you may complete the enclosed form and return it in the postage-paid envelope provided.

Information that will help you complete the questionnaire may be found on the inside cover and enclosed blue sheets. For additional assistance, contact Kristen Laise (klaise@heritagepreservation.org, 202-233-0824, or 202-233-0800) or another member of the Heritage Health Index staff at 202-233-0800.

We appreciate the gift of your time and information. Thank you for participating in this important project to document the needs and condition of our nation's cultural and scientific heritage.

Sincerely,

Lawrence L. Reger
President
Heritage Preservation
www.heritagepreservation.org

Robert S. Martin, Ph.D.
Director
Institute of Museum and Library Services
www.imls.gov

A. Institutional Identifying Information

A1. Name: _____

A2. Address 1: _____

A3. Address 2: _____

A4. Address 3: _____

A5. City, State and Zip: _____

A6. Name of parent institution, if applicable:_____

A7. Web site password:

Instructions

Submitting the Survey

We encourage you to submit your responses online at www.heritagehealthindex.org. If you prefer, you may complete the paper questionnaire and return it using the enclosed, addressed, stamped envelope. If the envelope is misplaced, please send your survey to: RMC Research Corporation, 1000 Market Street, Building 2, Portsmouth, NH 03801, attn: HHI.

Confidentiality

RMC Research Corporation will keep your individual responses, whether submitted online or on paper, completely confidential. Only the aggregate data will be reported; your individual responses will never be published or identified by Heritage Preservation, the Institute of Museum and Library Services (IMLS), or any organization cooperating in this project.

Why Should You Participate?

The data you provide will communicate the scope and nature of the preservation needs of collections nationwide and will guide the efforts of decision-makers and funders to address those needs. The results of the Heritage Health Index will show you your preservation needs in the context of those of your peers in a form that can be used as a tool for raising institutional awareness and promoting long-range planning for the care of collections.

Scope of the Questionnaire

- Complete the questionnaire for the collecting institution identified above in question A1.
- If you are one entity within a parent institution, fill out the survey only for your own holdings, not those of other collecting entities in your parent institution. They may receive their own surveys. For example, a library and a museum belonging to the same university may each receive separate surveys.
- If you are not under a parent institution, include information on all collections at your institution. For example, a museum that has its own library and archives should fill out one survey, including information on all of its museum, library, and archival holdings.
- Complete the questionnaire for collections that are a permanent part of your holdings or for which you have accepted preservation responsibility.
- Do not include living collections and historic structures in your responses to this questionnaire, even if they are a part of your institution's preservation responsibilities.

How to Complete the Questionnaire

- For questions that ask for a number or dollar amount, please provide your best estimate. Remember, these figures will constitute a national profile, so even a rough estimate is useful.
- For questions about issues such as institutional budget and staffing, you may need to consult your colleagues.
- If your responses will not fit in the spaces provided, please write them on the attached blank page.
- Do not leave questions blank. If there are questions that you cannot answer, select "Don't Know." If there are questions that are not applicable to your institution, select "Not Applicable."

More Information

When you see the (i) , refer to the enclosed blue sheets, which define terms used throughout the survey and provide answers to "Frequently Asked Questions" (FAQs). For questions about the survey, contact Kristen Laise at 202-233-0824, 202-233-0800, or klaise@heritagepreservation.org or another member of the Heritage Health Index staff at 202-233-0800. For technical assistance with online submissions, contact RMC at 800-258-0802 or HHITA@rmcres.com.

B. Description of Collecting or Holding Institution

B1. For purposes of comparing you with your peers, which of the following most closely describes your **primary function** or service? (*select one*)

❏ a. Archives

❏ b. Public library

❏ c. Academic library

❏ d. Independent research library

❏ e. Special library

❏ f. Historical society

❏ g. Historic house/site

❏ h. History museum

❏ i. Art museum (including art gallery, art center, or arts organization)

❏ j. Children's/youth museum

❏ k. Natural history museum

❏ l. Science/technology museum

❏ m. General museum (collection represents 2 or more disciplines)

❏ n. Museum with one narrowly defined discipline, please specify:_____

❏ o. Archaeological repository or research collection

❏ p. Agency or university department with scientific specimen/artifact collections

❏ q. Arboretum or botanical garden

❏ r. Aquarium

❏ s. Nature center

❏ t. Planetarium

❏ u. Zoo

❏ v. Other, please specify one function _____

B2. Which **additional functions or services** do you provide? (*select all that apply*)

❏ a. Archives

❏ b. Library

❏ c. Historical society

❏ d. Historic house/site

❏ e. Museum (including art gallery, art center, or arts organization)

❏ f. Archaeological repository or research collection

❏ g. Agency or university department with scientific specimen/artifact collections

❏ h. Aquarium, Zoo, Arboretum, Botanical Garden, Nature Center or Planetarium

❏ i. Other, please specify: _____

❏ j. None

B3. Does your institution have Internet access?

❏ a. Yes   ❏ b. No

B4. Does your institution have a Web site?
❑ a. Yes   ❑ b. No

B5. Which of the following most closely describes your institution's governance? (*select one*)
❑ a. College, university or other academic entity

❑ b. Non-profit, non-governmental organization or foundation

❑ c. Corporate or for-profit organization

❑ d. Federal

❑ e. State

❑ f. Local (county or municipal)

❑ g. Tribal

B6. If you are controlled by a college, university, or other academic entity, which of the following most closely describes your governance? (*select one*)
❑ a. Private college or university

❑ b. State college or university

❑ c. County or municipal college or university

❑ d. Other, please specify: _____

❑ e. Not applicable (not controlled by an academic entity)

C. Environment (i)

C1. Do you use environmental controls to meet **temperature** specifications for the preservation of your collection? (*select one*)
❑ a. Yes, in all areas

❑ b. In some, but not all areas

❑ c. No, in no areas

❑ d. Don't know

❑ e. Not applicable

C2. Do you use environmental controls to meet **relative humidity** specifications for the preservation of your collection? (*select one*)
❑ a. Yes, in all areas

❑ b. In some, but not all areas

❑ c. No, in no areas

❑ d. Don't know

❑ e. Not applicable

C3. Do you control **light levels** to meet the specifications for the preservation of your collection? (*select one*)
❑ a. Yes, in all areas

❑ b. In some, but not all areas

❑ c. No, in no areas

❑ d. Don't know

❑ e. Not applicable

C4. What estimated percentage of your collection is stored in areas you consider to be **adequate** (large enough to accommodate current collections with safe access to them and appropriate storage furniture, if necessary)? (*select one*)
❑ a. 0 %

❑ b. 1-19%

❑ c. 20-39%

❑ d. 40-59%

❑ e. 60-79%

❑ f. 80-99%

❑ g. 100%

❑ h. Don't know

C5. For the storage areas that are not adequate, indicate the degree of improvement needed in each of the following four categories. If all of your storage areas are adequate, select "no need." (i)

	No need	Need	Urgent need	Don't know	Not applicable
a. Additional on-site storage	❏	❏	❏	❏	❏
b. New or additional off-site storage	❏	❏	❏	❏	❏
c. Renovated storage space (either on-site or off- site)	❏	❏	❏	❏	❏
d. New or improved storage furniture/ accessories (*e.g., shelves, cabinets, racks*)	❏	❏	❏	❏	❏

D. Preservation Activities

D1. Does the **mission** of your institution include preservation of your collection? (*select one*)
❏ a. Yes
❏ b. No
❏ c. Don't know

D2. Does your institution have a **written, long-range preservation plan** for the care of the collection (a document that describes a multi-year course of action to meet an institution's overall preservation needs for its collection)? (*select one*)
❏ a. Yes
❏ b. Yes, but it is not up-to-date
❏ c. No, but one is being developed
❏ d. No, but preservation is addressed in overall long-range plan
❏ e. No
❏ f. Don't know

D3. Has a **survey of the general condition** of your collection been done (an assessment based on visual inspection of the collection and the areas where it is exhibited or held)? (*select one*)
❏ a. Yes
❏ b. Yes, but only of a portion of the collection
❏ c. Yes, but it is not up-to-date
❏ d. Yes, but only of a portion of the collection, and it is not up-to-date
❏ e. No
❏ f. Don't know

D4. Does your institution have a **written emergency/disaster plan** that includes the collection? (*select one*)
❏ a. Yes
❏ b. Yes, but it is not up-to-date
❏ c. No, but one is being developed
❏ d. No
❏ e. Don't know

D5. If you **have a written emergency/disaster plan**, is your staff trained to carry it out? (*select one*)
❏ a. Yes
❏ b. No
❏ c. Don't know
❏ d. Have no written emergency/disaster plan

D6. Are copies of **vital collection records** (*e.g., inventory, catalog, insurance policies*) stored offsite? (*select one*)
❏ a. Yes
❏ b. Some, but not all
❏ c. No
❏ d. Do not have copies
❏ e. Don't know
❏ f. Do not have collection records

D7. Do you have adequate **security systems** (*e.g., security guard, staff observation, intrusion detection*) to help prevent theft or vandalism of collections? (*select one*)
❏ a. Yes
❏ b. In some, but not all areas
❏ c. No
❏ d. Don't know

D8. Which of the following most closely describes your current **staffing for conservation/preservation**?
(*select all that apply*)
- ❑ a. Paid conservation/preservation staff (full-time or part-time)
- ❑ b. Volunteers (full-time or part-time)
- ❑ c. Conservation/preservation duties assigned to various staff as needed
- ❑ d. Conservation/preservation services obtained through external provider
- ❑ e. No staff person has conservation/preservation responsibilities

D9. Indicate the internal staff who perform conservation/preservation activities. Please select an **estimate** from the ranges provided. If the number of FTE falls between possible responses, round to the nearest whole number. (i)
- Include all workers who perform conservation/preservation activities whether full-time, part-time, seasonal, work study, interns, etc.
- Express the total amount of staff time spent on conservation/preservation in full-time equivalents (FTEs) (*e.g., two part-time staff who each work 20 hours a week on conservation/preservation activities would be counted as 1 full-time equivalent staff person*).

Professional conservation/ preservation staff (*e.g., preservation administrators, conservators, research scientists*)
- ❑ a. 0 FTE
- ❑ b. up to 1 FTE
- ❑ c. 2-5 FTE
- ❑ d. 6-10 FTE
- ❑ e. 11-20 FTE
- ❑ f. More than 20 FTE
- ❑ g. Don't know

Support conservation/preservation staff (*e.g., collections care assistants, technical assistants, handlers*)
- ❑ a. 0 FTE
- ❑ b. up to 1 FTE
- ❑ c. 2-5 FTE
- ❑ d. 6-10 FTE
- ❑ e. 11-20 FTE
- ❑ f. More than 20 FTE
- ❑ g. Don't know

Volunteers (*e.g., unpaid conservation/preservation workers, unpaid interns*)
- ❑ a. 0 FTE
- ❑ b. up to 1 FTE
- ❑ c. 2-5 FTE
- ❑ d. 6-10 FTE
- ❑ e. 11-20 FTE
- ❑ f. More than 20 FTE
- ❑ g. Don't know

D10. What does your conservation/preservation program include? (*select all that apply*) (i)

	Done by institution staff	Done by external provider	Not done currently, but planned	Not done	Not applicable
a. Preventive conservation (*e.g., housekeeping, holdings maintenance, rehousing, environmental monitoring*)	❑	❑	❑	❑	❑
b. Preservation management (*e.g., administration, planning, assessment*)	❑	❑	❑	❑	❑
c. Conservation treatment (*e.g., repair, mass deacidification, specimen preparation*)	❑	❑	❑	❑	❑
d. Preservation reformatting (*e.g., preservation photocopying, microfilming*)	❑	❑	❑	❑	❑
e. Preservation of audio-visual media and playback equipment (*e.g., preservation copies of media, maintaining equipment*)	❑	❑	❑	❑	❑
f. Preservation of digital materials and electronic records collections (*e.g., migrating data to current software*)	❑	❑	❑	❑	❑

D11. Does your institution's conservation/preservation mission or program include the **responsibility to pre-serve digital collections** (*computer based representation of text, numbers, images, and/or sound, e.g., optical discs, Web sites, electronic books*)? (*select one*)

❑ a. Yes
❑ b. No
❑ c. Don't know
❑ d. Not applicable

D12. Please indicate your institution's **level of need** in the following areas related to conservation/preservation. (i)

	No Need	Need	Urgent Need	Don't know	Not applicable
a. Finding aids or cataloging of collections	❑	❑	❑	❑	❑
b. Condition surveys or assessments of collection	❑	❑	❑	❑	❑
c. Staff training	❑	❑	❑	❑	❑
d. Security	❑	❑	❑	❑	❑
e. Environmental controls (*e.g., heating, air conditioning, de-humidifying, humidifying*)	❑	❑	❑	❑	❑
f. Improvements to reduce collections' exposure to light	❑	❑	❑	❑	❑
g. Conservation treatment (*include specimen preparation*)	❑	❑	❑	❑	❑
h. Preservation of digital collections (*digitized and born-digital*)	❑	❑	❑	❑	❑
i. Integrated pest management (*approaches to prevent and solve pest problems in an efficient and ecologically sound manner*)	❑	❑	❑	❑	❑

D13. For all your collections that are **currently in need of treatment** identify all the causes of the damage or loss of access to them. (i)

	No damage or loss	Some damage or loss	Significant damage or loss	Don't know
a. Handling (*e.g., by researchers, staff, in shipping*)	❑	❑	❑	❑
b. Water or moisture (*e.g., mold, stains, warping*)	❑	❑	❑	❑
c. Light (*e.g. fading, discoloration*)	❑	❑	❑	❑
d. Airborne particulates or pollutants (*e.g., dust, soot*)	❑	❑	❑	❑
e. Fire	❑	❑	❑	❑
f. Improper storage or enclosure (*e.g., bent, creased, adhered together*)	❑	❑	❑	❑
g. Pests	❑	❑	❑	❑
h. Vandalism	❑	❑	❑	❑
i. Physical or chemical deterioration (*due to temperature, humidity, aging, e.g., brittle paper, flaked paint, cracked leather, degradation of electronic media*)	❑	❑	❑	❑
j. Obsolescence of playback equipment, hardware, or software	❑	❑	❑	❑
k. Prior treatment(s) or restoration	❑	❑	❑	❑

D14. Do you **promote awareness** of conservation/preservation activities using the following?

	Yes	No	Not done currently, but planned	Don't know	Not applicable
a. Educating donors and/or trustees about preservation activities (*e.g., in tours, demonstrations*)	❏	❏	❏	❏	❏
b. Presenting preservation activities to members' or friends' groups (*e.g., in educational programming, printed/promotional materials*)	❏	❏	❏	❏	❏
c. Highlighting preservation activities in exhibitions or other programs for the public	❏	❏	❏	❏	❏
d. Serving as a source for conservation/preservation information to the public (*e.g., responding to queries*)	❏	❏	❏	❏	❏
e. Using conservation/preservation as part of a strategy for earned income (*e.g., selling archivally safe materials in shop, providing conservation on a fee-for-service basis*)	❏	❏	❏	❏	❏
f. Featuring preservation work on Web site	❏	❏	❏	❏	❏

E. Expenditures and Funding

E1. Do you have funds specifically allocated for **conservation/preservation activities** in your annual budget? (i)
(*select one*)
❏ a. Yes
❏ b. No specific line-item in budget, but other budgeted funds are available
❏ c. No
❏ d. Don't know

E2. What was the **total annual operating budget** of the entity indicated on page 1, question A1 for the **most recently completed fiscal year**? If exact amount is unknown, please provide an **estimate**. (i)

Most recently completed fiscal year (*select one*)   **Total annual operating budget**
❏ a. FY 2002   ❏ b. FY 2003   ❏ c. FY 2004
$ _____

E3. For the **most recently completed fiscal year**, what was your institution's **annual budget for conservation/preservation**? (*round off or provide an estimate*) (i)
• If you have no specific line-item in the budget, but use other budgeted funds for **conservation/preservation**, **estimate** the amount of budgeted funds used for **conservation/preservation**.
• *Include*: budgeted funds for staff (for those staff documented on page 4, question D9), supplies and equipment, surveys, treatment, preservation reformatting, commercial binding, consultants or contractors, and other preservation costs related to your collection(s). *Include* grants and any other temporary funding.
• *Do not include*: budgeted funds for utilities, security, capital projects or overhead.

Most recently completed fiscal year (*select one*)   **Annual budget for conservation/preservation**
❏ a. FY 2002   ❏ b. FY 2003   ❏ c. FY 2004
$ _____

E4. In the last three years, have any of your conservation and preservation expenditures been met by drawing on income from **endowed funds**? (*select one*)
❏ a. Yes
❏ b. No
❏ c. Don't know

E5. From which of the following **external sources** have you received funding that you have used to support **conservation or preservation activities during the last 3 years** (whether you applied for it or not)? (*select all that apply*)
- ❏ a. Federal
- ❏ b. State
- ❏ c. Municipal
- ❏ d. Corporation or company
- ❏ e. Foundation
- ❏ f. Individual donor or private philanthropist
- ❏ g. Other external source, please specify: _____

  _____
- ❏ h. Have received no funding from external sources
- ❏ i. Don't know

E6. Has your institution made an application, whether successful or unsuccessful, for conservation/preservation funding from any public or private source **in the last 3 years**? (*select one*)
- ❏ a. Yes
- ❏ b. No
- ❏ c. Don't know

E7. If your institution **did not make** a grant application for conservation/preservation funding from any public or private source **in the last 3 years**, which of the following factors influenced the decision **not** to apply? (*select all that apply*)
- ❏ a. Not aware of appropriate funding sources
- ❏ b. Lack of staff time or expertise to complete application
- ❏ c. Additional project planning or preparation necessary before requesting grant funds
- ❏ d. Conservation/preservation not an institutional priority
- ❏ e. Currently have sufficient sources of funding
- ❏ f. Have applied for grant(s) from external sources in the past but have been unsuccessful
- ❏ g. Other, please specify: _____

  _____
- ❏ h. Not applicable
- ❏ i. Don't know

F. Collections and Holdings

F1. What estimated percentage of the collection is accessible through a **catalog** (*research tool or finding aid that provides intellectual control over collection through entries that may contain descriptive detail, including physical description, provenance, history, accession information, etc.*)? (*select one*)
- ❏ a. 0 %
- ❏ b. 1-19%
- ❏ c. 20-39%
- ❏ d. 40-59%
- ❏ e. 60-79%
- ❏ f. 80-99%
- ❏ g. 100%
- ❏ h. Don't know

F2. What estimated percentage of the collection's **catalog** is accessible **online** (*whether for institutional use, or made accessible to the public through your institution or a service provider*)?
- ❏ a. 0 %
- ❏ b. 1-19%
- ❏ c. 20-39%
- ❏ d. 40-59%
- ❏ e. 60-79%
- ❏ f. 80-99%
- ❏ g. 100%
- ❏ h. Don't know

F3. Do you provide **online** access to the **content** of any of your collections or holdings (*e.g., online exhibitions, interactive resources, digital art, digitally scanned photographs, documents, books, and other artifacts*)?
- ❏ Yes
- ❏ No, but will have access within the next year
- ❏ No
- ❏ Don't know

F4. Does your institution hold collections of the following types?

	Yes	No
a. **Books and Bound Volumes**—*monographs, serials, newspapers, scrapbooks, albums, pamphlets*	❑	❑
b. **Unbound Sheets**—*archival records, manuscripts, maps, oversized items, ephemera, broadsides, philatelic and numismatic artifacts, other paper artifacts*	❑	❑
c. **Photographic Collections**—*microfilm, microfiche, photographic prints, negatives, slides, transparencies, daguerrotypes, ambrotypes, tintypes, glass plate negatives, lantern slides*	❑	❑
d. **Moving Image Collections**—*motion picture film, video tape, laser disc, CD, DVD, minidisc*	❑	❑
e. **Recorded Sound Collections**—*cylinder, phonodisc, cassette, open reel tape, DAT, CD, DVD, MP3*	❑	❑
f. **Digital Material Collections**—*floppy discs, CD-R, DVD-R, data tape, online collections*	❑	❑
g. **Art Objects**—*paintings, prints, drawings, sculpture, decorative arts (e.g., fine metalwork, jewelry, timepieces, enamels, ivories, lacquer)*	❑	❑
h. **Historic and Ethnographic Objects**—*textiles (including flags, rugs, costumes and accessories), ceramics, glass (including stained glass), ethnographic artifacts (e.g., leather, skin, baskets, bark), metalwork (e.g., arms and armor, medals, coins), furniture, domestic artifacts (including frames, household tools/machines, dolls/toys, musical instruments), technological and agricultural artifacts, medical and scientific artifacts, transportation vehicles*	❑	❑
i. **Archaeological Collections**	❑	❑
j. **Natural Science Specimens**—*zoological, botanical, geological, paleontological, paleobotany specimens*	❑	❑

F5. In the following chart, please indicate the estimated number **for each type of collection you hold**. (i)
- Include only collections that are a permanent part of your holdings or for which you have accepted preservation responsibility.
- **Estimate** your total holdings in each category. For types of collections not listed, record under the appropriate "other" category. If possible, please specify what you have included.
- **Do not leave any category blank;** where applicable, check "have no holdings" or "quantity unknown."
- For each collection, note the **estimated percentage that is in need of preservation.** It is not necessary for your institution to have done a condition survey on all or part of your collections to provide this estimate. If you do not know the condition of your materials and cannot even provide an estimate, enter 100% in "unknown condition."
- On each line, the percentages indicating condition **should total 100%.**

Books and Bound Volumes (*record in volumes*)	Have no holdings	Approx. # of units	Quantity unknown	% in unknown condition	% in no need	% in need	% in urgent need
Books/monographs	❑		❑	%	%	%	%
Serials/newspapers (*on paper*)	❑		❑	%	%	%	%
Scrapbooks, albums, pamphlets	❑		❑	%	%	%	%
Other books and bound volumes (*please specify*)	❑		❑	%	%	%	%

_____

_____

_____

Unbound Sheets	Have no holdings	Approx. # of units	Quantity unknown	% in unknown condition	% in no need	% in need	% in urgent need
Archival records/manuscripts (*record in linear/ cubic feet*)	❏	ft	❏	%	%	%	%
Maps and oversized items (*record in linear/ cubic feet*)	❏	ft	❏	%	%	%	%
Ephemera and broadsides (*record in items*)	❏		❏	%	%	%	%
Philatelic and numismatic artifacts (*record in items*)	❏		❏	%	%	%	%
Other paper artifacts (*please specify*)	❏		❏	%	%	%	%

_____

_____

_____

Photographic Collections (record in items)	Have no holdings	Approx. # of units	Quantity unknown	% in unknown condition	% in no need	% in need	% in urgent need
Microfilm and Microfiche (*record number of units*)	❏		❏	%	%	%	%
Black and white prints, all processes (*e.g., albumen, collodion, silver gelatin*)	❏		❏	%	%	%	%
Black and white film negatives, pre-1950 (*e.g., cellulose nitrate, cellulose acetate*)	❏		❏	%	%	%	%
Black and white film negatives, post-1950 (*e.g., cellulose acetate, polyester*)	❏		❏	%	%	%	%
Color prints, negatives, and positives (*including slides and transparencies*)	❏		❏	%	%	%	%
Cased objects (*e.g., daguerreotype, ambrotype, tintype*)	❏		❏	%	%	%	%
Glass plate negatives and lantern slides	❏		❏	%	%	%	%
Other photographic collections (*e.g., digital and inkjet prints*) (*please specify*)	❏		❏	%	%	%	%

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_____

Moving Image Collections *(record in items, e.g., reel, can, cassette)*	Have no holdings	Approx. # of units	Quantity unknown	% in unknown condition	% in no need	% in need	% in urgent need
Motion picture film *(record in items, e.g., reels, cans)*	❑		❑	%	%	%	%
Magnetic tape *(e.g., Beta video, VHS video, digital)*	❑		❑	%	%	%	%
Disc *(e.g., laser, CD, DVD, minidisc)*	❑		❑	%	%	%	%
Other moving image collections *(please specify)*	❑		❑	%	%	%	%

_____

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Recorded Sound Collections *(record in items, e.g., reel, cassette, disc)*	Have no holdings	Approx. # of units	Quantity unknown	% in unknown condition	% in no need	% in need	% in urgent need
Grooved media *(e.g., cylinder, phonodisc)*	❑		❑	%	%	%	%
Magnetic media *(e.g., cassette, open reel tape, DAT)*	❑		❑	%	%	%	%
Optical media *(e.g., CD, DVD)*	❑		❑	%	%	%	%
Digital media *(e.g., MP3s)*	❑		❑	%	%	%	%
Other recorded sound collections *(e.g., wire, dictabelts) (please specify)*	❑		❑	%	%	%	%

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Digital Material Collections *(record in items, do not include moving images or recorded sound)*	Have no holdings	Approx. # of units	Quantity unknown	% in unknown condition	% in no need	% in need	% in urgent need
Floppy discs	❑		❑	%	%	%	%
Other discs	❑		❑	%	%	%	%
CD-R/DVD-R	❑		❑	%	%	%	%
Data tape *(record in cassettes or reels)*	❑		❑	%	%	%	%
Online collection *(record in number of files)*	❑		❑	%	%	%	%
Other digital collections *(please specify)*	❑		❑	%	%	%	%

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Art Objects (record in items)	Have no holdings	Approx. # of units	Quantity unknown	% in unknown condition	% in no need	% in need	% in urgent need
Painting (e.g., on canvas, panel, plaster)	❏		❏	%	%	%	%
Art on paper (e.g., prints, drawings, watercolors)	❏		❏	%	%	%	%
Sculpture (include carvings, indoor and outdoor sculpture in all media)	❏		❏	%	%	%	%
Decorative arts (e.g., fine metalwork, jewelry, timepieces, enamels, ivories, lacquer)	❏		❏	%	%	%	%
Other art objects (please specify)	❏		❏	%	%	%	%

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Historic and Ethnographic Objects (record in items)	Have no holdings	Approx. # of units	Quantity unknown	% in unknown condition	% in no need	% in need	% in urgent need
Textiles (include flags, rugs, costumes and accessories)	❏		❏	%	%	%	%
Ceramics and glass artifacts (include stained glass)	❏		❏	%	%	%	%
Ethnographic and organic collections (e.g., leather, skin, baskets, bark)	❏		❏	%	%	%	%
Metalwork (e.g., arms and armor, medals, coins)	❏		❏	%	%	%	%
Furniture	❏		❏	%	%	%	%
Domestic artifacts (include frames, household tools/machines, dolls/toys, musical instruments)	❏		❏	%	%	%	%
Science, technology, agricultural, medical artifacts (include transportation vehicles)	❏		❏	%	%	%	%
Other historic and ethnographic objects (please specify)	❏		❏	%	%	%	%

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Archaeological Collections, Individually Cataloged *(record in items)*	Have no holdings	Approx. # of units	Quantity unknown	% in unknown condition	% in no need	% in need	% in urgent need
Individually cataloged organic based material (*e.g., textile, fiber, wood, bone, shell, feather*)	❏	_____	❏	____%	____%	____%	____%
Individually cataloged inorganic based material (*e.g., ceramic, glass, metal, plastics*)	❏	_____	❏	____%	____%	____%	____%

Archaeological Collections, Bulk *(record in cubic feet)*	Have no holdings	Approx. # of units	Quantity unknown	% in unknown condition	% in no need	% in need	% in urgent need
Bulk organic material (*e.g., textile, fiber, wood, bone, shell, feather*) (*record in cubic feet*)	❏	ft³ _____	❏	____%	____%	____%	____%
Bulk inorganic material (*e.g., ceramic, glass, metal, plastics*) (*record in cubic feet*)	❏	ft³ _____	❏	____%	____%	____%	____%

Natural Science Specimens *(record in items)*	Have no holdings	Approx. # of units	Quantity unknown	% in unknown condition	% in no need	% in need	% in urgent need
Zoological specimens: dry, glass slide, and frozen	❏	_____	❏	____%	____%	____%	____%
Zoological specimens: wet preparations	❏	_____	❏	____%	____%	____%	____%
Botanical specimens: dry, glass slide, frozen, culture, and modern palynology materials	❏	_____	❏	____%	____%	____%	____%
Botanical specimens: wet preparations	❏	_____	❏	____%	____%	____%	____%
Geological specimens (*e.g., rocks, gems, minerals, and meteorites*)	❏	_____	❏	____%	____%	____%	____%
Vertebrate paleontological specimens	❏	_____	❏	____%	____%	____%	____%
Invertebrate paleontological specimens (*include appropriate microfossils and nannofossils*)	❏	_____	❏	____%	____%	____%	____%
Paleobotany specimens (*include appropriate microfossils, nannofossils, and fossil palynology materials*)	❏	_____	❏	____%	____%	____%	____%
Other natural science specimens (*please specify*)	❏	_____	❏	____%	____%	____%	____%

_____

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G. Respondent Information

G1. How many **staff are currently employed** in your collecting institution (as identified on page 1, question A1)? Do not express in full-time equivalents (FTEs). Indicate "0" if you have no staff in a category.

	Number of staff	Don't know
a. Full-time paid staff	_____	❑
b. Part-time paid staff	_____	❑
c. Full-time unpaid staff	_____	❑
d. Part-time unpaid staff	_____	❑

G2. How many **visitors or users** did you serve last year? Indicate "0" if you had no visitors or users in a category. ⓘ

	Number of visitors or users	Don't know
a. On site	_____	❑
b. Off site (*e.g., traveling exhibitions, bookmobiles, educational programs*)	_____	❑
c. Electronic (*e.g., visits to Web site, electronic distribution lists, electronic discussion groups*)	_____	❑

To be completed by lead person completing or coordinating the survey.

This information will be used only if RMC Research Corporation needs to clarify a response. RMC Research Corporation will keep this information, like all the information you provided in this survey, completely confidential. Only aggregate data will be reported. Your individual responses will never be published or identified by Heritage Preservation, the Institute of Museum and Library Services, or any other organization cooperating in this project.

G3. Name of lead person completing
or coordinating survey (*will remain confidential*)_____

G4. Title _____

G5. Responsibility for preservation activities _____

G6. Phone number _____ G7. Fax number _____

G8. Email address _____

G9. Did more than one person complete this survey?
❑ a. Yes   ❑ b. No

G10. May we have permission to include the name of your institution on a published list of survey participants? Your survey responses will not be linked to your name; results will be reported only in aggregate.
❑ a. Yes   ❑ b. No

G11. (*optional*) Use the space below to explain your most pressing conservation/preservation need.

_____

_____

_____

_____

THANK YOU!

ADDITIONAL SPACE FOR RESPONSES (IF NEEDED):

Printed in the United States of America.

HHI
Heritage Health Index
a partnership between Heritage Preservation and
the Institute of Museum and Library Services

ⓘ
More Information

Definitions

As you complete the survey, you may wish to refer to the definitions and comments below for further clarification of certain questions and terminology.

Throughout the survey, we have used the following definitions for conservation and preservation:

Conservation: The treatment of materials, aided by examination and research, and the study of the environments in which they are placed.

Preservation: The protection of materials through activities that minimize chemical and physical deterioration and damage and/or that prevent loss of informational content.

Question C5: Storage Needs (page 4)

Need: Improvement required to reduce risk of damage or deterioration to collections.

Urgent Need: Major improvement required to prevent damage or deterioration to collections.

Question D10: What Your Conservation/Preservation Program Includes (page 5)

Institution staff: Workers at the entity indicated on page 1, question A1. Include temporary, hourly, and volunteer workers but do not include hired consultants.

External providers: Workers, including volunteers, from outside the entity indicated on page 1, question A1, or its parent institution(s) that provide conservation/preservation services, such as consultants and workers at another institution or firm.

Question D12: Conservation/Preservation Needs (page 6)

Need: Improvement required to reduce risk of damage or deterioration to collections.

Urgent Need: Major improvement required to prevent damage or deterioration to collections.

Question D13: Collections in Need of Treatment (page 6)

Some damage or loss: Change(s) in an item's physical or chemical state requiring minor treatment.

Significant damage or loss: Change(s) in an item's physical or chemical state necessitating major treatment or reformatting or resulting in total loss of access.

Question F5: Estimated Quantity and Condition of Holdings (page 9)

- Enter the number or an estimate of items in each category, unless another unit of measurement is noted.
- For object and scientific collections, documentary evidence should be recorded in appropriate categories (e.g., photographs, archival records, recorded sound tapes).
- Use the following definitions:

No need: Material is stable enough for use and is housed in a stable environment that protects it from long-term damage and deterioration.

Need: Material may need minor treatment to make it stable enough for use, and/or the collection needs to be rehoused into a more stable enclosure or environment to reduce risk of damage or deterioration.

Urgent Need: Material needs major treatment or reformatting to make it stable enough for use, and/or the material is located in an enclosure or environment that is causing damage or deterioration. For machine-readable collections, deterioration of media and/or obsolescence of play-back equipment or hardware/software threatens loss of content.

Unknown: Material has not been recently accessed by staff for visual inspection and/or condition is unknown.

Frequently Asked Questions

What do you mean by "collections for which you accept preservation responsibility"?

Not all collections that are important to your institution are meant to be preserved. Some are meant to be used by visitors or patrons and are disposed of or replaced if they are lost or damaged. Others are not accessioned into the collection because they fall outside the institution's mission or could be replaced if necessary. Some examples of collections for which you do **not** accept preservation responsibility might be:

- current books, magazines, video tapes, sound recordings of which multiple copies exist at the institution and/or could be replaced if lost or damaged and/or are deemed expendable
- reference books or materials that aid in staff research but are not part of the accessioned collections
- teaching aids or collections (e.g., commonly found specimens, hands-on exhibits at a youth museum)
- replicas of historic objects.

Our collecting institution has very few collection items that we take a preservation responsibility for; should we still complete the questionnaire?

Yes, please complete the questionnaire. We expect that some institutions take preservation responsibility for only a few items. It is important that such institutions are represented in the Heritage Health Index data. If your institution has **no** collections for which you take preservation responsibility, please return the survey with this noted.

Our collecting institution has various types of collections; should we complete the Heritage Health Index for all of them?

Yes, but some exceptions and clarifications apply, such as:

- If you are a botanical garden, arboretum, zoo, aquarium, or nature center that has living collections, complete the questionnaire only for your **nonliving collections**.
- If your institution has historic buildings, complete the questionnaire only for your collections, **not your historic buildings** (even if those buildings are a part of your institution's preservation responsibility or are accessioned as collections).
- If you are a public library system with branches, you should include collections held at branches for which your system accepts preservation responsibility.
- If you are a library with an archives, history room, or other collections, include all collections for which you accept preservation responsibility.
- If you are a museum or historical society that has an archives or library as part of your institution, include the archival and/or library materials for which you accept preservation responsibility.

Our collecting institution is part of a university; should we include other campus collections in the survey?

Every college or university is organized differently, but Heritage Preservation has attempted to identify the separate entities on campus that should receive the Heritage Health Index. If the entity identified on page 1, question A1, of the questionnaire is distinct from other university collections, complete the questionnaire for all collections that are held by this entity. It is possible that other university collections will receive their own survey.

Some specific examples:

- If the entity identified on page 1, question A1, is "University Natural History Museum," that entity should complete the survey for all collections under its care, including its library and archival collections. Do not include collections not under your care that are instead held by other museums, libraries, or archives within the university.
- If the entity identified on page 1, question A1, is "University Main Library," and this library is only one entity in a system of university libraries, which has centralized many library functions, such as cataloging, gathering statistics, and preservation activities, then the survey should be completed for **all the libraries and archives in the university library system**. Do not include any departments or schools that are not included in central operations of this library system.
- If the entity identified on page 1, question A1, is a scientific research collection that is operated by a specific department, complete the questionnaire just for this collection. Other research collections on campus may receive their own survey.

The environmental and storage conditions in our collecting institution vary greatly from building to building, or even room to room. How should we handle questions that ask for one response covering several different sets of conditions?

- On page 3, questions C1 through C3 address three components of environmental controls, and it might be most appropriate for your institution to select "in some, but not all areas."

- On page 3, question C4, you can identify how much storage at your institution is adequate.
- On page 4, question C5, you should average the amount of need your institution has in the various areas. If you have a small collection that is in "urgent need" of new or improved storage furniture/accessories, but most of the collection has lower level "need" for storage furniture/accessories, it may be most accurate to choose "need" as an institutional average. Use your best judgment.

In a few months our collecting institution will begin to address some of the preservation issues brought up in the Heritage Health Index. Should we report what we are currently doing or what we plan to do?

Heritage Preservation understands that preservation is an ongoing process. The Heritage Health Index is planned to be repeated every four years, so that we will be able to track national progress in addressing preservation needs.

Some questions allow you to indicate that certain activities are being planned (page 5, question D10, and page 7, question D14).

All other questions should be answered for the current situation and condition of your collections **unless the work is already in progress**. For example, you should report on preservation staff that are currently working, not staff you plan to hire or who no longer work with you. Estimates for the need to do preservation activities should reflect your current conditions, unless one of those needs is currently being addressed. For example, on page 6, question D12, row "e," if your institution is currently undergoing a renovation to install new environmental controls, it may be most accurate to select "no need." The estimate of condition should, again, reflect the current state of your collections unless improvement is in progress (e.g., black and white photographs currently being rehoused in appropriate sleeves and boxes).

We often hire paid, part-time student workers to assist with simple preservation tasks; however, they are only temporary workers. Should we include them in our preservation staff?

Yes. Temporary workers should be included in your response on page 5, question D9. In the case of student workers, they would likely be considered "support conservation/preservation staff." For example, if you **currently** have two paid student workers who each work 10 hours a week for 6 months, then the full-time equivalent of your support conservation/preservation staff is .25 (2 workers x 10 hours=20 hours or .5 FTE) (.5 FTE x .5 year=.25 FTE). Remember that estimates are acceptable. Note that 1 FTE = a year-round worker who works an average of 40 hours per week.

If your number of FTE falls between possible responses (e.g., between 1 and 2 FTE or between 5 and 6 FTE), round to the nearest whole number.

Our institution is open April to October only, and we have trained some volunteers to do routine housekeeping. Are they preservation staff?

Yes. Any volunteers who assist with the care of collections should be counted on page 5, question D9. For instance, if two volunteers each work 5 hours a week for 6 months, then the full-time equivalent would be approximately .13 (2 workers x 5 hours = 10 hours or .25 FTE) (.25 FTE x .5 year = .13 FTE).

Should we report on the operating budget of our entire institution?

You should report on the total annual operating budget for the entity identified on page 1, question A1. You should not provide the operating budget for a parent institution, if your institution has one. For example, if the entity identified on page 1, question A1 is "University Natural History Museum," just the total annual operating budget for the museum should be reported—**not the entire university's budget**. If you have corrected the entity on page 1, question A1, please report on the entity you identified.

Our institution doesn't have a line item for preservation and conservation, but we do use budgeted funds for staff and supplies. Last year we also received some grant funding for a preservation and conservation project. How should we complete question E3 on page 7?

Whether or not your institution has a specific budget line-item for preservation and conservation, you should complete question E3 on page 7. Again, estimates are acceptable. To calculate staff costs, use the figures for

preservation/conservation staff that you indicated on page 5, question D9. Include any portion of your institution's supply or equipment budget that was used to purchase items relating to preservation and conservation. Include any expenditures made for preservation and conservation activities, whether done internally or by an external provider. You should include any grant funds or other temporary funding used for preservation and conservation. Do not include utilities, security, capital expenditures, or overhead in your response to question E3.

Our institution has undertaken a major conservation treatment project this year, and our conservation/preservation budget and staffing levels are higher than usual. Should we record this figure even if it is not typical?

The Heritage Health Index is meant to be a snapshot of current activities, and we expect to capture dips and peaks in staffing and funding levels. While your institution's project may not be typical, it will give us important information about the level of preservation activity nationally. However, note the instructions on page 7, question E3, about what should and should not be included in the preservation budget (e.g., capital expenditures not included).

Some of the categories on pages 9-13, question F5, do not match the categories our institution uses in cataloging. How should we answer the question?

Every institution organizes its collection in a way that is meaningful to them. Therefore, the categories listed on pages 9-13, question F5, may not exactly match the system you use. If you have collections that do not fit in the specified categories, please record them in the appropriate "other" category and briefly indicate the type of collection they are.

We have not cataloged some of our collections. How should we go about determining the approximate number of units for question F5 on pages 9-13?

An **estimate** is fine. The number is important so that Heritage Preservation can determine the scope of national preservation needs. Even figures such as "10, 100, 1,000, 5,000" are useful for the purposes of this questionnaire. If it is not possible to provide an estimate, check "quantity unknown." Make sure to check "have no holdings" if your institution has no collections in that category.

Our institution has object collections organized by subject matter and archives identified by subject or person. Within these collections there are many media and formats, including manuscripts, photographs, ephemera, and art on paper, but we don't know the exact quantity and condition of these items. How should these collections be recorded in question F5 on pages 9-13?

Archival records and manuscripts should be recorded in linear feet in the "Unbound Sheets" section on page 10. If it is feasible to quantify or estimate other specific formats (e.g., photographs, domestic artifacts) by number of items, please record them in the relevant category and exclude them from the estimate of linear footage. If your thematic collections contain various media, provide estimates and record them in the appropriate categories.

We have never done a condition assessment of our collections. How can we determine the percentages of materials in need of preservation?

Even if you have not undertaken a condition assessment of all or part of your collections, provide your best estimate of the need of collections in each category, based on your working knowledge of the materials in your care. Make sure that the percentages indicating condition in each line add up to 100%. If it is not possible to provide an estimate of need for all or part of the collection, indicate that percentage in the "unknown condition" column.

Our digital collections include back-up copies and online journal subscriptions. How should these be counted in question F5 "Digital Material Collections" on page 11?

Again, you should include all collections for which you accept preservation responsibility. This would include service or back-up copies, since they would need to be maintained (e.g., through migration to another format).

However, you should not include digital materials that your institution makes available through a subscription service, such as electronic journals or databases, unless you or your parent institution maintains master digital files for these resources. In the case of most online or database subscriptions, the service provider would have the responsibility for preserving those materials, not your institution.

For example, if your institution owns original survey maps, purchased CD-ROMs with digital copies of these maps from a vendor, integrated those scanned maps into your online catalog, and subscribes to a database of survey maps from around the country, you would want to complete question F5 to record the original number of maps, number of CDs, and number of online files. You would not record the database subscription.

Our digital collections include digital images of some photographs that are in our collection. How should these be counted in question F5 "Digital Material Collections" on page 11?

You should consider whether these digital copies are a permanent part of your collection for which you take preservation responsibility. If they are, record the media on which they are stored in the "Digital Materials Collections" section of question F5 on page 11.

The original photographs should also be recorded under "Photographic Collections" in question F5 on page 10.

We are a large museum that has many millions of visitors per year. We also have a library and an archives. Question G2a on page 14 asks for onsite visitors; should we include only those researchers and users who access the collections for research purposes?

The response to question G2a should include all visitors/users who come to the institution identified in question A1. In your case, record all museum visitors including researchers who use the museum's library and archives.

There are several questions we cannot answer. Do you still want us to respond to the survey?

Heritage Preservation hopes that you will be able to provide responses to each question. In many cases, we have given you the option of selecting "don't know" or "unknown." Please complete the survey to the best of your ability and return it as directed, even if there are questions you cannot answer.
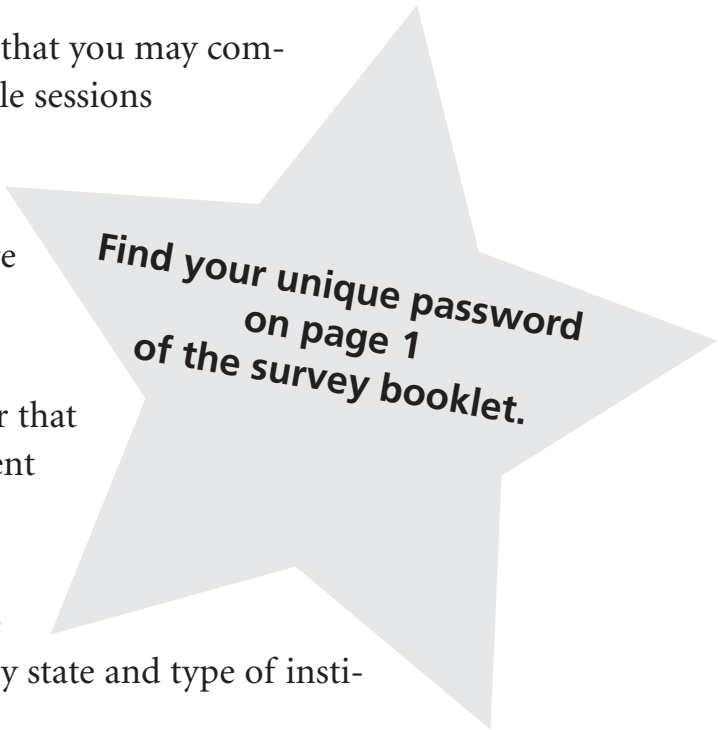
I have additional questions. Who can help me?

You may contact Kristen Laise at 202-233-0824, 202-233-0800, or klaise@heritagepreservation.org or another member of the Heritage Health Index staff at 202-233-0800.

Submit Your Heritage Health Index Questionnaire
Online at www.heritagehealthindex.org

Advantages of the online survey:

- Ability to save your responses so that you may complete the questionnaire in multiple sessions

- Reminders of which sections are completed and which ones are in progress

- Helpful tools, such as a calculator that computes your full-time equivalent (FTE) staff

- Access to a running tally of some preliminary results and returns by state and type of institution

- Convenient way to have staff members contribute to data gathering

- Printable version of the completed questionnaire for your records

- One-click access to definitions and Frequently Asked Questions

- Instant and confidential data submission

Find your unique password on page 1 of the survey booklet.

Technical questions? Contact RMC at 800-258-0802 or HHITA@rmcres.com.

Questions about the survey? Contact Kristen Laise at 202-233-0824, 202-233-0800, or klaise@heritagepreservation.org or another member of the Heritage Health Index staff at 202-233-0800.