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**A. Resources used in Developing HHI 2004 project**

## Appendix A. Resources used in Developing HHI 2004 project

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**B. HHI 2004 to HHI 2014 Item Crosswalk**

## Appendix B. HHI Comparison of 2014 and 2004 Survey Questions

2014	Status of 2014 Question New/Comparable	2004	Notes
A1, A2	New		
B1, B2, B3	Comparable	B1, B2, B5	B2 now includes option Records center or records management
C1, C1a	Comparable	C1	Specifies storage and exhibition spaces
C2, C2a	Comparable	C2	Specifies storage and exhibition spaces
C3, C3a	Comparable	C3	Specifies storage and exhibition spaces
C4	Comparable	C5	No = not applicable
C4a	New		
C4b	New		
C4c	New		
C4d	Comparable	C5a, C5b	No = no need; yes = need/urgent need
C5	New		
C6	New		
D1	Comparable	D1	
D2, D2a	Comparable	D2	Yes/No, more detail in 2014
D3, D3a	Comparable	D3	Yes/No, more detail in 2014
D4, D4a	Comparable	D4	Yes/No, more detail in 2014
D4b	Comparable	D5	Yes/No, more detail in 2014
D5, D5a	Comparable		Yes/No, more detail in 2014
D5b	New		
D6, D6a	Comparable	D7	Yes/No, more detail in 2014
D7	Somewhat Comparable	D8	More detail in 2014
D7a, D7b, D7c	Somewhat Comparable	D9	Number vs. range used in 2004
D8 (options a-f) - D9a	Comparable	D10 (a-e)	None of the above = NA
D10	Somewhat Comparable	D11	Reworded in 2014
D10a	New		
D10b	New		
D11	Somewhat Comparable	D10f	Reworded in 2014
D11a, D11b, D11c	New		
D12	Comparable	D12	Level of need obtained in 2004
D12a	New		
D13	New		Past two years
D13a	New		Past two years
D13b	New		Past two years
D14 - D18a	Somewhat Comparable	D14 a -f	Define planning as next 2 years in 2014
E1	Comparable	E2	
E2	Comparable	E3	No=\$0 in 2004
E2a, E3	New		
E4	Comparable	E3	
E5, E5a	Comparable	E4	
E6	Comparable	E5	
E7, E7a	Comparable	E6	
F1, F1a	Somewhat Comparable	F1, F2	Number vs. range in 2004
F2, F2a	Somewhat Comparable	F3	Two-year plan vs. one-year plan
F3	New		

F4	New		
F5	Somewhat Comparable New Digital Materials Collection	F5	Only urgent level of need in 2014
G1a-d	Comparable	G1	
G2a-c	Comparable	G2	
G8	Comparable	G9	



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

## **Appendix C. 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

**D. Institutional Advisory Committee and Working Groups 2001-2004**

## **Appendix D. Institutional Advisory Committee 2001-2004**

- 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

### **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

**E. HHI 2014 Pre-Survey Verification Protocol**



## Appendix E. HHI 2014 Pre-Survey Verification Protocol

For Contact Verification Call

OMB #XXXXXX  
Exp Date: XX/XX/XXXX

### Heritage Health Information 2014 Verification Call

FOR

### INSTITUTE OF MUSEUM AND LIBRARY SERVICES AND HERITAGE PRESERVATION

**ESTIMATED 10,470 institutions to be verified. Five call limit to verify.**

#### Available Data:

Identification Number

Type of Institution (library, museum, historical society/site, archive, scientific repository/research organization)

#### Available Data to Confirm:

Institution Name

Address, City, Zip (dependent on survey administration preference)

State

Phone Number, Extension (possible need to obtain)

Contact Name

Contact Title

Email Address of Contact (dependent on survey administration preference)

#### Data to Collect:

Institution has collections (Y/N)

Non-Profit status (Y/N)

Part of Local, State, Federal Government (Y/N)

Internet Access (Y/N)

Preferred Mode of Survey (Internet, Mail)

Sample Disposition (Duplicate, No Collections, No Answer, etc.)

SCRIPT:

[If person on list does not answer phone, ask to speak to them. If no name is listed, if the person is not available, or if the person no longer works with the organization, continue below.]

“Hello, my name is \_\_\_\_\_ and I am calling on behalf of Heritage Preservation about a research study sponsored by the Institute of Museum and Library Services. This is for the Heritage Health Information survey, a ten year follow-up study about the preservation and conservation needs of America’s collected heritage, and your institution has been chosen to participate. First, I would like to verify the contact information we currently have and verify that your institution is eligible.

1. Do you have time to answer a few questions?
  - a. Yes – Go To Q3
  - b. No – Go To Q2
  
2. When would be a good time to call back?  
Schedule call back \_\_\_\_\_
  
3. We have your institution listed as [INSTITUTION NAME]. Is this correct?
  - a. Yes – Go to Q4
  - b. No – [Enter correct spelling of institution: \_\_\_\_\_]
  - c. Don’t Know – ASK FOR A PERSON WHO WOULD KNOW
  
4. We show that your institution is in the state of [STATE]. Is this correct?
  - a. Yes – Go to Q5
  - b. No – [Enter correct state: \_\_\_\_\_]
  - c. Don’t Know – ASK FOR A PERSON WHO WOULD KNOW
  
5. Does your institution collect and care for artifacts, objects, texts, or any other art, historic and/or scientific items?
  - a. Yes – Go to Q6
  - b. No – THANK YOU – END INTERVIEW
  - c. Don’t Know – ASK FOR A PERSON WHO WOULD KNOW

6. Is your institution a non-profit filing as a 501(c)(3) with the Internal Revenue Services (IRS)?
- Yes – Go to Q8
  - No – Go to Q7
  - Don't Know – ASK FOR A PERSON WHO WOULD KNOW

7. Is your institution part of local, state, or federal government?
- Yes – Go to Q8
  - No – THANK YOU – END INTERVIEW
  - Don't Know – ASK FOR A PERSON WHO WOULD KNOW

8.

8A.[If there is a specific contact person on the list]

We have [CONTACT NAME] listed as the person to contact for this survey. Is this correct?

- Yes – Go to Q9
- No – [Enter name of contact: \_\_\_\_\_]
- Don't Know – ASK FOR A PERSON WHO WOULD KNOW

8B.[If there is no specific contact person listed]

May I have the name of your Director or the person who manages your collections so that we can notify him or her to explain this research study?

Enter name of contact \_\_\_\_\_

9. We are encouraging institutions to use Internet access to obtain information about the study and to access the survey online using an assigned password. Does staff within your institution have access to the Internet?
- Yes – Go to Q10
  - No – Go to Q11

10. Great.

10A. [If contact name was confirmed and email address is on file]

May I confirm the email address we have for [CONTACT PERSON]? I have [EMAIL ADDRESS]. Is this correct?

- Yes
- No – Enter correct email address: \_\_\_\_\_  
[THANK YOU – END CALL script]

10B. [If new contact person and/or no email address present]

May I have the email address for [CONTACT PERSON]?

Enter email address: \_\_\_\_\_  
[THANK YOU – END CALL script]

11. If you would prefer, we can provide information about the study, including the questionnaire, through postal mail. If this is your preference, we'd like to verify that we have the correct mailing address.

For the street address, we have [STREET ADDRESS]. Is this correct?

[If not, enter correct address: \_\_\_\_\_]

For the city, we have [CITY]. Is this correct?

[If not, enter correct city: \_\_\_\_\_]

For the zip code, we have [ZIP]. Is this correct?

[If not, enter correct zip code: \_\_\_\_\_]

[THANK YOU – END CALL script]

[THANK YOU – END CALL - Eligible]

Thank you very much for your help! We will be sending the information about the survey, including the questionnaire, in September. Please let [CONTACT PERSON] know to look for it. Information from your institution is valuable for this research to understand the needs and condition of our nation's cultural and scientific heritage.

[THANK YOU – END CALL – Ineligible]

Thank you for your help!

---

Additional Information for Interviewers if asked by Respondent:

**If respondent wants to know more about the survey:** The Heritage Health Information is a follow-up to a major national survey conducted ten years ago. It is being sponsored by Heritage Preservation and the Institute of Museum and Library Services. The purpose of the study is to measure preservation activities and needs in museums, libraries, archives, historical societies and research collections. The results of the study will be widely publicized through the media, industry associations and events, and on the Internet.

Heritage Preservation is a national non-profit organization that works with collecting institutions to help them preserve their collections. The Institute of Museum and Library Services is a federal agency that makes grants to museums and libraries. This study has been approved by the federal Office of Management and Budget under \_\_\_\_\_.

For more information, instruct them to visit [www.heritagepreservation.org](http://www.heritagepreservation.org) and click on "HHI 2014." You may also tell them that they will receive an email or letter in the next few weeks that explains more about the study.

NOTE: In the case of smaller institutions, the phone number we have may be a personal phone number. If that person is no longer working with the organization, ask for the name and phone number of who is, or whether the organization has its own telephone number.

#### HOW TO RESPOND TO FREQUENTLY ASKED QUESTIONS:

**Institution wants to know more about the survey:** The HHI is a national survey being conducted by Heritage Preservation on behalf of the Institute of Museum and Library Services. The purpose of the study is to measure the condition and preservation needs of collections in museums, libraries, archives, historical societies, archaeological repositories, and scientific research collections. The results of the study will be widely publicized through the media, industry associations and events, and on the Internet. The survey package will answer many questions. More information is available on Heritage Preservation's website at [www.heritagepreservation.org](http://www.heritagepreservation.org).

**Institution wants to know more about who is sponsoring the survey:** The Heritage Health Information 2014 is a federal survey sponsored by the Institute of Museum and Library Services. Heritage Preservation is collecting the data. The Institute of Museum and Library Services is an agency of the United States Government that makes grants to museums and libraries. Heritage Preservation is a national non-profit organization that works with collecting institutions to help them preserve their collections.

**Institution wants to know about confidentiality:** Your participation is entirely voluntary and your decision whether or not to participate will in no way affect your institution. Your cooperation is extremely valuable in obtaining much needed information to ensure the completeness and accuracy of the data. This survey is being conducted in conformance with the Museum and Library Services Act of 2010, as amended. IMLS and Heritage Preservation intend to make the information provided in response to this survey publicly available; however, information specifically identifying particular institutions or individuals, including names, addresses, and other identifying information, will be protected from public disclosure to the extent permitted by law. The only geographical information for each respondent institution that will be publicly disclosed is the institution's state and region.

**Institution wants to know about the federal approval process:** The Institute of Museum and Library Services has received federal approval by the Office of Management and Budget to collect information for the Heritage Health Information 2014. The OMB control number, XXX-XXX, expires on XX/XX/XXXX. IMLS may not conduct or sponsor, and a person is not required to respond to, the information collection unless it has a currently valid OMB control number.

**Institution claims they don't have time to complete the survey:** Your institution will have 8 weeks to complete the questionnaire. It will take as little as one hour of your time and will provide valuable information for your institution. [IF THEY INSIST] May we send you the survey to review?

**Institution claims they get too many surveys and they don't want to participate in another:** I understand, but the HHI is an important survey because it is the only time information will be gathered about all collections in the U.S. It includes all types of institutions with collections and your response is important. Institutions that tested the survey noted that it provided them with information that was useful in their work. [IF THEY INSIST] May we send you the survey to review?

**Institution claims they don't have a staff person to complete the survey:** The survey is straightforward and easy to understand. Anyone who works with the collection will be able to respond to it. [IF THEY INSIST] May we send you the survey to review?

**Institution claims that they don't have any collections:** This survey includes collections of all types: books, archival materials, photographs, moving image and recorded sound, digital, historic artifacts, art, archaeological artifacts, and natural science specimens. (Institution) does not have any of these collections? [IF NOT, NOTE THIS IN THE RECORD]. Thank you for your time today.

**Institution claims that their collection/institution is too small to participate:** It is important that institutions of all sizes participate in the survey so we can correctly assess the condition and preservation needs of U.S. collections. [IF THEY INSIST] May we send you the survey form to review?

**Institution claims that they don't do preservation or have a preservation program:** It is not necessary for your institution to be involved in preservation to respond to the questionnaire. An important part of the survey is gathering information about the condition and needs of U.S. collections. [IF THEY INSIST] May we send you the survey to review?

**Institution claims that they don't know the condition and preservation needs of their collections:** It will be possible to express this on the survey questionnaire, and it is important that the HHI study record that condition and preservation needs are unknown at some institutions. [IF THEY INSIST] May we send you the survey to review?

**Institution is concerned about how you got their name and information:** Heritage Preservation has been working with the Institute and Museum and Library Services and other associations to make sure that the survey is distributed to institutions of all types and sizes. They compiled the list from many different sources. [IF THEY INSIST] I understand your concern, if you wish I can ask Heritage Preservation to call you to speak to you further about this.

**Institution is concerned that responding to the survey will put their name on a mailing list or SPAM list:** Your information will only be used in conjunction with this survey and will not be given to anyone else.

**Institutions wants to know "what's in it for them" if they participate:** By completing the HHI survey you will be contributing to the field by participating in a survey that will, for the second time, document the condition and preservation needs of U.S. collections. Institutions that

participated in the survey ten years ago noted that it helped them gather a handy set of information that they could use in writing grant proposals and in long-range planning.

**Any other question or excuse to get out filling out the survey:** May we send you the survey to review? It will include a full explanation of the project and a name of someone to contact in case you would like to discuss this further.

IF THEY OUTRIGHT REFUSE TO COMPLETE THE SURVEY OR BELIEVE THEY ARE NOT APPROPRIATE, PLEASE NOTE THEIR REASON.

I will note this. Thank you for time today.

**F. HHI 2014 Screenshots**



## Appendix F. HHI 2014 Screenshots

Figure 1. Skip Logic

### Skip Logic Example

1. The response to a question will determine whether related questions are available to the user.

Heritage Health Index return

Home → A. Eligibility to respond to the survey → B. Institutional Type & Governance → C. Environment → D. Preservation Activities → E. Expenditures and Funding → F. Collections and Holdings → G. Staff

<- Back    Next ->

C1. Does your institution use environmental controls to meet temperature specifications for the preservation of collections? (select one) (see definition) <sup>?</sup>

a. Yes  
 b. No  
 c. Don't know

C2. Which best describes where your institution uses environmental controls to meet temperature specification for preservation of collections? (select one) (see definition) <sup>?</sup>

a. In all areas, including storage and exhibitions spaces  
 b. Only in storage areas  
 c. Only in exhibition spaces  
 d. Don't know

C3. Does your institution use environmental controls to meet relative humidity specifications for the preservation of collections? (select one) (see definition) <sup>?</sup>

a. Yes  
 b. No  
 c. Don't know

C4. Which best describes where your institution uses environmental controls to meet relative humidity specifications for the preservation of collections? (select one) (see definition) <sup>?</sup>

a. In all areas, including storage and exhibitions spaces  
 b. Only in storage areas  
 c. Only in exhibition spaces  
 d. Don't know


C5. Does your institution control light levels to meet specifications for the preservation of collections? (select one) (see definition) <sup>?</sup>

a. Yes  
 b. No


Figure 2. In this case, the user responds "b. No" to question C1, and the related question clears and fades from view.


Heritage Health Index return

[Home](#) → [A. Eligibility to respond to the survey](#) → [B. Institutional Type & Governance](#) → [C. Environment](#) → [D. Preservation Activities](#) → [E. Expenditures and Funding](#) → [F. Collections and Holdings](#) → [G. Staff](#)


C1. Does your institution use environmental controls to meet temperature specifications for the preservation of collections? (select one) (see definition) 

a. Yes  
 b. No  
 c. Don't know


C2. Which best describes where your institution uses environmental controls to meet temperature specifications for the preservation of collections? (select one) (see definition) 

C3. Does your institution use environmental controls to meet relative humidity specifications for the preservation of collections? (select one) (see definition) 


a. Yes  
 b. No  
 c. Don't know

C4. Which best describes where your institution uses environmental controls to meet relative humidity specifications for the preservation of collections? (select one) (see definition) 

a. In all areas, including storage and exhibitions spaces  
 b. Only in storage areas  
 c. Only in exhibition spaces  
 d. Don't know

C5. Does your institution control light levels to meet specifications for the preservation of collections? (select one) (see definition) 

a. Yes  
 b. No  
 c. Don't know

C6. Which best describes where your institution controls light levels to meet specifications for the preservation of collections? (select one) (see definition) 

a. In all areas, including storage and exhibitions spaces

Figure 3. Question C2 is no longer available for response. If the user changes the answer in C1 to "a. Yes", then the question will become available once again.

Heritage Health Index return

Name → A. Eligibility to respond to the survey → B. Institutional Type & Governance → C. Environment → D. Preservation Activities → E. Expenditures and Funding → F. Collections and Holdings → G. Staff

<- Back    Next ->

C1. Does your institution use environmental controls to meet temperature specifications for the preservation of collections? (select one) (see definition) ?

a. Yes  
 b. No  
 c. Don't know

C3. Does your institution use environmental controls to meet relative humidity specifications for the preservation of collections? (select one) (see definition) ?

a. Yes  
 b. No  
 c. Don't know

C4. Which best describes where your institution uses environmental controls to meet relative humidity specifications for the preservation of collections? (select one) (see definition) ?

a. In all areas, including storage and exhibitions spaces  
 b. Only in storage areas  
 c. Only in exhibition spaces  
 d. Don't know

C5. Does your institution control light levels to meet specifications for the preservation of collections? (select one) (see definition) ?

a. Yes  
 b. No  
 c. Don't know

C6. Which best describes where your institution controls light levels to meet specifications for the preservation of collections? (select one) (see definition) ?

a. In all areas, including storage and exhibitions spaces  
 b. Only in storage areas  
 c. Only in exhibition spaces  
 d. Don't know

The skip logic coding allows for multiple associated questions to be handled in this way.

Figure 4. Save Option

Save Options – Save and Return / Final Submission

**Heritage Health Index** [return](#)

[Home](#) → [A. Eligibility to respond to the survey](#) → [B. Institutional Type & Governance](#) → [C. Environment](#) → [D. Preservation Activities](#) → [E. Expenditures and Funding](#) → [F. Collections and Holdings](#) → [G. Staff](#)

---

**G1. How many staff is currently employed in your collecting institution? Do not express as full-time equivalents (FTEs). Indicate "0" if you have no staff in a category.**

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.**

a. On site

b. Off site

c. Online

---

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

G3. Name

G3a. Title of the lead person

---

**G4. Person with primary responsibility for preservation activity (if applicable)**

G4. Name

G4a. Phone number

G4b. Fax number

---

**G5. Email address**

Figure 5. FTE Calculator

D16. Please tally the number of paid support Full Time Equivalent (FTEs) who perform conservation/preservation at your institution.

- 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 one full-time equivalent staff person). 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.
- Include conservation/preservation activities performed by support staff including archivists, librarians, conservators, handlers, IT staff, and technical assistants.

a.    b. Don't know

D17. Please tally the number of volunteer Full Time Equivalent (FTEs) who perform conservation/preservation at your institution.

- Express the total amount of staff time spent on conservation/preservation activities would be counted.
- Include conservation/preservation activities performed by volunteer staff including interns, work study students, and volunteers.

a.    b. Don't know

D18. Do your institution's conservation/preservation activities include the following? (Select all that apply)

- a. Preventive conservation (e.g., housekeeping, holdings maintenance, rehousing, environmental controls)
- 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 audiovisual media and playback equipment (e.g., making preservation copies of media, maintaining equipment)
- f. Don't know

**FTE Calculator**

Enter the number of people who work the same numbers of hours each week. For example, if you have 3 people who each work 40 hours, then enter the following:

<input type="text" value="3"/>	people @	<input type="text" value="40"/>	hours each
<input type="text" value="5"/>	people @	<input type="text" value="40"/>	hours each
<input type="text" value="3"/>	people @	<input type="text" value="20"/>	hours each
<input type="text"/>	people @	<input type="text"/>	hours each

Total FTEs:

Figure 6. Pop-up help

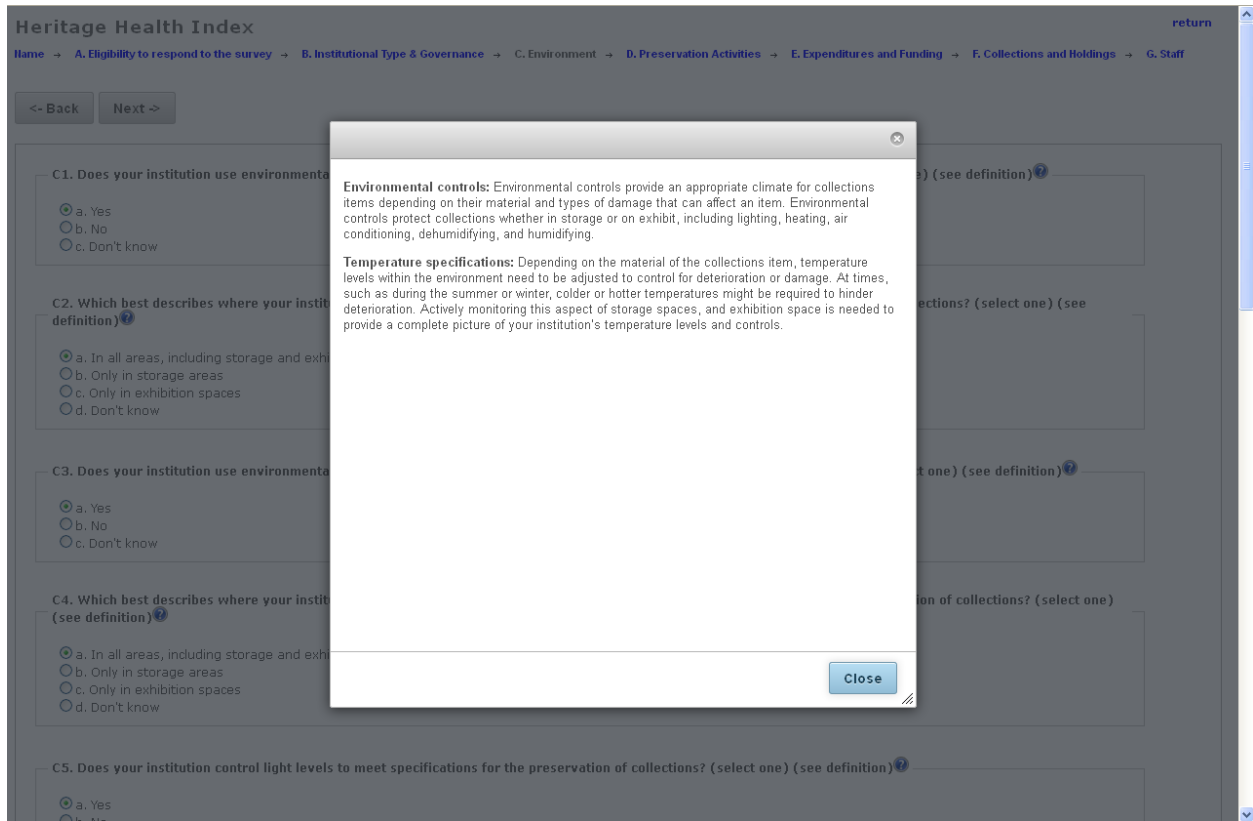


Figure 7. Feedback example – validate number

**D15. Please tally the number of paid professional Full Time Equivalent (FTEs) who perform conservation/preservation at your institution.**

- 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 one full-time equivalent staff person). 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.
- Include conservation/preservation activities performed by staff, contractors/consultants, and seasonal employees.
- Professional staff includes archivists, conservators, digital curators, digital librarians, digital repository managers, librarians, preservation administrators, and research scientists.

a.  Two Please enter a valid number. 

b. Don't know

**D16. Please tally the number of paid support Full Time Equivalent (FTEs) who perform conservation/preservation at your institution.**

- 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 one full-time equivalent staff person). 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.
- Include conservation/preservation activities performed by staff, contractors/consultants, and seasonal employees.
- Support staff includes archives assistants, care assistants, collections librarians, digital repository managers, digital curators, handlers, IT staff, and technical assistants.

a.  

b. Don't know

**D17. Please tally the number of volunteer Full Time Equivalent (FTEs) who help with conservation/preservation at your institution.**

- 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 one full-time equivalent staff person).
- Include conservation/preservation activities performed by staff, contractors/consultants, and seasonal employees.
- Volunteer staff includes interns, work study students, and workers.

a.  

b. Don't know

**D18. Do your institution's conservation/preservation activities currently include any of the following functions? (select all that apply)** 

Figure 8. Immediate feedback, validate percent

C7. Does your institution keep collections in storage?  a. Yes  b. No  c. Don't know

C8. What percentage of your collections is stored? (select one)  a.  200% Please enter a value between 0 and 100.  b. Don't know

C9. What percentage of your collections in storage is currently housed in units or equipment large enough to accommodate the number of collections items? (select one) (see definition)  a.  5%  b. Don't know

C10. What percentage of your collections in storage is currently housed in units or equipment that allows access to each collections item? (select one)  a.  5%  b. Don't know

C11. Does your institution need additional storage space for collections not currently on display?  a. Yes  b. No  c. Don't know

C12. Does your institution need additional off-site storage space?  a. On-site  b. Off-site  c. Both on-site and off-site  d. Don't know

C13. Does your institution need to make improvements to current on-site or off-site storage space for collections not currently on display?



Figure 9. Immediate feedback, validate currency

Heritage Health Index return

[Home](#) → [A. Eligibility to respond to the survey](#) → [B. Institutional Type & Governance](#) → [C. Environment](#) → [D. Preservation Activities](#) → [E. Expenditures and Funding](#) → [F. Collections and Holdings](#) → [G. Staff](#)

E1. What is the total annual operating budget of your institution in FY2013? If your institution has a parent institution or organization, please provide only the operating budget for your institution, if known.

Please enter a valid currency amount.

E2. Does your institution support conservation/preservation activities in your annual budget?

a. Yes  
 b. No  
 c. Don't know

E3. Are conservation/preservation activities supported with a specific line item in your annual budget?

a. Yes  
 b. No  
 c. Don't know

E4. Are conservation/preservation activities supported with other budgeted funds in your annual budget?

a. Yes  
 b. No  
 c. Don't know

E5. What is the annual budget for conservation/preservation activities at your institution in FY 2013?

E6. Does your institution have endowed funds (select one)?

a. Yes  
 b. No  
 c. Don't know

Figure 10. Immediate feedback, validate email

G5. Email address

Please enter a valid email address.

G6. Did more than one person complete this survey?

a. Yes

b. No

G7. (optional) Use this space below to explain your most pressing conservation/preservation need.

optional space

Figure 11. Handling irreconcilable responses

If user changes response from "Don't Know."

D23. Which of the following digital curation/preservation functions does your institution conduct currently? (check all that apply) (see definitions) ?

- a. Digitization
- b. Creation of metadata
- c. Format migration
- d. Tool development
- e. Normalization
- f. File format identification
- g. File format validation
- h. Checksums
- i. Maintain multiple copies
- j. Emulation
- k. Development of plans and policies
- l. Education, training and outreach
- m. Don't know

Survey mechanism programmatically clears "Don't know response"

D23. Which of the following digital curation/preservation functions does your institution conduct currently? (check all that apply) (see definitions) ?

- a. Digitization
- b. Creation of metadata
- c. Format migration
- d. Tool development
- e. Normalization
- f. File format identification
- g. File format validation
- h. Checksums
- i. Maintain multiple copies
- j. Emulation
- k. Development of plans and policies
- l. Education, training and outreach
- m. Don't know

## Subway Feedback Mechanism

The image shows a survey progress indicator at the top, labeled "Heritage Hea". It consists of a horizontal line with a series of colored circles and square blocks. A legend below the indicator explains the colors: Red - No Response; Yellow - Partial Response; Green - Complete Response. The progress shows that sections A, B, and C are green (complete), D is yellow (partial), and E, F, and G are red (no response). Below the indicator is a breadcrumb trail: Home → A. Eligibility to respond to the survey → B. Institutional Type & Governance → C. Environment → D. Preservation Activities → E. Expenditures and Funding → F. Collections and Holdings → G. Staff. Below the breadcrumb trail are two buttons: "<- Back" and "Next >".

The main content area contains two survey questions:

A1. Does your institution collect artifacts, objects or any other art, historic and/or scientific items?

- a. Yes
- b. No
- c. Don't know

A2. Is your institution 1) a nonprofit, filing as a 501(c)(3) with the Internal Revenue Service (IRS), or 2) part of local, state or federal government?

- a. Yes
- b. No
- c. Don't know

At the bottom of the form are two buttons: "<- Back" and "Next >".

Figure 12. The "subway" map dynamically updates to show the current completion status for a particular survey return. The square blocks depict the status of each major section of the survey. The circles depict the status for a subset of questions within the survey, clustered in relationship to the survey's skip logic. The status of each major section and subset is indicated by color – red indicates that no response has yet been given for that section, yellow indicates that at least one response has been given but the section is not yet complete. Green indicates that the entire section has been completed. Completion status is dependent upon the skip logic for the section. Questions that have been skipped are counted as complete even though they do not contain a response.

Survey responses are updated in the database each time a user moves from one page of the survey to the next, and at that point the completion status indicated by the subway map is updated.

Figure 13.

The screenshot shows a progress bar at the top with sections A through G. A hand cursor is pointing to a yellow square labeled 'D9-D11' on the line between sections D and E. Below the progress bar, the survey title 'Heritage Health Information' is displayed, followed by a breadcrumb trail: 'Home → A. Eligibility to respond to the survey → B. Institutional Type & Governance → C. Environment → D. Preservation Activities → E. Expenditures and Funding → F. Collections and Holdings → G. Staff'. Below the breadcrumb trail are two buttons: '<- Back' and 'Next ->'. The main content area contains two questions:

A1. Does your institution collect artifacts, objects or any other art, historic and/or scientific items? \_\_\_\_\_

- a. Yes
- b. No
- c. Don't know

A2. Is your institution 1) a nonprofit, filing as a 501(c)(3) with the Internal Revenue Service (IRS), or 2) part of local, state or federal government? \_\_\_\_\_

- a. Yes
- b. No
- c. Don't know

At the bottom of the form are two buttons: '<- Back' and 'Next ->'.

Figure 14.

The screenshot displays five survey questions, each with a question ID and a help icon:

D9. Does your institution have collection records for the items in its collections? (select one) (see definition) ?

- a. Yes
- b. No
- c. Don't know

D10. Does your institution store collections records off-site? (select one) (see definition) ?

- a. Yes
- b. No
- c. Don't know

D11. What percentage of your collections records is stored off-site? (see definition) ?

- a.
- b. Don't know

D12. Does your institution have a security system to help prevent theft or vandalism of collections? ?

- a. Yes
- b. No
- c. Don't know

D13. Which best describes where your institution has a security system to help prevent theft or vandalism of collections? (select one) ?

- a. In all areas, including storage and exhibitions spaces
- b. Only in storage
- c. Only in exhibition spaces
- d. Don't know

Figures 13 and 14: Each circle or square on the subway map acts as a hyperlink. Clicking on the image for the section will take the user directly to that section of the survey.

Figure 15.

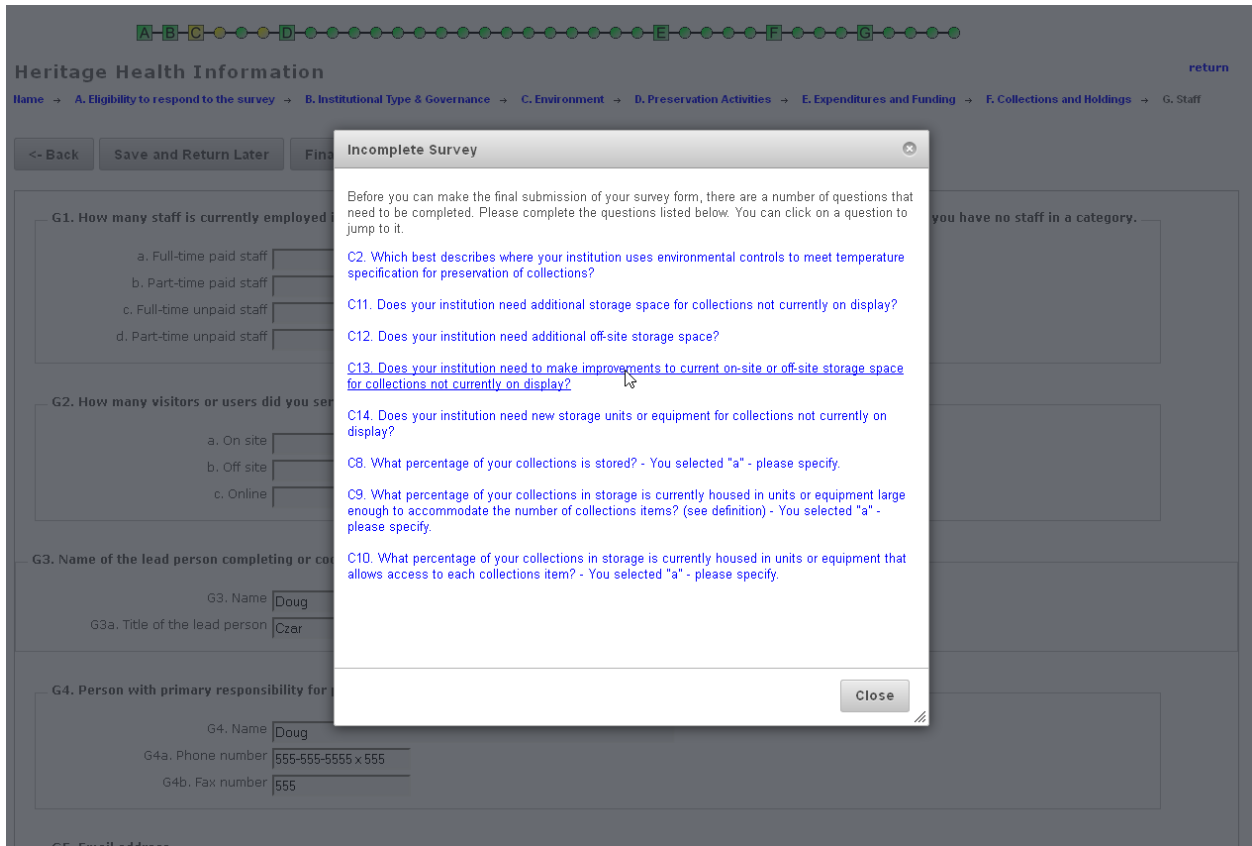


Figure 15. When a user clicks the Final Submission button, the survey mechanism evaluates the survey responses based upon the skip logic and determines whether any questions have not been completed. A list of any incomplete questions is then displayed in a popup window. Clicking on any of the incomplete questions will take the user directly to the incomplete question that still needs to be answered. Once all of the incomplete questions have been answered, the survey mechanism will accept the survey and flag it as complete in the database.

## **G. Survey Pretesting Summary Report for HHI 2004**

## **Appendix 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 2004 Universe of Institutions Holding Collections**

## **Appendix H. Directories used to Establish 2004 Universe of Institutions Holding Collections**

### **Archives**

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**I. Estimated Universe , Sampling Rates, Study Sample by Sample Groups, and Institutional Types for HHI 2004**

**Appendix I. Estimated Universe , Sampling Rates, Study Sample by Sample Groups, and Institutional Types 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%.

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

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

For the HHI 2014 study, IMLS and 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.imls.gov/research/public\\_libraries\\_in\\_the\\_united\\_states\\_survey.aspx](http://www.imls.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/>

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.smmp.net/IMA-CM/museums.htm](http://www.smmp.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.

**K. Response Rates and Sample Representation for HHI 2004**

## Appendix K. Response Rates and Sample Representation for HHI 2004

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%

**L. HHI 2014 Detailed Sampling Plan for Group 3**

## Appendix L. HHI 2014 Detailed Sampling Plan for Group 3

The sampling plan for the Group 3 institutions having small size collections has reduced the sample size and augmented the strategies for study recruitment in order to bolster response rates. The plan has been developed to have sufficient power for estimating survey results within a margin of error of 3.5 percentage points within five institution types (libraries, museums, historical societies, archives, and scientific research organizations) and six regional locations (New England, Mid-Atlantic, South East, Mid-West, Mountain Plains, and West). **Table 1** shows the estimated population of institutions by type and region.

Table 1. Estimated Population by Institution Type and Regional Location

	New England	Mid-Atlantic	South East	Mid-West	Mountain Plains	West	TOTAL
Library	1,387	2,872	2,326	3,727	2,130	1,569	14,010
Museum	1,241	2,397	3,808	3,128	3,043	3,383	17,000
Historical Society/Site	716	804	468	1,258	440	316	4,000
Archive	29	77	102	94	52	76	430
Scientific Research Organization	124	266	445	350	298	418	1,900
TOTAL	3,497	6,414	7,149	8,556	5,963	5,761	37,340

In order to generalize survey findings by region and institution type, we propose a two-step sampling process. The sampling plan begins by stratifying by region and using the power threshold for a 95% confidence level with a margin of error of 3.5 for each regional category.

Several survey participation strategies will be put into place to encourage survey completion in order to increase response rates, from 20% in 2004 to an estimated 40% in 2014. These strategies are described in more detail below. Based on an estimated 40% response rate for Group 3, sample sizes for each regional location were calculated resulting in a total of 10,470 institutions to be included in this subsample for the study. **Table 2** presents the estimated population, number of respondents needed for a 3.5 margin of error, and required sample size based on a 40% response rate by region and total.

Table 2. Estimated Population, Respondent Sample, and Study Sample by Regional Location

	New England	Mid-Atlantic	South East	Mid-West	Mountain Plains	West	TOTAL
Est. Population	3,497	6,414	7,149	8,558	5,963	5,761	37,340
Respondent Sample Needed for 3.5 Margin of Error within each Region	641	699	707	718	693	690	4,148*
Study Sample Needed for 40% Response Rate	1,616	1,755	1,782	1,835	1,750	1,732	10,470

\*results in 1.4 Margin of Error for the whole population across all regions

Once the study sample is stratified by region, institutions will then be stratified by the five institution types within region. It should be noted that since the number of archive institutions is small (n=430), all archives will be included in the study sample (over-sampling). Within each region, the number of institutions of each type to be sampled will be in proportion to the percentage of population institutions of each type in that region, slightly adjusted due to the sampling of all archive institutions. **Table 3** contains the percentage distribution and resulting number of sampled institutions by region and type.

Table 3. Sampling Plan for Group 3 Institutions by Institution Type within Regional Location

	New England		Mid-Atlantic		South East		Mid-West		Mountain Plains		West		TOTAL
	%	n	%	n	%	n	%	n	%	n	%	n	
Library	38.7%	625	41.8%	734	30.8%	548	41.1%	754	36.6%	641	24.9%	431	3,734
Museum	23.8%	385	24.9%	437	36.7%	654	23.5%	431	35.7%	624	40.8%	707	3,238
Historical Society	26.8%	433	17.9%	315	10.9%	194	19.6%	359	11.9%	208	10.0%	173	1,681
Archive	1.8%	29	4.4%	77	5.7%	102	5.1%	94	3.0%	52	4.4%	76	430
Scientific Research Org.	8.9%	144	10.9%	192	15.9%	283	10.7%	197	12.9%	225	19.9%	345	1,387
TOTAL	100%	1,616	100%	1,755	100%	1,782	100%	1,835	100%	1,750	100%	1,732	10,470

In **Tables 4A** and **4B**, we examine different response rate scenarios for the potential of generalizing findings for each regional location and institution type for Group 3 institutions. At a minimum we can expect an overall 20% response rate based on the 2004 study. In the previous study, four out of the six regions obtained a 20% response rate, with the other two regions reporting at 19% and 18%. By introducing additional follow-up strategies and

anticipating many more small institutions having access to the Internet, we are planning for a 40% response rate. Since response rates were consistent during the 2004 study, the follow-up strategies will target types of institutions rather than their location. The tables describe the population of institutions by region, the proposed study sample, respondent sample and calculated margins of error depending on a 20% and 40% response rate.

Table 4A. Margin of Error for Each Region for 20% and 40% Response Rates

	New England	Mid-Atlantic	South East	Mid-West	Mountain Plains	West	TOTAL
Est. Population	3,497	6,414	7,149	8,558	5,963	5761	37,340
Study Sample	1,616	1,755	1,782	1,835	1,750	1,732	10,470
Est. 20% Respondent Sample	323	351	356	367	350	346	2,094
Margin of Error within each region	5.2	5.1	5.1	5.0	5.1	5.1	2.1
Est. 40% Respondent Sample	646	702	713	734	700	693	4,188
Margin of Error within each region	3.5	3.5	3.5	3.5	3.5	3.5	1.4

Table 4B. Margin of Error by Institution Type for 20% and 40% Response Rates

	Library	Museum	Historical Society/Site	Archive	Scientific Research Organization	TOTAL
Est. Population	14,010	17,000	4,000	430	1,900	37,340
Study Sample	3,734	3,238	1,681	430	1,387	10,470
Est. 20% Respondent Sample	747	648	336	86	277	2,016
Margin of Error within each type	3.5	3.8	5.1	9.5	5.4	2.1
Est. 40% Respondent Sample	1,494	1,295	672	172	555	4,148
Margin of	2.0	2.1	2.9	5.8	3.5	1.4

Error within each type						
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There are several factors which were considered in these calculations:

- Because of the large population of libraries and museums, a response rate of at least 20% would be acceptable using a margin of error of approximately 3.5.
- Response rates for historical societies and scientific research organizations will need to be closer to 40% to ensure a margin of error of 3.5. An additional reminder follow-up will be conducted for both of these groups. More details on follow-up activities are described below.
- Since the total number of archives are small (N=430) all institutions are included in the study sample (an over-sampling strategy). In order to obtain a margin of error of 3.5 we will need a response rate of 65%. Additional follow-up efforts, beyond those for other Group 3 institutions, will be put into place to get a response rate as high as possible for archives.



**M. HHI 2014 Follow-Up Phone Call script**

## Appendix M. HHI 2014 Follow-Up Phone Call script

For Non-Respondent Follow-up Call

OMB #XXXXXX  
Exp Date:XXXXXX

**HHI 2014 Non-Respondent Follow-up Call**  
**FOR**  
**HERITAGE PRESERVATION AND INSTITUTE OF MUSEUM AND LIBRARY SERVICES**

**One call per institution as long as personal or voice mail contact is made.**

**Available Data**

Institution Name

Address

Type of Institution (Library, Museum, Historical Society, Archive, Scientific Research Organization)

Contact Name

Contact Title

Phone Number

Email Address (optional)

Survey Mode Preference (internet, mail)

I am calling on behalf of Heritage Preservation and the Institute of Museum and Library Services (IMLS) conducting the Heritage Health Information, a national survey on the condition and preservation needs of U.S. collections. Can I speak to [CONTACT NAME]? [IF not available, ask for voice mail or ask to forward a message.]

Several weeks ago we called your institution to notify you that your institution had been randomly selected to complete the survey and to confirm contact information. It is important to hear from all types and sizes of institutions in order to get a regional and national picture of the preservation needs of institutions like yours. The study does include all size museums, libraries, archives, historical societies and sites, and scientific research organizations.

We encourage you to reply to the survey, which was sent via [MODE] to [You/CONTACT NAME]. The deadline for survey response is XXXXXXX. Would you like us to send the information and survey again?

- a. Yes, email
- b. Yes, mail
- c. No, I have access to it
- d. No, I won't be replying

Thank you for considering this request. If you have any questions or concerns, I have contact information for you.

## **N. HHI 2014 FollowUp Postcards**

## Appendix N. HHI 2014 Follow-Up Postcards

Front Followup #1:

# There's still time...

to contribute to the **Heritage Health Information 2014**, the only comprehensive survey to collect data on the **condition** and **preservation needs** of our nation's collections.



Back Followup #1:



Our records indicate that your organization has not yet completed the [Heritage Health Information 2014](#). You were invited to participate on [Month Day](#). We encourage you to complete this critical survey by the deadline: [Month Day, Year](#). To do so, you may login here: [heritagepreservation.org/hhi](http://heritagepreservation.org/hhi)

If you need assistance retrieving your username or password or have questions please contact us at (202) 233-0800 or [info@heritagepreservation.org](mailto:info@heritagepreservation.org).

<First Name> <Last Name>  
<Title>  
<Organization>  
<Street Address 1>  
<Street Address 2>  
<City>, <State> <Zip>

Front Followup #2:

## Survey Extended!



Last chance to contribute to the **Heritage Health Information 2014**, the only comprehensive survey to collect data on the **condition and preservation needs** of our nation's collections.



Back Followup #2:

**Heritage Preservation**  
*The National Institute for Conservation*  
1012 14th St. NW, Suite 1200  
Washington, DC 20005



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Our records indicate that your organization has not yet completed the [Heritage Health Information 2014](#). You were invited to participate on Month Day. The deadline to submit your survey is quickly approaching: [Month Day, Year](#). To do so, you may login here: [heritagepreservation.org/hhi](http://heritagepreservation.org/hhi)

If you need assistance retrieving your username or password or have questions please contact us at (202) 233-0800 or [info@heritagepreservation.org](mailto:info@heritagepreservation.org).

---

<First Name> <Last Name>  
<Title>  
<Organization>  
<Street Address 1>  
<Street Address 2>  
<City>, <State> <Zip>

## **O. HHI 2014 Digital Pretest Results**

## Appendix O. HHI 2014 Digital Pretest Results

RMC Research contacted nine participants during March 2014 to respond and react to the proposed eight new questions, focused on digital collections that are to be added to the Heritage Health Information 2014 survey (refer to questions starting on page 8). Of the nine people contacted, RMC was able to interview eight, representing the following institutions: the Kansas Historical Society; LYRASIS; the Massachusetts Institute of Technology; the Missouri History Museum; the Peabody Museum of Archaeology and Ethnology at Harvard University; the Princeton University Art Museum; and the Rochester Museum of Science.

Participants were able to review the eight questions however they chose, with some only reading them and others attempting to complete them as given. Phone interviews averaged 30 minutes per participant. Their responses to each new question, as well as a few overall questions and comments on the accompanying glossary items are summarized below.

### Questions D1 and D2

Questions D1 and D2 were frequently addressed together by participants because of the overlap in their purposes. Overall, participants found them straightforward, but they raised a number of definition and clarity issues. Their responses suggest a need for more and clearer glossary items (addressed later in the Glossary section), as well as teasing apart some of the assumptions nested in the questions. Specific issues they raised for consideration include:

- Some institutions digitize ad hoc or only for a project-specific basis. The questions should clarify whether the survey is only concerned with digitization as part of a systematic process.
- There needs to be clarity regarding whether the survey is interested in if institutions collect born digital material or preserve it. They are two separate issues.
  - In all there are three separate possibilities being addressed: digitizing, collecting born digital material, or preserving born digital material.
- The term digital collections can be interpreted in a very specific way. A broader term might be useful (e.g., digital content management).

### Question D3

Overall participants thought the table format was easy to understand and the list of included functions was comprehensive. They also appreciated the ability to choose multiple options or “don’t know.” Specific suggestions for improvement and/or additions were as follows:

- Consider including software that manages areas instead of just people, i.e., there are systems that could handle some of these tasks.
- Add backups to the list. Backups are not the same as redundancy. (Redundancy is exact duplicate made at the time of change to data. Backups are more something you would do nightly and preserve a range of time, so you’d have variations over time.)
- It might be worthwhile to define digital curation or perseveration at a high level; that is, if the distinction is important for the survey.
- The backend of curation seems well covered, but digital perseveration and curation is a continuum. While the list is post-entry focused, from a government records perspective, part of digital preservation is transferring materials and ensuring the authenticity of them at that point. So



the list should include something about ingest tools or processes, or authentication mechanisms when items are being transferred.

- It might be hard for respondents because they won't have all the information. Maybe include guidance as to who they will need to contact to get the information.
- Consider being more specific with regard to format migration. File migration and media migration are different.
- Staffing will happen to different extents, different policies around each collection or across the range of different collections. Maybe use the phrase "for the most part."

#### **Question D4**

Participants generally thought Question D4 was fine and straightforward. Their concerns mainly stemmed from the glossary definition for general condition assessment (discussed in the Glossary section). A couple specific comments included:

- Is it worthwhile to differentiate between who is going the assessments, i.e., internal (IT) or external (contractor)?
- What is considered a comprehensive plan? Are specific plans for specific collections considered comprehensive? Perhaps the question should address what counts.

#### **Question D5**

Several participants thought Question D5 was clear, but many expressed concerns that the question didn't adequately capture the issues with preservation plans. They weren't sure how to answer the question based on where they were with their own institution and suggested tweaking the wording to capture the planning stages. They also offered comments and questions regarding various aspects of planning. Suggestions and comments included:

- Many institutions don't think about digital as a collection itself. They don't think of preserving digital, but rather they think of digital as preserving.
- What about institutions that are in the process of developing a plan, but don't have one complete yet? Instead of a having/developing a plan, would it make more sense to talk about being engaged in planning?
- Maybe include a distinction between plans and guidelines or procedures, or allow for more responses than yes or no.
  - Alternately, ask respondents to state the work being done.
- The real challenge is making mechanisms for reviewing and updating plans. They must be actively reviewed or they become obsolete. That might be something to consider asking about.
- It would be interesting to see whether a plan is a professional plan, and if so, how was it created (internally or with outside help).

#### **Question D6**

Participants were split on this question. For about half of them, the question would be a simple one to answer, while the other half expressed difficulty. Participants were also split over how familiar the term FTE would be to most people, with a few suggesting it should be included in the glossary. Finally, a couple participants suggested some of the confusion and/or difficulty could be relieved by reorganizing how the question is asked. The specific suggestions and concerns are as follows:

- Include FTE in the glossary in case smaller institutions aren't familiar with it.
- Include digital curation in the glossary. Does it include the person creating the digital item—the person processing, collecting, the IT staff? It could be a quite expanded list.
- What about smaller museums who don't have a full time person—how does that translate into answering this question? The question seems to assume long term, on-going work instead of one-off projects.
  - This would be in flux for many institutions, so consider a way to make allowances for that.
- Digital preservation is a collaborative effort, so people are doing it across multiple areas. It wouldn't be possible to come up with a good answer.
  - Consider asking what kinds of people are working on digital management, etc. to get an idea of what's going on.
  - Consider qualifying the staff instead of quantifying, e.g. ask if they are using contractors, volunteers, consultants, etc. for a variety of activities (provided in table format).

### **Question D7**

Most participants thought this question was straightforward, but they also requested clarification around several points. Additionally, most thought that it would be challenging to specify their participation because they participate in many groups and their response could be lengthy. Specific comments and suggestions included:

- Include definitions for repositories and networks, as well as examples.
- Consider including social networking, e.g., less formal sites than libraries, but where people might still push content.
- Institutions, especially large ones, would find it difficult to list everything they participate in.
  - Consider rephrasing to ask separately for each possible type of participation and making this a yes/no for each (e.g., in table format).
- This could be considered a two-part the question. Does the institution operate a repository, etc.? Does the institution participate in a collaborative?

### **Question D8**

Overall, participants thought this was a good, thorough attempt to tackle a difficult subject to measure. They also thought it would be the most time-consuming question on the survey and would require, in most cases, several people to work on it.

Confusion arose with regard to several terms, and participants suggested several additions to the glossary based on this question. They also suggested several items they thought were likely to be common enough that they warranted being including in the table instead of being filed under "Other."

Comments and suggestions are broken down into several categories for ease of understanding.

#### *Time and Difficulty*

- This question would take a significant amount of time to answer thoroughly. One participant explained that he would either have to estimate or skip it entirely.
- Any institution with significant holdings would have a hard time answering because the information will be in a number of different places.

- Participants mentioned needing to contact the following departments: IT, marking, collections, and exhibits.
- Some institutions might need to contact outside vendors/contractors or host providers to get the volume numbers.
- Participants also expressed worry that it might be difficult to gain the cooperation of those departments.
- Participants suggested spelling out that multiple people may be needed to complete this question.
- In order to alleviate some of the burden, consider stressing permanent collections only.

### *Definitions*

The following were suggested as additions to the glossary, particularly with regard to how they were being used in Question D8.

- Audio
- Conditions survey
- Data sets
- Electronic records (Two participants commented that any one of 1-7 in the table could be construed as electronic record based on the context.)
- GB/TB/PB
- Games
- Images (Text images are very different than photographs, so participants found it confusing to lump them together.)
- Preservation treatment
- Software
- Texts
- “Urgent need of care”
- Websites (Participants wanted to know if this referred to the sites themselves or web-based content? Did they include social media?)

### *Suggested Additions to the Digital Materials Collections*

- Original catalog records are not images, precisely. Currently, that’s the closest place to put them, but they might warrant their own category.
- Exhibit media is kind of included under games or software, but it might not fall under either technically.
- Geo-spacial and music might deserve their own categories. They are becoming very important.
- Digital library collections packages for storing metadata, finding aids pointing to digital objects, inventory management are specific for archives.
- Consider including more “other” slots.

### *Suggested Additions for Responses*

- Consider adding a category for “% being actively managed” or “% in structured database.” An institution could have a lot stored but without search aids added/connected.
- For data measurement size, include an “unknown” category, or suggest people use a rough estimate.
- Add a percent that’s “just fine.” Right now this reads like the percents should add to 100, but that part is missing.

### *Other Issues or Suggestions*

- Under Total Volume, institutions might not have records in items, but only collection-level records.
- With regard to images, is the survey only asking about master files or also derivatives?

- With regard to location, does disk mean hard disk or something else, like a server too? What about locally hosted servers versus outside servers (not clouds)?
- In columns C and D, clarify whether percent is supposed to be percent of items or percent of size.
- What if an institution has more than one copy of the same object in multiple locations? Is this supposed to be an either/or situation, or can you have multiple responses for location?
  - Consider rephrasing, e.g., are you using: cloud storage, etc. Y/N
- Column D: terms don't really apply to the digital world. The more appropriate question is: are things at risk, and is it significant? Those would be part of a management plan. Consider changing the language.
- Preservation should be broadened so it's clear that it's not just about preventing obsolescence.

### **Is there any digital collection area not covered within the survey that should be?**

Participants generally thought the survey was thorough, but they reiterated several of the points previously addressed. New suggestions included:

- Money would be interesting. FTE gets at that, but there wasn't a line item for equipment or cloud storage, both of which factors into decisions about money.
- Institutional support—does the directorship/board/etc. support digitization? Many institutions don't realize the long term cost involved with maintaining digital collections. They think digitization is a one-time thing. Something simple like “is there an institutional awareness of the long term financial investment?” might be illuminating.
- Consider gauging what percent of collections have been/have not been digitized.

### **How long did/will it take to complete these questions?**

Times ranged from 15 minutes (from someone who estimated) to several days. The most common responses were 45 minutes to a couple hours. Feedback included:

- “It would take a couple days to get all the material gathered from all the people I'd need to get it from. So maybe a week total to get the information, sort through it, and respond.”
- The last couple questions would take the most effort.
- The tables would take the most time.
- “If you don't want people to estimate, you might get a lower response. I wouldn't have taken it on if I had to be exact.”

### **Do you think it will require more than one person to answer all the questions?**

All participants responded yes to this question. Some thought they could manage with just their team, while others mentioned needing to bring in the collections department, IT, or other staff previously mentioned.

### **From your perspective, will smaller institutions understand the questions and be capable of providing accurate answers?**

Participants were divided on whether smaller institutions would be capable of responding accurately. In general they believed the more straightforward the questions were, and the more that was included in the

glossary, the easier it would be. A couple participants commented that size would be less of a concern than familiarity with digitization. Some specific comments included:

- Smaller institutions might not have metadata figured out and might not use specific standards.
- Most questions were straightforward, so even people who aren't familiar with everything should be able to answer them. The ability to say "I don't know" will be helpful.
- So long as people can estimate, they should be able to provide reasonable answers. Getting very specific would be difficult for most people, regardless of institution size.
- Smaller institutions that are doing this kind of work would probably have a better handle on it because they have less to account for. They could obtain the numbers more easily.
- Smaller institutions that don't do this work, or don't have full time staff, might find it harder, but they probably don't have much digital material.
  - Smaller historical societies wouldn't be able to answer, but small universities on up should be able to handle it.
- Size will not have anything to do with it, more like maturity of the program.
- A glossary that reflects the standards will get better answers from everybody.

## Glossary

Overall, participants found the glossary very useful and commented that they referred to it at multiple points. They suggested adding "Born Digital" and ensuring that in the final survey, the glossary words would be directly linked to their definitions to make looking them up simple. One participant also suggested that Tool Development link directly to the Library of Congress webpage that was referred to in the definition.

Participants made the following comments with regards to the terms already included in the glossary.

- **Checksums:** This should be tied to fixity checking. It is not clear enough.
- **Development of plans and policies:** It doesn't come through that there is a range of high level policies that are needed, then lower level policies to support that. It should all be included.
- **Digitization:** The second sentence strongly emphasizes digitizing as paper to digital. That definition might limit responses.
- **Education, Training, and Outreach:** The definition doesn't go far enough. It should include examples, giving versus taking.
- **Emulation:** This is too limited.
- **External Contractors or Consultants:** Consider rewording this to Vendors or Service Providers. Consider adding the term outsourced. External contractors is a federal term and less familiar within the profession.
- **General Condition Assessment:** The definition feels limited to physical objects/practices and is not aligned with the digital world. Visual inspection does not reflect good practice, and is not really applicable to digitization.
- **Metadata:** It would be useful to expand this and provide examples. Many people have their own definitions of this term or think they know what it means.
- **Normalization:** The definition is too limited and shouldn't be tied to obsolescence. A better definition would be tied to standards that should be used. Smaller institutions might have problems with this term, so consider providing examples.
- **Redundancy:** The definition is too limited.
- **Tool development:** The definition is too broad. It should tie to specific purposes for tool development. Smaller institutions might have trouble with it so consider examples. Also, it was unclear whether tool development included digital asset management systems.

References to recent reports that may help in crafting question language:

Here is the report from the staffing survey <http://digitalpreservation.gov/ndsa/documents/NDSA-Staffing-Survey-Report-Final122013.pdf> (In particular, the list of digital preservation activities might be useful for consulting).

Here is the storage report <http://www.dlib.org/dlib/may13/altman/05altman.html>

**Heritage Health Information 2014: Pretest of Digital Collections Survey Questions**

**A Glossary of terms is appended to the end of the survey on Page 3. Defined terms are indicated by (G).**

D1. Does your institution digitize collections?

- a. Yes
- b. No (EXIT SURVEY)
- c. Don't know (EXIT SURVEY)

D2. Does your institution preserve digital collections? (e.g., born-digital collections)?

- a. Yes
- b. No
- c. Don't know

D3. For each of the digital curation/preservation functions listed below, please indicate how it is currently conducted – by institution staff/volunteers, in collaboration with other institutions and/or by external contractors. (CHECK ALL THAT APPLY)

		<b>CHECK ALL THAT APPLY CONDUCTED:</b>			
	<b>Inapplicable Institution DOES NOT CONDUCT FUNCTION</b>	<b>By institutional staff (G)</b>	<b>In collaboration with other institution(s)</b>	<b>By external contractors (G)</b>	<b>Don't Know</b>
1. Digitization (G)					
2. Metadata (G)					
3. Format migration (G)					
4. Tool development (G)					
5. Normalization (G)					
6. File format identification (G)					
7. File format validation (G)					
8. Checksums (G)					
9. Redundancy (G)					
10. Emulation (G)					
11. Development of plans and policies (G)					
12. Education, training and outreach (G)					

D4. Has your institution conducted a general condition assessment (**G**) of the digital collections in its care in the last five years?

- a. Yes
- b. No
- c. Don't know

D5. Has your institution developed a preservation plan (**G**) for the care and management of its digital collections in the last five years?

- a. Yes
- b. No
- c. Don't know

D6. Please tally the number of professional, support, and volunteer Full Time Equivalent (FTE) digital curation/preservation staff at your institution.

- Include all workers who perform digital curation/preservation activities whether full-time, part-time, contractor/consultant, seasonal, or volunteer.
- 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 one full-time equivalent staff person).
- Digital curation/preservation staff includes digital repository managers, digital curators, digital libraries, and IT staff.

a. \_\_\_\_\_ FTEs

b. Don't know

D7. Has your institution participated in a digital curation/preservation repository, digital library, digital archive, or network?

- a. Yes Please specify: \_\_\_\_\_
- b. No
- c. Don't know

D8. In the following chart, please indicate the estimated number **for each type of digital collection you hold**.

- Include only digital collections that are a permanent part of your holdings or for which you have accepted preservation responsibility.



- For types of digital collections not listed, record under the appropriate “other” category. Please specify the description of the “other” collection type.
  - Indicate the total volume (in items) of each medium.*
  - Circle the appropriate data measurement size.*
  - For each collection, indicate the percentage stored in the cloud, on disk, on server.
  - For each collection, note the estimated percentage that is **in need of urgent care** of preservation treatment. 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 provide an estimate, enter 100% in “unknown condition.”

Digital Material Collections	a.Total volume (record in items)	b.Data measurement Size (circle one)	c.Location(s) of stored digital collections			d.Condition of digital collections	
			% in cloud storage	% on disk/ tape	% on your server/ network	% in urgent need of care	% in unknown condition
1.Images		GB/TB/PB					
2.Texts		GB/TB/PB					
3.Video		GB/TB/PB					
4.Audio		GB/TB/PB					
5.Web sites		GB/TB/PB					
6.Data sets		GB/TB/PB					
7.Software		GB/TB/PB					
8.Games		GB/TB/PB					
9. Electronic Records							
Other specify: _____ _____		GB/TB/PB					
Other specify: _____ _____		GB/TB/PB					

**Glossary of Terms:**

**Checksums:** Mathematical values used to validate data and detect errors that may have occurred during its transmission or storage. When data is stored, a value is calculated based on the data and stored with it. To check the integrity of the data, the checksum can be recalculated at any point and compared with the original stored value. If the values match, the data in the digital object is assumed not to be altered or corrupted.

**Development of plans and policies:** Written documents addressing the challenges and steps necessary for digital preservation. Plans and policies can take multiple forms, addressing collection, preservation, and continued access to digital collections. Policies typically describe the institution's responsibility and goals for digital preservation, while plans are used to describe carrying out those policies.

**Digitization:** The process of replicating a non-digital (analog) item in digital form. This is typically accomplished through the use of scanning equipment and/or digital photography. The process also typically encompasses the creation of administrative, descriptive, and other information ("metadata" -- see below) that accompanies the resulting digital representation, in order to facilitate its preservation and usability.

**Education, training and outreach:** The process of expanding or improving workforce expertise in digital preservation/curation as well as building broader professional and public awareness of the importance of preserving digital information.

**Emulation:** A means of allowing access to digital information after the technology on which it was created becomes obsolete. Emulation aims to overcome hardware and software obsolescence by imitating the obsolete system environment on a current generation of computer, so that users can access digital objects with their original look and feel preserved.

**External contractors or consultants:** 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.

**File format identification:** The process of identifying the file format (the internal structure and encoding) of a digital object, usually through the use of a file type identification tool that examines a file's header section to determine its type.

**File format validation:** The use of a file format validation tool to read through an entire digital object and confirm that each section fully follows the specifications of the file format in which it is stored.

**Format migration:** Copying data from one format to another as a means of overcoming technological obsolescence. Format migration is used to ensure continued access to the content of

digital objects even as hardware and software change. While format migration does not ensure exact replication of digital objects, it does aim to preserve intellectual content even if some original features and appearance are lost with new generations of technology.

**General condition assessment:** An assessment based on visual inspection of the collection and the areas where it is exhibited or stored

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

**Metadata:** A summary of basic information akin to that found in catalog records to facilitate finding, storing, and managing digital objects. Created manually or by automated processes, types of metadata include administrative, descriptive, preservation, rights management, structural, and technical.

**Normalization:** The process of efficiently organizing data in a digital repository by eliminating unnecessary duplication and ensuring consistency in the way data is structured. Sound normalization practices can reduce storage needs and facilitate retrieval, thereby improving digital preservation.

**Preservation plan:** a document that describes a multi-year course of action to meet an institution's overall preservation needs for its collection

**Redundancy:** Producing copies of collection items for safekeeping in locations within and, especially, beyond the physical walls of a single institution in case one of the copies is corrupted or destroyed by fire, power failure, human error, or other incident.

**Tool development:** Production or modification of tools that improve searching and presentation of information and help to automate and streamline various procedures in digital preservation, such as file format identification, metadata creation/extraction, file format validation, and data transfer and file sharing. Efforts are underway to compile listings or registries of such tools. A selective "showcase" is available via the Library of Congress's Digital Preservation website.