

# Heritage Preservation

*The National Institute for Conservation*

October 3, 2011

Dear Colleague:

This booklet contains the 2012 Conservation Assessment Program (CAP) Guidelines and Application. CAP is administered by Heritage Preservation and supported through a cooperative agreement with the Institute of Museum and Library Services (IMLS). CAP was developed to enable eligible museums to obtain a general conservation assessment of their collections and facilities. More than 2,500 museums have participated in CAP since 1990, and we hope to assist your museum this year.

The CAP Application and Guidelines are also available online at [www.heritagepreservation.org/CAP](http://www.heritagepreservation.org/CAP). Applications may be submitted either via the online form or by mail. E-mailed or faxed applications are not accepted. Regardless of the application format you choose, remember to complete the application in full and keep a hard copy for your records.

Applications will be accepted until the postmark deadline of 11:59pm on December 1, 2011. Applications will be reviewed as they are received and eligible museums will be notified of their acceptance within six weeks. Many museums are seeking to participate, so we strongly encourage you to submit your application as soon as possible.

Participants will be able to begin planning their assessments upon official notification of acceptance into CAP and will have from January 1, 2012 to November 1, 2012 to complete the program (see page vii). Please also review the Assessment Costs section on page vii. Note that participants may need to use their own funds to meet full assessment costs.

If you have questions or need assistance as you complete the application, contact the CAP staff at 202-233-0800 or [cap@heritagepreservation.org](mailto:cap@heritagepreservation.org). We look forward to working with you!

Sincerely,



Sara Gonzales  
Program Coordinator



Teresa Martinez  
Program Assistant

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SAMPLE

# Guidelines

## What is the Conservation Assessment Program (CAP)?

The Conservation Assessment Program (CAP) is administered through a cooperative agreement between the Institute of Museum and Library Services (IMLS) and Heritage Preservation. CAP provides eligible museums with a general conservation assessment. Applications will be reviewed as they are received and eligible museums will be notified approximately six weeks after Heritage Preservation receives the completed application.

A **general conservation assessment** provides an overview of **all** the museum's collections and facilities, as well as its environmental conditions and policies and procedures relating to collections care. An assessment of the collections, buildings and site applies to all holdings of an institution that fall under the same budget, board of directors, and museum director. The CAP report assists the institution by:

- providing recommendations and priorities for conservation action, immediate and long-term;
- facilitating the development of a long-range conservation plan for collections care and preservation;
- serving as a fund-raising tool for future conservation projects.

CAP supports a two-day site visit by a conservation professional to perform the assessment and an additional three days to write the report. For museums in historic structures at least 50 years old, CAP also supports a two-day site visit by a historic structures assessor and an additional three days to write the report. As the preservation needs of a historic structure and of the collections it contains often differ, collaboration between collections and historic structures assessors is vital to the assessment's success.

Botanical gardens and arboreta may use CAP to assess the conservation needs of both their living and non-living collections. CAP also helps institutions with living animal collections, such as zoos and aquariums, that do not have an assessment of the animals' physical conditions and habitats. Institutions with fully surveyed living animal collections (such as those accredited by the AZA) may use CAP to assess the conservation needs of their non-living collections only.

A typical CAP assessment involves three core components during the two-day site visit: an introductory interview, a walk-through, and an exit interview. Heritage Preservation has observed that when additional staff, board members, and/or volunteers participate in the site visit, museums become more invested in implementing the report's suggestions. Your museum will want to give some thought to which key staff, board members, and volunteers to involve in the assessment.

## Eligibility

Eligible institutions include aquariums, arboreta, art museums, botanical gardens, children/youth museums, general museums (having two or more significant disciplines), history museums, nature centers, planetariums, science/technology centers, specialized museums (having one narrowly defined discipline), and zoos.

### To participate in CAP a museum must:

- be a permanent institution dedicated to essentially educational or aesthetic purposes
- care for and own or use tangible objects, whether animate or inanimate, and exhibit these objects on a regular basis through facilities it owns or operates

- have at least one professional staff member or the full-time equivalent, whether paid or unpaid, whose responsibilities relate solely to the museum's administration and operations. **If a museum does not have a full-time professional staff member**, it may be eligible if it can demonstrate in the application that it has the full-time equivalent: one or more staff members who conduct professional museum activities. Professional museum activities include responsibilities that relate to the governance, administration, programming, and collections management of the museum. If selected to participate in the program, the museum must designate one of the part-time professional staff members to serve as the project contact and oversee program activities.
- be open and providing museum services to the general public on a regular basis (a museum that exhibits objects to the public for at least 90 days in the preceding year fulfills this requirement). **If a museum is not scheduled to be open to the public 90 days a year**, it is still eligible to participate in CAP if it can demonstrate that it was open at least 90 days in the preceding year through a combination of scheduled days open and days open by appointment.
- be able to have all of its collections and facilities assessed in a two-day site visit
- be a unit of state, local or tribal government or a private nonprofit institution (federal institutions are not eligible)
- be located in one of the 50 states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau.

If a museum has collections too numerous to be assessed within two days or has previously received federally funded assessments, Heritage Preservation, in consultation with the CAP Advisory Committee, reserves the right to determine whether a museum is appropriate for CAP.

**Museums whose collections and/or facilities are too large to be surveyed within two days** should apply for a general conservation survey grant through the IMLS Conservation Project Support program. Additionally, museums that wish to have a detailed condition survey of a portion of their collections should apply for Conservation Project Support. Additional information is available at <http://www.imls.gov> or by contacting the IMLS Office of Museum Services at 202-653-4789.

**Museums that have had a Historic Structures Report** within the past 10 years are not eligible for an assessment by a historic structures assessor. For a definition of a Historic Structures Report (HSR), please visit the National Park Service's HSR Web page at: <http://www.nps.gov/hps/tps/briefs/brief43.htm>

**A museum within a multipurpose public or private nonprofit organization** such as a municipality, university, historical society, foundation, or cultural center may apply on its own behalf for CAP if the museum:

- is independently able to fulfill all the requirements for eligibility listed above
- functions as a discrete unit within the parent organization
- has its own fully segregated and itemized operating budget
- has the authority to make application on its own.

When any of the last three conditions cannot be met, a museum should apply through its parent organization and the parent organization should apply for an assessment of all of its collections and historic structures.

## ReCAP Eligibility

Museums that participated in CAP seven or more years ago may be eligible to update their CAP assessment. Organizations that received a CAP award before September 30, 2005 are eligible to apply for CAP in 2012.

In addition to meeting the above eligibility requirements, ReCAP applicants must describe their preservation efforts and the need to update their assessments in the application's ReCAP supplement.

An institution that received an IMLS Conservation Project Support grant to conduct a general conservation survey of collections and environmental conditions may also be eligible for ReCAP if the assessment occurred prior to 1990. Museums must be of an appropriate size to have their entire collection and facilities assessed in a two-day site visit. **To help us understand your need for a new assessment, museums that have received a Conservation Project Support grant for a general survey must complete this application's ReCAP supplement on page 11.**

Museums should review their original general assessment report carefully before answering the questions in the application's ReCAP supplement. If you do not have a copy of your CAP report, contact Heritage Preservation. In reviewing applications, it may be necessary for Heritage Preservation to request a copy of the executive summary from the original report.

## Assessment Schedule

To assist museums in addressing their collection care issues as quickly as possible, CAP now operates on a one-year schedule. Upon official notification of acceptance into the program, participants will receive detailed information on how to begin planning their assessments. Site visits may begin as early as January 1, 2012. All CAP activities must be completed by November 1, 2012 and museums must take this schedule into account when considering applying to the program.

January 2012 – March 2012: Eligible institutions are identified, receive Program Packets, and are matched with assessors.

January 2012 – April 2012: Participants interview and select assessors. Museums draw up contracts with assessors and send Site Questionnaire to Heritage Preservation.

January 2012 – September 2012: Museums have Site Visits with assessors. Assessors confer with museum to complete the CAP reports.

**November 1, 2012: Deadline for final reports to be submitted to museums and to Heritage Preservation. Program activities for all participants must be finished by this date.**

## Assessment Costs

Conservation assessment costs include the professional fee(s), travel, and on-site expenses, including lodging and meals, for the assessor(s). These costs are covered by CAP plus your institution's contributions.

The cost of a conservation assessment varies from institution to institution based on the number of assessors, their professional fees, the distance they must travel to the site, and the cost of lodging, meals, and other on-site expenses. Assessment costs are generally estimated to be:

- \$4,010 for one assessor
- \$7,860 for two assessors

## Allocation Amounts

Heritage Preservation allocates money for each institution's participation in CAP. Allocation amounts range from \$3,390 to \$7,190 and are determined by Heritage Preservation, depending on whether the museum needs one or two assessors (as explained on page v) and the budget of the institution. The costs to museums generally range from \$430 to \$1,020.

Consult the table below to determine how much money Heritage Preservation will allocate for your participation and your estimated costs. Note that the museum expense amounts presented are based on estimates; some museums may have higher costs, some lower. Once approved to participate in CAP, museums negotiate directly with possible assessors to determine assessment costs. CAP only supports the assessment activities stated above.

| Museum Budget            | 1 Assessor     |                       | 2 Assessors    |                       |
|--------------------------|----------------|-----------------------|----------------|-----------------------|
|                          | CAP allocation | Estimated museum cost | CAP allocation | Estimated museum cost |
| Less than \$250,000      | \$3,590        | \$430                 | \$7,190        | \$670                 |
| \$250,000 to \$1,000,000 | \$3,490        | \$530                 | \$7,020        | \$850                 |
| More than \$1,000,000    | \$3,390        | \$630                 | \$6,840        | \$1,020               |

# Application Information

The purpose of the CAP Application is to provide Heritage Preservation with information about your institution and its collections and facilities, and:

- determine your institution's eligibility
- determine the number of assessors (one or two) needed for your institution's assessment
- assist you in selecting assessors appropriate to your institution's needs

If clarification is needed to determine an applicant museum's eligibility, Heritage Preservation will consult the museum's brochure/literature or Web site provided with the application or contact the project contact listed on the application.

## Online Application Form

To complete the CAP application online, visit [www.heritagepreservation.org/CAP/application.html](http://www.heritagepreservation.org/CAP/application.html). Click on the link on this page to access the online form. You may print the online form at any point while you are working on it. Remember to print the form once it is completed and save the printed copy for your records. If you opt to complete the application online, do NOT send a paper application to Heritage Preservation.

## Electronic Fill-In Application Forms

Application forms are available at [www.heritagepreservation.org/cap/application.html](http://www.heritagepreservation.org/cap/application.html) in PDF and Microsoft Word formats for download. You may download the electronic version and, using the free Adobe Reader, type into the forms on a computer. Although these forms cannot be submitted electronically, they can be completed on the computer and then printed on your printer and mailed. **Note that the PDF forms cannot be saved in Reader, so they must be completely filled in and printed in one operation.** In addition, the application Web page has electronic versions of sections 5 and 10 of the application, which museums may require in multiple copies (*see Application*).

## Steps to Complete the Application

Whether you choose to complete the application online, electronically, or on paper please follow these instructions:

- Read the entire application before filling it out.
- For questions with multiple responses, check all applicable items.
- For questions that do not apply to your institution, indicate "N/A" (not applicable) or "none."
- To clarify an answer to a question, include explanations in a brief cover letter.
- Refer to the following information about each application section:

### *Museum Information*

#### **Taxpayer Identification Number (TIN)/Employer Identification Number (EIN)/ Data Universal Numbering System (DUNS)**

The Taxpayer Identification Number is an identification number issued and used by the Internal Revenue Service (IRS) in the administration of tax laws. A TIN, also known as a federal Employer Identification Number (EIN), is a nine-digit number the IRS assigns to business entities. The IRS uses this number to identify taxpayers that are required to file various business tax returns.

To improve the tracking and statistical reporting for participants in federally funded programs, Heritage Preservation requires that all applicants for the Conservation Assessment Program provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number. Institutions should verify that they have a DUNS number or take the steps needed to obtain one. Institutions can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 866-705-5711 or by visiting <http://www.dnb.com/us/>.

**If the applicant museum's name is different than the museum name registered with DUNS, submit an explanation on the museum's letterhead and signed by a museum official. If your museum does not have both a TIN and a DUNS number, your application will be rejected.**

**Project Contact**

The **project contact** should be the person who will administer the CAP program for the institution. They will be in charge of hiring assessors, preparing for the site visit, and talking to CAP staff regarding required materials. The project contact must be a staff member (volunteer or paid) or board member and included on the staff list on page 4 of the application.

**Budget**

Budget information should include the museum's general operating support for the most recently completed fiscal year.

**Hours of Operation**

List the museum's schedule each day of the week. Include only those hours that the museum is open and providing services (e.g. tours, education programs, special events) to the public. If the schedule is seasonal, fill in the months that apply. Refer to the example below when describing your museum's open hours:

| Month to Month      | Mon            | Tue            | Wed            | Thurs          | Fri            | Sat            | Sun             |
|---------------------|----------------|----------------|----------------|----------------|----------------|----------------|-----------------|
| January to March    | <u>closed</u>  | <u>closed</u>  | <u>closed</u>  | <u>1 - 5pm</u> | <u>1 - 5pm</u> | <u>1 - 5pm</u> | <u>12 - 5pm</u> |
| April to September  | <u>1 - 5pm</u> | <u>1 - 5pm</u> | <u>1 - 5pm</u> | <u>1 - 5pm</u> | <u>1 - 5pm</u> | <u>1 - 5pm</u> | <u>12 - 5pm</u> |
| October to December | <u>closed</u>  | <u>closed</u>  | <u>closed</u>  | <u>1 - 5pm</u> | <u>1 - 5pm</u> | <u>1 - 5pm</u> | <u>12 - 5pm</u> |

If listing additional dates, only include events that are open to the public. Weddings, board meetings, and other private events do not count toward the 90-day eligibility requirement.

**Staffing**

Describe your museum's paid and volunteer staff who are responsible for professional museum activities. Professional museum activities include responsibilities that relate to the governance, administration, programming, and collections management of the museum.

Your answer should establish how the museum achieves the full-time equivalence needed to be eligible for CAP. Since job titles vary among museums, please explain each staff member's responsibilities. Please refer to the example below when completing the staffing section.

Name: Jane Q. Public Title: Museum Director  volunteer  paid

| Hours per week:   | Mon      | Tue      | Wed      | Thurs    | Fri      | Sat      | Sun      | Total     |
|---|----------|----------|----------|----------|----------|----------|----------|-----------|
| <i>(fill in work hours for each day and total for week)</i> | <u>0</u> | <u>0</u> | <u>8</u> | <u>8</u> | <u>8</u> | <u>8</u> | <u>8</u> | <u>40</u> |

**Responsibilities:** Responsible for daily oversight of the museum, collections management, educational programming, and fund-raising.



***Collections  
and  
Collections  
Records***

Answer questions using the following definitions:

- **Catalog:** Collections divided into separate meaningful categories with entries that contain descriptive detail (including physical description, provenance, history, accession information, etc.) for each object.
- **Inventory:** Itemized listing of objects for which the museum has responsibility. Generally, more information is needed to complete a catalog of a collection than an inventory of a collection.

***Facilities  
Information***

**Complete section 10 for each structure in which collections are located.** Include all collections storage and exhibition areas.

***Supplements***

Supplements: Arboreta, botanical gardens, zoos, aquariums, and ReCAP applicants need to fill out the Supplement that applies to them on page 9, 10, or 11.

***Assurances***

To be considered for the program, your authorizing official must read and sign the Assurances (Application, page 12). This page of the application must contain an original signature. **The authorizing official must be an executive member of the museum's governing body, the head of the sponsoring organization, or the government official responsible for oversight of the museum.** In reviewing applications, it may be necessary for Heritage Preservation to request a list of board members or members of the governing authority. **The authorizing official cannot be the museum's director or the project contact.**

## Proof of Nonprofit Status

You must submit proof of the museum's nonprofit status with either:

- a copy of the federal IRS letter indicating the museum's eligibility for nonprofit status under the application provisions of the Internal Revenue Code of 1954, as amended.
  - › If the name on the IRS letter differs from the applicant museum because of a name change, submit a letter of explanation on the museum's letterhead and signed by a museum official.
  - › If the name or TIN on the IRS letter differs from the applicant museum because the IRS letter of a parent organization is being used, submit a letter explaining the relationship between the two organizations on the parent organization's letterhead and signed by an official at the parent organization.
- (for museums that are a unit of local, state, or tribal government only) a letter identifying the museum as a unit of government on that entity's letterhead and signed by an official at that entity.

Heritage Preservation will not accept a letter of sales tax exemption or a copy of the museum's tax returns as proof of nonprofit status.

## Application Deadline

2012 CAP Applications must be postmarked, submitted online, or hand-delivered no later than 11:59pm on December 1, 2011. Heritage Preservation recommends that you submit the application as soon as possible because the number of museums that may participate in the program is limited.

## Application Review

Heritage Preservation may need to contact you about your application. Delayed responses to staff inquiries may jeopardize your acceptance to the program.

## Notification

Within six weeks of receiving your completed application, Heritage Preservation will notify you of your application status. **Heritage Preservation will not cover any costs the museum incurs prior to official notification.**

SAMPLE

# Application Submission

## Assembling the Application Package

Before mailing an application to Heritage Preservation, be certain all information is complete. A complete application packet includes the following materials:

- Proof of Nonprofit Status (**state and sales tax-exempt forms are not acceptable; see page xi**)
- Museum brochure or literature
- CAP Application (Sections 1- 11), including:
  - Section 10 for each additional structure and site, including all collections storage areas (*available online*)\*
  - Mission statement (Section 2, page 2)
  - Staff list with hours and responsibilities (Section 5, page 4 *available online*)\*
  - Supplement for arboreta and botanical gardens, if applicable (Page 9 *available online*)\*
  - Supplement for zoos and aquariums, if applicable (Page 10 *available online*)\*
  - Supplement for ReCAP applicants (with box checked on page 1), if applicable (Page 11 *available online*)\*
  - Assurances with original signature. (***The authorizing official cannot be the museum's director and must be different from the project contact.***)

\*Visit [www.heritagepreservation.org/CAP/application.html](http://www.heritagepreservation.org/CAP/application.html) to find these materials

**Please keep the Guidelines for your reference and send only the application portion of this booklet to Heritage Preservation. Be sure to keep a copy of the completed application for your records.**

## Sending the Application

Mail or hand-deliver CAP applications to:

Heritage Preservation  
CAP  
1012 14th Street, NW  
Suite 1200  
Washington, DC 20005  
Telephone: 202-233-0800

Hand-delivered applications will be accepted between 9:00 a.m. and 4:30 p.m. (Eastern time) daily, except Saturdays, Sundays, and federal holidays.

If you mail your application, it must be postmarked no later than the application deadline of December 1, 2011. If you submit your application via the online form at [www.heritagepreservation.org/CAP/application.html](http://www.heritagepreservation.org/CAP/application.html), it must be submitted no later than 11:59pm on December 1, 2011.

Within six weeks of receiving your completed application, CAP staff will notify you if your museum is eligible to participate in CAP. If you do not get this notification, contact Heritage Preservation to make sure we received your application.

***E-mailed or faxed applications will not be accepted!***

# Application

## 1. Museum Information

ReCAP Applicant

Applicant institution: \_\_\_\_\_

Applicant parent institution (if applicable): \_\_\_\_\_

Institutional mailing address: \_\_\_\_\_

City: \_\_\_\_\_ County: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_ Closest metropolitan area: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

Web site: \_\_\_\_\_

DUNS number: \_\_\_\_\_ TIN number: \_\_\_\_\_ - \_\_\_\_\_

### Museum Director/Site Manager:

Mr.  Ms.  Dr.

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

If open seasonally, provide a phone number to reach staff in the off-season: \_\_\_\_\_

***Project Contact (please note all CAP correspondence will be directed to this person, who should be included on the staff list and have regular museum hours):***

Check if same as Museum Director/Site Manager (skip to Governing Control of Applicant)

Mr.  Ms.  Dr.

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

If open seasonally, provide a phone number to reach staff in the off-season: \_\_\_\_\_

### Governing Control of Applicant:

state  county  municipal  private nonprofit

tribal government  other, specify: \_\_\_\_\_

Is the museum university controlled?  yes  no

### Heritage Preservation Use Only

Date received:

Heritage Preservation no.:

Type of Organization (check one):

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> aquarium                  | <input type="checkbox"/> history museum      | <input type="checkbox"/> arboretum/botanic garden |
| <input type="checkbox"/> natural history museum    | <input type="checkbox"/> art museum          | <input type="checkbox"/> nature center            |
| <input type="checkbox"/> children's/youth museum   | <input type="checkbox"/> planetarium         | <input type="checkbox"/> general museum*          |
| <input type="checkbox"/> science/technology museum | <input type="checkbox"/> historic house/site | <input type="checkbox"/> specialized museum**     |
| <input type="checkbox"/> zoo                       | <input type="checkbox"/> other _____         |   |

\* A museum with collections representing two or more disciplines equally (e.g., art and history).

\*\* A museum with collections limited to one narrowly defined discipline (e.g., textiles, stamps, maritime, ethnic group).

Museum General Operating Support budgets of the most recently completed fiscal year

| <b>Fiscal Year</b><br>20_____ | <b>Revenue/<br/>Support/Income</b> | <b>Expenses/Outlays</b> | <b>Budget Deficit<br/>(if applicable)*</b> | <b>Budget Surplus<br/>(if applicable)</b> |
|-------------------------------|------------------------------------|-------------------------|--|---|
|                               | \$_____                            | \$_____                 | (\$_____)                                  | \$_____                                   |

\*If the institution has a budget deficit for the most recently completed fiscal year, explain the circumstances of this deficit. (Attach an additional page if needed.) \_\_\_\_\_

Museum's Attendance for the 12-Month Period Prior to Application

On-site: \_\_\_\_\_ Electronic: \_\_\_\_\_

Year the museum was first open and exhibiting to the public: \_\_\_\_\_

## 2. Mission

Include the museum's mission statement or description of museum's purpose in the space below. (Attach an additional page if needed.)

### 3. Eligibility

The following are the eligibility requirements for participating in the Conservation Assessment Program. Check the appropriate answer.

**Yes No**

- Is the museum organized as a public or private nonprofit institution that exists on a permanent basis for essentially educational or aesthetic purposes?
- Does the museum care for and own or use tangible objects, whether animate or inanimate?
- Are these objects exhibited to the public on a regular basis through facilities the museum owns or operates?
- Is the museum open and exhibiting to the public at least 90 days a year?
- Does the museum have at least one full-time paid or unpaid staff member or the equivalent, whose responsibilities relate solely to the museum's professional activities?
- Can the museum's entire collection and buildings be completely assessed within a two-day general assessment?

### 4. Hours of Operation

List the museum's schedule each day of the week. Include only those hours that the museum is open and providing services (e.g., tours, education programs, special events) to the public (e.g., 9 a.m. - 5 p.m.). If the schedule is seasonal, fill in the months that apply (attach additional pages if needed). See page x for an example answer.

| Month to Month | Mon   | Tue   | Wed   | Thurs | Fri   | Sat   | Sun   |
|----------------|-------|-------|-------|-------|-------|-------|-------|
| _____          | _____ | _____ | _____ | _____ | _____ | _____ | _____ |
| _____          | _____ | _____ | _____ | _____ | _____ | _____ | _____ |
| _____          | _____ | _____ | _____ | _____ | _____ | _____ | _____ |
| _____          | _____ | _____ | _____ | _____ | _____ | _____ | _____ |

**If the museum is not regularly open at least 90 days a year**, list additional dates that the museum was open outside the normal operating schedule and the reason the museum was open (example: April 1—Girl Scout troop visit). Attach additional pages if needed.

| Date  | Event | Date  | Event |
|-------|-------|-------|-------|
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |

**5. Staffing**

Describe the institution’s paid and volunteer staff who are responsible for **professional museum activities**. Your answer should establish how the museum achieves the full-time equivalence needed to be eligible for CAP (for more information or an example answer, see page x). **Since job titles vary among museums, please explain each staff member’s responsibilities.**

Number of full-time paid staff: \_\_\_\_\_ Number of full-time unpaid staff: \_\_\_\_\_

Number of part-time paid staff: \_\_\_\_\_ Number of part-time unpaid staff: \_\_\_\_\_

*Director/Site Manager*

Name: \_\_\_\_\_ Title: \_\_\_\_\_  volunteer  paid

| Hours per week:   | Mon   | Tue   | Wed   | Thurs | Fri   | Sat   | Sun   | Total |
|---|-------|-------|-------|-------|-------|-------|-------|-------|
| <i>(fill in work hours for each day and total for week)</i> | _____ | _____ | _____ | _____ | _____ | _____ | _____ |       |

**Responsibilities:**

*Additional Staff*

Include a list of staff and volunteers with their titles, hours worked per week, and responsibilities.

Name: \_\_\_\_\_ Title: \_\_\_\_\_  volunteer  paid

| Hours per week:   | Mon   | Tue   | Wed   | Thurs | Fri   | Sat   | Sun   | Total |
|---|-------|-------|-------|-------|-------|-------|-------|-------|
| <i>(fill in work hours for each day and total for week)</i> | _____ | _____ | _____ | _____ | _____ | _____ | _____ |       |

**Responsibilities:**

Name: \_\_\_\_\_ Title: \_\_\_\_\_  volunteer  paid

| Hours per week:   | Mon   | Tue   | Wed   | Thurs | Fri   | Sat   | Sun   | Total |
|---|-------|-------|-------|-------|-------|-------|-------|-------|
| <i>(fill in work hours for each day and total for week)</i> | _____ | _____ | _____ | _____ | _____ | _____ | _____ |       |

**Responsibilities:**

Photocopy this page if you require more space for entries.

Name: \_\_\_\_\_ Title: \_\_\_\_\_  volunteer  paid

| Hours per week:   | Mon   | Tue   | Wed   | Thurs | Fri   | Sat   | Sun   | Total |
|---|-------|-------|-------|-------|-------|-------|-------|-------|
| <i>(fill in work hours for each day and total for week)</i> | _____ | _____ | _____ | _____ | _____ | _____ | _____ |       |

**Responsibilities:**

Name: \_\_\_\_\_ Title: \_\_\_\_\_  volunteer  paid

| Hours per week:   | Mon   | Tue   | Wed   | Thurs | Fri   | Sat   | Sun   | Total |
|---|-------|-------|-------|-------|-------|-------|-------|-------|
| <i>(fill in work hours for each day and total for week)</i> | _____ | _____ | _____ | _____ | _____ | _____ | _____ |       |

**Responsibilities:**

Name: \_\_\_\_\_ Title: \_\_\_\_\_  volunteer  paid

| Hours per week:   | Mon   | Tue   | Wed   | Thurs | Fri   | Sat   | Sun   | Total |
|---|-------|-------|-------|-------|-------|-------|-------|-------|
| <i>(fill in work hours for each day and total for week)</i> | _____ | _____ | _____ | _____ | _____ | _____ | _____ |       |

**Responsibilities:**

Name: \_\_\_\_\_ Title: \_\_\_\_\_  volunteer  paid

| Hours per week:   | Mon   | Tue   | Wed   | Thurs | Fri   | Sat   | Sun   | Total |
|---|-------|-------|-------|-------|-------|-------|-------|-------|
| <i>(fill in work hours for each day and total for week)</i> | _____ | _____ | _____ | _____ | _____ | _____ | _____ |       |

**Responsibilities:**

Name: \_\_\_\_\_ Title: \_\_\_\_\_  volunteer  paid

| Hours per week:   | Mon   | Tue   | Wed   | Thurs | Fri   | Sat   | Sun   | Total |
|---|-------|-------|-------|-------|-------|-------|-------|-------|
| <i>(fill in work hours for each day and total for week)</i> | _____ | _____ | _____ | _____ | _____ | _____ | _____ |       |

**Responsibilities:**



## 6. Past Assessments

Has your museum received support from:

Conservation Project Support grant?  yes  no If yes, year: \_\_\_\_\_

Conservation Assessment Program?  yes  no If yes, year: \_\_\_\_\_

Museum Assessment Program?  yes  no If yes, which:

Collections Stewardship  Organizational

Community Engagement  Leadership

## 7. Goals

What goals does the museum have for this assessment? (Check all that apply, and elaborate if there are areas of special concern.)

Develop a long-range preservation/conservation plan for collections

Improve collections care

Increase staff awareness of collections preservation concerns

Improve the preservation/conservation of the building

Improve environmental conditions

Use as a tool to obtain funding for collections care

Other: \_\_\_\_\_

Comments/special concerns: \_\_\_\_\_

## 8. Collections Information

Who owns the collections? \_\_\_\_\_

Approximately what percentage of your collections are owned by the institution? \_\_\_\_\_%

Approximately what percentage of the collection is on exhibition? \_\_\_\_\_%

Has the institution ever engaged a consultant to survey all or part of the collections?  yes  no

If yes, provide year and elaborate briefly: \_\_\_\_\_

Has the institution ever engaged a consultant to survey all or part of the building?  yes  no

If yes, provide year and elaborate briefly: \_\_\_\_\_

Site area:  less than 1 acre  1-5 acres  6-10 acres  more than 10 acres

How many buildings does the institution occupy? \_\_\_\_\_

Are they all on the same site?  yes  no

If no, where are the buildings located? \_\_\_\_\_

How many buildings hold collections (storage and exhibition)? \_\_\_\_\_

*(Be sure to complete Section 10 for all structures, including collections storage areas)*

How many buildings are more than 50 years old? \_\_\_\_\_

**9. Collections and Collections Records**

What is the size and composition of the institution's collections? (Check one box for each line. Categorize collections as specifically as possible and count objects in only one category.)

| Collection type                             | Number of Objects        |                          |                          |                          |                          |                          |                          |                          |
|---|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
|   | None                     | 1-20                     | 21-100                   | 101-500                  | 501-1,000                | 1,001-5,000              | 5,001-10,000             | 10,000+                  |
| Archaeology                                 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Arms and armor/weapons                      | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Botany (live)                               | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Botany (herbaria)                           | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Ceramics and glass                          | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Ethnography                                 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Film/sound recordings                       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Furniture/wood artifacts/wood sculpture     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Geology/mineralogy/paleontology             | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Historic objects                            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Industrial machinery                        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Library/archival materials                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Metalwork/metal sculpture                   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Musical instruments                         | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Paintings (panel/canvas)                    | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Photographic materials                      | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Science/technology/medicine                 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Stone artifacts and sculpture               | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Textiles and costume                        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Transportation vehicles                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Watercolors/drawings/prints                 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Wet collections/fluid preserved collections | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Zoology (live)                              | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Zoology (other)                             | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Other (specify)                             | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| _____                                       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| _____                                       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| _____                                       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Approximately what percentage of the institution's permanent collection is inventoried? \_\_\_\_\_%

Approximately what percentage of the institution's permanent collection is cataloged? \_\_\_\_\_%

(For definitions of these terms see page xi.)

## 10. Facilities Information

**Photocopy this section or download from [www.heritagepreservation.org/CAP/application.html](http://www.heritagepreservation.org/CAP/application.html) and complete for each structure, including collections storage areas.** If the facility consists of additions that function independently or in a significantly different manner from the primary structure, or if the construction, use, or climate control systems are different, *complete this section for each addition.*

A historic structures assessor will be assigned if structures are more than 50 years old.

Building name: \_\_\_\_\_

Owner: \_\_\_\_\_

Original use of structure: \_\_\_\_\_

Current use of structure: \_\_\_\_\_

Structure size:  < 10,000 sq. ft.     10,000 - 25,000 sq. ft.     25,001 - 50,000 sq. ft.

50,001 - 100,000 sq. ft.     > 100,000 sq. ft.

Type of structure:  modern building built as a museum  
 older building built as a museum  
 older or historic structure not originally designed as a museum  
 building shared with other non-museum activities  
(approximate square footage of museum and storage \_\_\_\_\_)  
 other: \_\_\_\_\_

Construction date:  17th century     18th century     1800-1850     1851-1875  
 1876-1900     1901-1925     1926-1962     other: \_\_\_\_\_

Additional construction dates:  18th century     1800-1850     1851-1875  
 1876-1900     1901-1925     1926-1962     other: \_\_\_\_\_

Number of stories: \_\_\_\_\_

Is the building listed on the National Register of Historic Places?  yes     no

If yes, date of nomination: \_\_\_\_\_

Has a Historic Structures Report (HSR) been completed?  yes     no  
(For more information on HSRs, see page vi.)

If yes, date: \_\_\_\_\_

This structure is used for (check all that apply):

collections storage     exhibits (with artifacts)     office space     other: \_\_\_\_\_

What is the date of the last building renovation? \_\_\_\_\_

Is the building interpreted as historic?  yes     no

# Supplement for Arboreta and Botanical Gardens

Read the Guidelines and complete this Supplement in addition to the Application. If desired, attach a written description of your institution and its collections.

## 1. Collections and Collection Records

How many different plant species does the institution maintain? \_\_\_\_\_

How many herbarium specimens does the institution maintain? \_\_\_\_\_

What percentage of the permanent living collection is:

|              |         |
|--------------|---------|
| accessioned? | _____ % |
| cataloged?   | _____ % |
| inventoried? | _____ % |

What was the date of last inventory? \_\_\_\_\_

How often are inventories conducted? \_\_\_\_\_

Does the institution have a library?  yes  no

If yes, how many volumes? \_\_\_\_\_

## 2. Facilities Information

What is the acreage of the grounds? \_\_\_\_\_

Briefly describe the site: \_\_\_\_\_

Who owns the site? \_\_\_\_\_

What percentage of the land is used for:

cultivated collections? \_\_\_\_\_ %

natural areas? \_\_\_\_\_ %

picnic areas? \_\_\_\_\_ %

other: \_\_\_\_\_ %

How many buildings are on site:

total \_\_\_\_\_

collections storage \_\_\_\_\_

herbarium specimen storage \_\_\_\_\_

exhibition \_\_\_\_\_

maintenance \_\_\_\_\_

visitor services \_\_\_\_\_

library \_\_\_\_\_

other: \_\_\_\_\_

# Supplement for Zoos and Aquariums

Read the Guidelines and complete this Supplement in addition to the Application. If desired, attach a written description of your institution and its collections.

## 1. General Information

Is the institution accredited by the Association of Zoos and Aquariums?  yes  no

If yes, date: \_\_\_\_\_

*AZA accredited institutions are not eligible to have living collections assessed.*

## 2. Collections and Collection Records

How many animals does the institution own? \_\_\_\_\_

How many different species? \_\_\_\_\_

Does the institution have a library?  yes  no

If yes, how many volumes? \_\_\_\_\_

## 3. Facilities Information

What is the acreage of the grounds? \_\_\_\_\_

Who owns the grounds? \_\_\_\_\_

How many buildings are on site:

|                                |       |
|--------------------------------|-------|
| total                          | _____ |
| curatorial/collections storage | _____ |
| exhibition                     | _____ |
| library                        | _____ |
| animal housing                 | _____ |
| visitor services               | _____ |
| maintenance                    | _____ |
| other: _____                   | _____ |

# Supplement for ReCAP Applicants

Read the Guidelines on page vii and complete this Supplement in addition to the Application.

Museums previously awarded an IMLS-funded general conservation assessment may be eligible to update their CAP assessment if seven years have passed since the original assessment, and if the museum has demonstrated the need for an additional general assessment. Organizations that received their IMLS award on or before **September 30, 2005**, are eligible to participate in CAP for 2012.

Year Received CAP \_\_\_\_\_

## Check the appropriate boxes:

- Yes, the museum has a copy of the previous CAP report(s) and has read them recently.
- No, the museum does not have a copy of the previous CAP report(s). If you do not have a copy of your report(s), please contact Heritage Preservation at [cap@heritagepreservation.org](mailto:cap@heritagepreservation.org).
  
- Yes, I understand that ReCAP will entail a two-day general assessment of all collections and sites of my organization.\*

## Answer the questions below:

Describe what collections care efforts your museum has accomplished since your previous CAP assessment (attach additional pages if needed). If these efforts were funded by grants or donations, please list the name and source of the grant and/or the source of the donation. Detail which recommendations from the executive summary of your original CAP report(s) have been implemented.

Describe your museum's need and goals for a new assessment (attach additional pages if needed). If your museum is still working on recommendations from the original report, explain why and how the ReCAP assessment will help you meet those goals. If your museum has historic structures(s), please include your need and goals for a new structural assessment through ReCAP.

\* Museums with collections and sites that cannot be completely assessed within two days are ineligible for ReCAP and should apply for a grant through the IMLS Conservation Project Support program. Museums that wish to have a detailed survey of a portion of their collections should also consider Conservation Project Support. Information is available at <http://www.imls.gov> or by contacting the Office of Museum Services at 202-653-4789.

## 11. ASSURANCES

*The applicant organization's authorizing official should sign the following certification **after** all other parts of the application form have been completed.*

All CAP participants are required to comply with all applicable statutes, ordinances, executive orders, regulations and other laws including: Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Title IX of the Education Amendments of 1972, as amended; Age Discrimination in Employment Act of 1975, as amended; Drug-Free Workplace Act of 1988; Native American Graves Protection and Repatriation Act of 1990; Section 106 of the National Historic Preservation Act of 1966, as amended; Executive Order 11593; Archaeological and Historic Preservation Act of 1974; National Environmental Policy Act of 1969, as amended; Executive Order 11514; Executive Order (E.O.) 11738; Executive Order (E.O.) 11990, as amended by Executive Order (E.O.) 12608; Executive Order (E.O.) 11988, as amended; the Coastal Zone Management Act of 1972, as amended; section 176(c) of the Clean Air Act of 1955; Safe Drinking Water Act of 1974, as amended; Endangered Species Act of 1973, as amended; Wild and Scenic Rivers Act of 1968, as amended; Flood Disaster Protection Act of 1973, as amended; 45 C.F.R. Part 46; and Laboratory Animal Welfare Act of 1966, as amended.

Signing this form indicates your commitment to comply with the laws referred to above should your participation in CAP be forthcoming.

**The Authorizing Official must be an executive member of the museum's governing body, the head of the sponsoring organization, or the government official responsible for oversight of the museum. The Authorizing Official cannot be the museum's director and must be different from the project contact.**

I, the undersigned, certify that all the information contained in this application is true and accurate. I have been authorized by my Board of Directors to submit this application to the Conservation Assessment Program. Should my organization be chosen to participate in the program, I will comply with all requirements and guidelines of the Conservation Assessment Program.

\_\_\_\_\_  
Signature of Authorizing Official

\_\_\_\_\_  
Date

Authorizing Official: Please fill in the information below.

Mr.       Ms.       Dr.

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

Mailing address: \_\_\_\_\_

# Help Us Improve CAP!

Please answer the questions below to let us know how you heard about CAP and provide feedback about the application. Your responses will not affect your application. If you wish to submit responses anonymously, please go to <http://www.formdesk.com/heritagepreservation/CAPApplicationSurvey>.

Thank you for your help!

Where did you get the information that prompted your interest in this application? Check all that apply:

- Heritage Preservation Web site
- CAP brochure
- From a colleague
- Presentation at a national, regional, or state museum association meeting (please specify): \_\_\_\_\_
- Collections care workshop (please specify): \_\_\_\_\_
- LISTSERV posting
- Discussion with CAP staff person
- Discussion with an IMLS staff person
- IMLS Web site
- IMLS publications
- Direct mailing
- Heritage Preservation Hotline e-alert
- Other: \_\_\_\_\_

Where did you obtain your CAP Application?

From Heritage Preservation:

- We requested a copy
- We received a copy without having requested it
- Heritage Preservation Web site
- Other: \_\_\_\_\_

Please rate each of the following aspects of the CAP Application:

Organization and format:     Excellent     Good     Fair     Poor

Clarity of guidelines and application process:     Excellent     Good     Fair     Poor

Ease of completion:     Excellent     Good     Fair     Poor

Approximately how many hours did it take you to complete this application? \_\_\_\_\_ hours

How many staff members participated in gathering all the information? \_\_\_\_\_

Did you need to contact Heritage Preservation staff while completing the application?     yes     no

If you decided not to use CAP's online application, please state why: \_\_\_\_\_

Comments on the application process: \_\_\_\_\_

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