

## **APPENDIX : Heritage Health Index Reference Documents**

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**A. Definition of Institutional Size by Institutional Type**

## **A. Definition of Institutional Size by Institutional Type**

### **Archives**

The size of archives was based on the quantity of unbound sheets and other archival materials. For some archives, significant photographic, moving image, or recorded sound collections were taken into account as well as unbound sheets. Heritage Preservation consulted three sources to construct these categories: Society of American Archivists membership list, American Library Directory, and Heritage Health Index 2004.

#### Large

- more than 5,000 linear feet of unbound sheets
- institutional budgets that are appropriate for a larger institution
- all National Archives and Records Administration facilities and most state archives

#### Medium

- 1,000-4,999 linear feet of unbound sheets
- reasonable institutional budget size (unusually small budgets may have resulted in reclassification as small)
- remaining state archives

#### Small

- fewer than 1,000 linear feet of unbound sheets

### **Academic and Independent Research Libraries**

The size of academic and independent research libraries was based on the total volume holdings. Heritage Preservation consulted three sources to construct these categories: Association of Research Libraries, American Library Directory, and Heritage Health Index 2004.

#### Large

- more than 1,500,000 total volume holdings
- all members of the Association of Research Libraries
- most state libraries

#### Medium

- 250,000-1,499,999 total volume holdings
- all members of the Oberlin Group of Liberal Arts College Libraries
- remaining state libraries

#### Small

- fewer than 250,000 total volume holdings

## **Public Libraries**

The size of public libraries was based on the service populations of respondents as reported in the IMLS' Public Library Survey 2011.

Large – service population 100,000 or greater

Medium – service population 25,000-99,999

Small – service population less than 25,000

## **Archaeological Repositories**

The size of archaeological repositories was based on the quantity of individually and/or bulk cataloged archaeological collections. If the collection size was not known, decisions were made on institutional budget size, with large=more than \$1,000,000, medium=\$350,000-\$999,999, small=less than \$350,000, except in the case of labs that offered archaeological services, which often have larger budgets. In this case, additional research was done to determine number of holdings. Heritage Preservation consulted two sources to construct these categories: Army Corps of Engineers administrative data, and Heritage Health Index 2004.

Large – more than 500,000 individually cataloged archaeological collections and/or more than 5,000 cubic feet of bulk archaeological collections

Medium – 5,000-499,999 individually cataloged archaeological collections and/or 1,000-4,999 cubic feet of bulk archaeological collections

Small – fewer than 5,000 individually cataloged archaeological collections and/or fewer than 1,000 cubic feet of bulk archaeological collections

## **Agency or university collection with scientific specimen artifact collections with herbarium and/or zoological focus**

The size of these collections was based on the quantity of botanical specimens and/or zoological specimens. Heritage Preservation consulted three sources to construct these categories: American Zoos and Aquariums directory, American Public Gardens Association, and Heritage Health Index 2004.

Large – more than 500,000 botanical specimens and/or zoological specimens

Medium – 50,001-500,000 botanical specimens and/or zoological specimens

Small – 50,000 or fewer botanical specimens and/or zoological specimens

## **Agency or university collection with scientific specimen artifact collections with geological or paleontological focus**

The size of these collections was based on the quantity of geological or paleontological specimens. Heritage Preservation consulted nine sources to construct these categories:

American Society of Mammologists list, American Society of Ichthyologists and Herpetologists, International Mineralogical Association Commission on Museums, Natural Science Collections Alliance directory, U.S. Department of Agriculture research collections list, The Global Registry of Biorepositories, and Heritage Health Index 2004.

Large – more than 200,000 geological and/or paleontological specimens

Medium – 10,001-199,999 geological and/or paleontological specimens

Small – 10,000 or fewer geological and/or paleontological specimens

## Museums

The size of museums was based on the institutional. Definitions are based on what the American Association of Museums had used in several reports, such as the 1989 *National Museum Survey* and the biennial AAM Museum Financial Information surveys. Dollar figures, not updated since 2009, have been adjusted for inflation. If institutional budget information was not known for museums, the 2013 *Official Museum Directory* was consulted for staff size and used to place museums in size categories.

Large – more than 10 full time paid staff,

Medium – 4-10 full time paid staff, and

Small – 3 or fewer full time paid staff.

### Aquariums, Zoos

Large – institutional budget more than \$4,500,000

Medium – institutional budget \$1,500,000-\$4,500,000

Small – institutional budget less than \$1,500,000

### Arboretums, Botanical Gardens, Art Museums, Children's Museums

Large – institutional budget more than \$1,500,000

Medium – institutional budget \$300,000-\$1,500,000

Small – institutional budget less than \$300,000

### General Museums, Historic House/Sites, History Museums, Historical Societies, Specialized Museums

Large – institutional budget more than \$1,500,000

Medium – institutional budget \$500,000-\$1,500,000

Small – institutional budget less than \$500,000

### Natural History Museums

Large – institutional budget more than \$1,500,000

Medium – institutional budget \$350,000-\$1,500,000

Small – institutional budget less than \$350,000

Nature Centers, Planetaria

Large – institutional budget more than \$1,200,000

Medium – institutional budget \$350,000-\$1,200,000

Small – institutional budget less than \$350,000

Science/Technology Museums

Large – institutional budget more than \$7,500,000

Medium – institutional budget \$1,500,000-\$7,500,000

Small – institutional budget less than \$1,500,000

## **B. Resources used in Developing HHI 2004 project**

### **C. Resources used in Developing HHI 2004 project**

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**C.Heritage Health Index 2004 Institutional Advisory Committee**

## **C. Heritage Health Index 2004 Institutional Advisory Committee**

- American Library Association
- American Library Association/ ALCTS Preservation and Reformatting Section
- American Association of Museums
- American Association for State and Local History
- American Institute for the Conservation of Historic and Artistic Works
- Association of Art Museum Directors
- Association of Moving Image Archivists
- Association of Regional Conservation Centers
- Association of Research Libraries
- Center for Arts and Culture
- Chief Officers of State Library Agencies
- Council on Library and Information Resources
- Getty Grant Program
- Institute of Museum and Library Services
- Library of Congress
- National Archives and Records Administration
- National Association of Government Archives and Records Administrators
- National Commission on Libraries and Information Science
- National Conference of State Historic Preservation Officers
- National Conference of State Museum Associations
- National Endowment for the Arts
- National Endowment for the Humanities
- National Gallery of Art
- National Historical Publications & Records Commission
- National Museum Services Board
- National Park Service, Museum Management Program
- National Preservation Institute
- National Science Foundation
- National Trust for Historic Preservation
- Natural Science Collections Alliance
- Regional Alliance for Preservation
- Research Libraries Group
- Smithsonian Institution
- Society of American Archivists
- Society for Historical Archaeology
- Society for the Preservation of Natural History Collections

## **Heritage Health Index 2004 Working Groups (66 individual members)**

1. Photographic materials
2. Paintings, prints, drawings
3. Books, manuscripts, documents, maps, newspapers
4. Archaeological and ethnographic objects
5. Natural science specimens
6. Decorative arts, sculpture, mixed media
7. Furniture, textiles, historical objects
8. Moving Images and recorded sound
9. Electronic records and digital collections

**D. Directories used to Establish 2004 Universe of Institutions Holding Collections**

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### **Archives**

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**E. Universe Numbers, Sampling Rates, and Sample Sizes by Sample Group and Institutional Type for HHI 2004**

**E. Universe Numbers, Sampling Rates, and Sample Sizes by Sample Group and Institutional Type for HHI 2004**

	Archives	Libraries	Historical Societies/ Sites	Museums	Archaeological Repositories/ Scientific Research	TOTAL
<b>Group 1</b>						
Sampling Rate	100%	100%	100%	100%	100%	
n=	70	179	39	163	35	486
<b>Group 2</b>						
Sampling Rate	100%	100%	100%	100%	100%	
n=	42	449	16	306	60	873
<b>Group 3</b>						
Universe n=	429	14,010	4,288	12,154	1,897	32,778
Sampling Rate*	100%	35%	51%	35%	100%	
n=	429	4,908	2,204	4,273	1,897	13,711
<b>TOTAL SAMPLE</b>						
n=	541	5,536	2,259	4,742	1,992	15,070

\*Due to the overall small number of archives (n=541) and archaeological repositories/scientific research organizations (n=1,992) the Group 3 institutions were sampled at 100%.

## **F. Heritage Health Index 2004 Response Rates and Sample Representation**

## F. Heritage Health Index 2004 Response Rates and Sample Representation

The HHI 2004 study response rates are presented below by type of institution and region for each sample group. It should be noted the Group 1 institutions, those holding the largest size collections, were given special follow-up treatment by Heritage Preservation making phone calls reminding contacts to participate in the study. Phone calls were made throughout the data collection period and not as a result of reaching a specific response rate. The other groups were followed up by additional mailings and emails.

### Response Rates by Sample Group and Institution Type

	Archives	Libraries	Historical Societies	Museums	Archaeological Repositories/ Scientific Research	TOTAL
<b>Group 1</b>	92%	90%	90%	90%	91%	90%
<b>Group 2</b>	41%	39%	31%	54%	45%	45%
<b>Group 3</b>	25%	18%	21%	20%	22%	20%
<b>TOTAL</b>	35%	22%	11%	25%	24%	24%

### Response Rates by Sample Group and Region\*

	Northeast	Mid-Atlantic	Southeast	Midwest	Mountain Plains	West	TOTAL
<b>Group 1</b>	92%	89%	88%	92%	94%	89%	90%
<b>Group 2</b>	59%	39%	42%	50%	49%	35%	45%
<b>Group 3</b>	20%	18%	19%	20%	20%	20%	20%
<b>TOTAL</b>	25%	23%	23%	23%	24%	24%	24%

\* Geographic regions by defined from the American Association of Museums Data Report 1989

### Number and Percentage of Respondents and Sampled Institutions by Type of Institution

	Archives	Libraries	Historical Societies	Museums	Archaeological Repositories/ Scientific Research	TOTAL
Number of Respondents	180	1196	476	1088	430	3370
% across Type	5%	36%	14%	32%	13%	100%
Number in Estimated Eligible Sample	492	5208	2071	4122	1697	13,590
% across Type	4%	38%	15%	30%	13%	100%

## **G.Heritage Heath Index 2004 Survey and Administration Pretest Summary**

## **G.Heritage Health Index 2004 Survey and Administration Pretest Summary**

**Conducted by: Aeffect, Inc.**

**Pretest 1:** Conducted Summer 2002 to pretest draft survey questions; mailed to 36 volunteer institutions to complete; 20-30 minute follow-up interviews with 18 respondents.

**Pretest 2:** Conducted Fall 2002 to pretest survey response rates, and completion of survey items; mailed to 202 randomly selected institutions across the country

### **1) How many respondents were there for each pretest?**

- Pretest 1: 30 institutions
- Pretest 2: 75 institutions

### **2) What was the response rate for each pretest?**

- Pretest 1: 36 surveys sent (volunteers); 83% response rate
- Pretest 2: 202 surveys sent (randomly selected); 37% response rate

### **3) Who were the respondents in each (briefly describe them)?**

- Pretest 1: 12 libraries, 14 museums/historic sites, 2 archives, 2 research collections; The Southeast and Midwest states had the most representation (New England had the least representation)
- Pretest 2: 21 libraries, 27 museums/historic sites, 10 historical societies, 7 archives, 2 research collections, 5 other institutions; over half of responding institutions were non-profit, non-governmental; States with the largest representation were California, Illinois and New York (Montana, Vermont and Wyoming had no representation)

### **4) What challenges did the respondents have in each test? Itemized.**

- Pretest 1:
  - o Lack of enough advance notice
  - o Time commitment
  - o Counting of all items in collections (issues with categories/measurements provided)
  - o Unable to give condition assessments because their institution had never completed this in the past
  - o Counting visitors (ex. include off-site visitors, web site hits, gate counts?)
  - o Issues with terminology (suggested including a FAQ page)



- Pretest 2:
  - o Again, respondents had issues with the collections and holdings chart (most didn't complete both number count and percentage, some used incorrect measurements, some left categories blank)
  - o Respondents often would complete collection counts in subheadings but not the major headings, and vice versa

**5) What were the recommended changes to the questionnaire based on each pretest?**

- Pretest 1:
  - o Give more advance notice
  - o Clarify why exactly this survey is important, how it will benefit their institution as well as the field
  - o Emphasize that making judgment calls/estimates is acceptable
  - o Work with local organizations in order to gain the cooperation of more institutions
  - o include an FAQ website
  - o eliminate the 'Other' category in the Collections and Holdings chart
  
- Pretest 2:
  - o Increase the deadline for completing the survey to 8 weeks
  - o Make an extra effort to reach out to libraries as they were the least likely to respond
  - o Possibly eliminate the question regarding the counts of part-time/unpaid staff and nontraditional visitors
  - o For chart, possibly have the online survey tally the subheading totals for the major heading total
  - o For chart, possibly provide ranges for quantities instead of asking respondent to estimate

**6) Compare, and detail in words, what was changed about the questionnaire as a result of pretests.**

After the first pretest, a much more thorough system of giving notice was implemented. Before the survey was mailed, institutions were contacted via phone followed by an invitation letter. Two weeks after the survey was sent out, a reminder was mailed to non-responders. 10 days later, second copies of the survey were sent out.

For the second survey, if it was completed online, for questions requiring further explanation (ex. 'need vs. urgent need') it was possible to click for more information.

For counting of FTE's, in the second survey respondents were given ranges from which to choose, instead of having them count/estimate.

For the question concerning promoting awareness of conservation, the second survey gives the option to choose 'not done currently but planned.'

For the final survey, only the most recently completed fiscal year (not the last 3) was inquired about for the annual operating budget.

In the collections and holdings section, percentage ranges are provided for questions such as percentage of the collection accessible through a catalog. A specific question about the percentage of the collections available online was added, instead of just a yes/no question about online accessibility. In the final survey, respondents were first asked 'yes/no' whether they held collections in the various categories provided. The following question then asked for approximate number of units as well as percentage in need of preservation.

In the last section concerning staff and visitors, respondents are given the option to respond with 'don't know.' More explanation is provided when asking about different types of visitors. In the original questionnaire, there is space for an open-ended 'additional comments' section whereas for the final survey, respondents are specifically asked to explain their most pressing conservation need.

## **7) Was any nonresponse bias analysis completed during either pretest?**

In the second survey, it was found that generally most respondents answered all questions and understood what was being asked. The areas with the biggest issues regarding non-response were the collections and holdings chart as well as budget and visitors questions. For the budget questions, respondents were more likely to provide data for the most current year. The largest issue with missing/incomplete data on the collections and holdings chart is that assumptions must be made as to what the missing data may mean. Only 18 out of 75 institutions completed the chart fully and correctly. Thus, the final percentages that are calculated could be drastically misrepresenting the actual picture of the various collections in these institutions.

## 8) What cognitive analyses were done through interviews with pretest respondents?

a. Please summarize.

- Only in the first pretest was there a specific discussion about respondent interviews. For the second survey, a follow-up questionnaire was sent specifically regarding the collections and holdings chart in order to determine ways to simplify it.

b. What were the recommended changes to the questionnaire based only on cognitive testing?

- One of the issues many respondents commented on was that they felt they were often just guessing when it came to giving percentages and counts. Therefore, after the first test, the questionnaire directions reiterated that it was acceptable to estimate.
- During the interviews, respondents commented on the length of the survey and stated it might be helpful to give advance notice regarding the time commitment this will take. For the second survey, a much more intensive notice and follow-up process was used.
- When asked about motivations to complete the survey, many examples were given by interviewees, which were then incorporated into the cover letter.
- When asked about completing the survey online, all respondents said they had internet access but most replied they would prefer to complete a paper copy.
- In discussion about the collections and holdings chart, the difficulty often depended on how large the institutions collection was as well as how well cataloged it already was. This was also where they again mentioned they felt that they were guessing and were worried about the validity of their guesses.
- The last major discussion point with respondents was the incentive of a custom report following the survey. They felt this would be useful both to their own institutions as well as for comparison purposes. (It was not mentioned in the documents whether this was actually implemented.)

## **H.Directories used to Establish 2014 Universe of Institutions Holding Collections**

## H. Directories used to Establish 2014 Universe of Institutions Holding Collections

For the HHI 2014 study Heritage Preservation used the following current directories to establish the universe of institutions.

### Libraries

- American Library Directory  
[www.americanlibrarydirectory.com/](http://www.americanlibrarydirectory.com/)  
Vintage: 2012-2013  
Collecting procedures: 66<sup>th</sup> edition completed in 2013; each record is either from a public source or from the library directly; records are updated annually via a survey
- Institute of Museum and Library Services, Public Library Survey list  
[www.ims.gov/research/public\\_libraries\\_in\\_the\\_united\\_states\\_survey.aspx](http://www.ims.gov/research/public_libraries_in_the_united_states_survey.aspx)  
Vintage: 2011  
Collecting procedures: Annual verification and updating prior to survey collection via a web based reporting system
- Library of Congress, Federal Library and Information Center Committee  
[www.loc.gov/flicc/fliccmem.html](http://www.loc.gov/flicc/fliccmem.html)  
Vintage: 2013  
Collecting procedures: Administrative records

### Archives

- American Library Directory  
[www.americanlibrarydirectory.com/](http://www.americanlibrarydirectory.com/)  
Vintage: 2012-2013  
Collecting procedures: 66<sup>th</sup> edition completed in 2013; each record is either from a public source or from the library directly; records are updated annually via a survey
- Society of American Archivists directory  
Vintage: 2012-2013  
Collecting procedures: Directory of Institutional Members updated annually
- National Archives and Records Administration locations  
[www.archives.gov/locations/regional-archives.html](http://www.archives.gov/locations/regional-archives.html)  
Vintage: 2013  
Collecting procedures: Administrative records

### Museums

- Official Museum Directory  
[www.officialmuseumdirectory.com/mailling-list.html](http://www.officialmuseumdirectory.com/mailling-list.html)  
Vintage: 2013  
Collecting procedures: 44<sup>th</sup> edition complete in 2013; each record is either from the American Alliance for Museums membership list or from the museum directly; records are updated annually via a survey

## Historical Societies

- National Park Service Units with Collections  
National Park Service Curators Office  
Vintage: 2013  
Collecting procedures: Administrative records
- National Trust for Historic Preservation, National Trust Historic Sites  
[www.nationaltrust.org/national\\_trust\\_sites/list.html](http://www.nationaltrust.org/national_trust_sites/list.html)  
Vintage: 2013  
Collecting procedures: Administrative records
- Official Museum Directory  
[www.officialmuseumdirectory.com/mailling-list.html](http://www.officialmuseumdirectory.com/mailling-list.html)  
Vintage: 2013  
Collecting procedures: 44<sup>th</sup> edition complete in 2013; each record is either from the American Alliance for Museums membership list or from the museum directly; records are updated annually via a survey
- The Genealogist's Address Book: State and Local Resources  
Bentley, E. P. (2009). The Genealogist's Address Book: State and Local Resources. Baltimore, MD: Genealogical Publishing Company.  
Vintage: 2009  
Collecting procedures: 6<sup>th</sup> edition completed in 2009; Records are updated and verified before each edition is printed using written surveys with supplemented printed and internet sources

## Archaeological Collections

- Army Corps of Engineers archaeological collections list  
U.S. Army Corps of Engineers Archaeological Collections Condition Assessment  
Vintage: 2000  
Collecting procedures: Administrative records
- U.S. Bureau of Reclamation Museum property program repositories  
U.S. Bureau of Reclamation, Museum Property Program Reclamation Repositories and Non-Reclamation Repositories Housing Reclamation Collections  
[www.usbr.gov/cultural/mp/reclamation.htm](http://www.usbr.gov/cultural/mp/reclamation.htm)  
Vintage: 2000  
Collecting procedures: Administrative records

## Scientific Collections

- American Public Gardens Association list  
American Public Gardens Association, Member Garden List  
[http://www.publicgardens.org/ /](http://www.publicgardens.org/)  
Vintage: 2013  
Collecting procedures: Directory of Institutional Members updated annually

- American Society of Mammologists list  
[www.mammalsociety.org/committees/systematic-collections#tab3](http://www.mammalsociety.org/committees/systematic-collections#tab3)  
 Vintage: 2012  
 Collecting procedures: Institutions on the list are surveyed annually for updates to their record
- American Zoo and Aquarium Association directory  
 American Zoo and Aquarium Association, AZA Member Zoos and Aquariums  
[www.aza.org/FindZooAquarium](http://www.aza.org/FindZooAquarium)  
 Vintage: 2012  
 Collecting procedures: Institutional accredited membership directory updated annually via membership renewal
- American Society of Ichthyologists and Herpetologists directory  
 American Society of Ichthyologists and Herpetologists, Institutional Resource Collections  
 Sabaj Pérez, M.H. (editor). 2013. Standard symbolic codes for institutional resource collections in herpetology and ichthyology: an Online Reference. Version 4.0 (28 June 2013).  
<http://www.asih.org/resources/standard-symbolic-codes-institutional-resource-collections-herpetology-ichthyology>  
 Vintage: 2013  
 Collecting procedures: An annual review of current industry codes and collecting institutions is collected via internet and phone research
- International Mineralogical Association Commission on Museums list  
 International Mineralogical Association Commission on Museums, Mineral Museum Web Sites  
[www.smp.net/IMA-CM/museums.htm](http://www.smp.net/IMA-CM/museums.htm)  
 Vintage: 2013  
 Collecting procedures: An annual review of collecting institutions is collected via internet and phone research
- Natural Science Collections Alliance directory  
 Natural Science Collections Alliance, Institutional Members,  
[www.nscalliance.org/about/members\\_alpha.asp](http://www.nscalliance.org/about/members_alpha.asp)  
 Vintage: 2013  
 Collecting procedures: Institutional membership directory updated annually via membership renewal
- U.S. Department of Agriculture research collections list  
 U.S. Department of Agriculture, Systematic Collections of the Agricultural Research Service  
 Vintage: 1998  
 Collecting procedures: Administrative records
- The Global Registry of Biorepositories  
<http://grbio.org>  
 Vintage: 1998  
 Collecting procedures: It is a merged database of entries from the Index Herbariorum (New York Botanical Garden), the Biodiversity Collections Index (Royal Botanic Garden of Edinburgh) and the Consortium for the Barcode of Life (Smithsonian) from 2010; the database is being updated via crowdsourcing.