



Collections Assessment for Preservation

Assessor Handbook

Supported by



Dear CAP Program Assessor,

Thank you for agreeing to serve as an Approved Assessor for the Collections Assessment for Preservation (CAP) program.

The Foundation for Advancement in Conservation (FAIC), formerly the Foundation of the American Institute for Conservation of Historic and Artistic Works, is proud to administer the CAP program via a cooperative agreement with the Institute of Museum and Library Services (IMLS).

The purpose of this handbook is to provide you with all the information you need to produce excellent CAP reports. It outlines the steps of the CAP process and pays specific attention to your role as an assessor. In each section, you will find tips to help you make the most of each phase of the process.

Our CAP program staff is always willing to talk with you individually to answer any questions you have about the process, connect you with additional resources, and hear your feedback on this program. I encourage you to connect with them via phone (202-750-3346) or email (cap@culturalheritage.org) at any time.

On behalf of FAIC, I thank you for your service in helping small institutions around the country improve their care of America's cultural resources.

Sincerely,

A handwritten signature in black ink, appearing to read 'Lissa Rosenthal-Yoffe', written in a cursive style.

Lissa Rosenthal-Yoffe
Executive Director
American Institute for Conservation and
Foundation for Advancement in Conservation

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PART I: PROGRAM OVERVIEW

What is the Collections Assessment for Preservation (CAP) program?

CAP is a program that provides partial funding toward a general collections assessment to help small and mid-sized institutions improve collections care.

CAP is appropriate for small to medium-sized institutions whose entire collections and facilities can be assessed in a two-day site visit. Most often, participating institutions have a small staff and budgets; the daily practical needs of opening an institution to the public can preempt achieving longer-range goals. Many staff members in these situations know that their institutions should be doing things differently, but they lack the resources needed to make significant changes. CAP provides an opportunity for the institution's staff to work with professional consultants to provide them with a prioritized set of recommendations for improving collections care.

As an Approved Assessor for the CAP program, you have the opportunity to help small institutions grow in their professional capacity. Your service to the field through the CAP program helps to improve collections care in our nation's small and medium-sized museums.

Approved Assessors have completed an application demonstrating the following program eligibility qualifications:

- professional training in conservation, zoology, botany or horticulture, architectural conservation/preservation, architecture, landscape architecture, or engineering.
- at least five years of professional experience in preservation, conservation, or collections care in one of the above fields.
- experience conducting general conservation assessments.

Because assessments do not address issues such as building codes or structural stability that would entail the practice of architecture/engineering, building assessors need not be licensed in a state in order to perform an assessment for a museum in that state.

To learn more about the scope of a general conservation assessment the Getty Conservation Institute published an excellent tool to assist preservation professionals in the assessment of cultural institutions. [The Conservation Assessment: A Proposed Model](#), outlines specific topics that assessors might wish to consider in their review of a site.

The Assessment Team

Each CAP assessment is performed by an Assessment Team. In most cases, this team is comprised of:

- key staff of the institution (e.g. collections staff/volunteers, the director or CEO, board members)
- a collections assessor
- a building assessor

While it is possible for an assessor to be approved as both a collections assessor and building assessor, the same person may not serve in both roles in a single project. The

success of the assessment depends on the effort of each individual member of the team and their ability to work collaboratively throughout the process.

Responsibilities of an Assessor

As an assessor, it is your responsibility to provide a professional, timely, and personalized conservation assessment to the institutions with whom you work. Allocations for the CAP program may only be used to support general conservation assessments.

For most assessments, you will work collaboratively with another assessor on the final report. You should begin planning with the other assessor in the early stages of the project to ensure coordination on the site visit and report writing.

Any information gathered during or resulting from your work on the assessment should be considered confidential and should not be shared without advanced written permission of the institution.

CAP Schedule

The application deadline for institutions is February 28. CAP participants are notified of their acceptance in May. They participate in an orientation webinar shortly after and may begin contacting assessors in the summer. Once hired, you will work directly with the institution to determine your assessment schedule.

The only hard dates imposed by FAIC in the process are:

- February 28, 2024 – Institutional application deadline
- September 30, 2024 – Institutional deadline to finalize assessor contracts and send to FAIC
- January 31, 2025 – Assessors’ deadline to send final CAP report to the institution and to FAIC.

You will need to work with the rest of the Assessment Team to schedule the Pre-Visit Phone Call, Site Visit, deadlines for the rough draft and final reports, and the one-year follow-up consultation. It is very important that this schedule is included in the contract.

Table A represents a sample CAP schedule.

Table A: Sample CAP Schedule

| | |
|---------------|--------------------------------------------------------------------------------|
| February 28 | Institutional application deadline |
| May | Institution is notified by FAIC of its program acceptance |
| July | Institution participates in orientation |
| Aug - Sept | Institution interviews and signs contracts with assessors |
| Sept 30 | Institution completes Site questionnaire. Sent to Assessor for review. |
| October 14 | Pre-Visit Phone Call |
| October 14-15 | Site visit |
| December 15 | Deadline for assessors to send draft report to institution and FAIC for review |
| January 10 | Institution deadline to send comments or questions on draft to assessors |
| January 24 | Assessors send final draft to institution and FAIC |

Allocation Amounts

As a participant in the CAP program, each institution is allocated a set amount of funding by FAIC to help cover assessment fees. Allocation amounts range from \$3600 to \$4000 **per assessor** based on the annual operating budget of the institution (see Table B). The institution is responsible for paying the remainder of your professional fees and travel expenses.

Table B. Assessor Fee Allocations

| Annual Budget of the Institution | Allocation Per Assessor |
|-----------------------------------------|--------------------------------|
| Less than \$250,000 | \$4000 |
| \$250,000 to \$750,000 | \$3800 |
| More than \$750,000 | \$ 3600 |

Assessment Fees

Assessment fees are negotiated between each assessor and the institution. Your fees may include two components: 1) your professional fee for the assessment and 2) reimbursable expenses, including the costs of your travel, lodging, meals, and other on-site expenses. In other words:

$$\text{Contract amount} = \text{Professional fees} + \text{Reimbursable expenses}$$

Professional Fee

Professional fees should be based on the time you expend for the Pre-Visit Phone Call; a two-day Site Visit; an estimated three days of report writing, and the one-year follow-up consultation.

Reimbursable Expenses

Reimbursable expenses are the costs you accrue in performing the assessment, including travel, lodging, meals, and other on-site expenses. While you might not know the exact cost of these expenses in advance, you should provide your best estimate. For budgeting purposes, institutions often appreciate a “not-to-exceed” rate for your total reimbursable expenses. Be sure to save receipts for these expenses to submit for your reimbursement.

Institutions may offer to help arrange your travel to help reduce their costs. This decision should be part of the negotiation of your contract.

Tracking Your Time

CAP assessors often spend more time on the assessment than they are compensated for. At the completion of the program, FAIC will ask you to estimate the value of any time you have contributed. This information helps FAIC understand the actual cost of the program and demonstrate the matching activity of institutions and assessors in reports to IMLS.

Attachment A: Contributed Time Form is a simple form designed to help you track the time you have spent on a CAP project. Simply record the hours you have contributed to each step as you go. While you will not be required to submit the Contributed Time Form, it

will provide quick reference when you are asked to submit the total number of hours contributed to the project.

Sample fee scenario

The Museum of XYZ has contracted Ms. Conservator and Ms. Architect to perform their CAP Assessment. The museum has received an allocation of \$3,800 per assessor.

Ms. Conservator suggests the assessment report will take two days to write. In conjunction with the two-day site visit and pre- and post- visit work, she expects to spend five days on the project. Her typical daily rate is \$1,000, bringing her total to \$5,000. Her travel expenses will be \$500. Ms. Conservator agrees to reduce her professional fee to \$3,800. The Museum pays for her travel expenses, totaling \$500. If the work ends up taking five days total, Ms. Conservator will report the \$1,200 fee reduction to FAIC when requested.

Ms. Architect sets her professional fees at \$4,000. She asks the Museum to pay the remaining \$200 in professional fees. Because she lives locally, she agrees to cover the nominal travel expenses. She would report the value of the travel expenses (and any additional time spent on the assessment and report) to FAIC when requested.

Cancellation/Force Majeure

If circumstances beyond the control of FAIC, the institution, and/or the assessor (e.g. illness, catastrophic weather event, terrorist attack, pandemic, etc.) require the cancellation of the site visit or prevent completion of the final report, all parties will work together in an effort to adjust the schedule to a timeline suitable to all, acknowledging programmatic and funding restrictions faced by FAIC. If rescheduling is not possible, the following compensation schedule will take effect:

- If cancellation occurs before the site visit, no payment to the assessor shall be due.
- If cancellation occurs after the site visit, FAIC will compensate the assessor with 40% of the allocation amount, and the institution shall reimburse any non-refundable travel and out-of-pocket expenditures made before the time of notification.

If the assessor cancels services for reasons outside of force majeure, Assessor shall not receive the professional fee. Any nonrefundable travel expenses must be absorbed by Assessor.

Program Administration

The Foundation for Advancement in Conservation (FAIC) administers the CAP program under a cooperative agreement with IMLS. With guidance from a Steering Committee, FAIC's CAP program staff are responsible for developing program materials, reviewing applications, guiding assessors and institutions through the process, processing assessor payments, and evaluating and adapting the program.

IMLS provides funding to FAIC for administration of the CAP program on a 1:1 match basis. FAIC must show investment in the program through its own cash and in-kind investment and through the in-kind investment provided by assessors and museum staff members.

PART II: STEPS OF THE CAP PROGRAM

In this section, you will find detailed descriptions of each step of the CAP program.

Steps of the CAP Program



1. Application Acceptance

Applications are available to institutions online or on paper as announced on the CAP program web page. The application period closes February 28, and applicants are notified of their status in May.

2. Assessor Selection

Goal

To identify the best assessors for each institution.

Responsibilities of the Assessment Team

Institution: Interview multiple assessors and select the best one(s) for the institution.

Assessors: Respond to requests for interviews in a timely manner. Interview the institution to determine whether their needs match your areas of competency. Provide a written assessment cost.

Approved CAP Assessors List

When institutions are accepted into the program, they receive a *CAP Program Handbook* and a list of approved assessors whom they may hire for the assessment. To be placed on the Approved Assessors list, collections care professionals must complete an application to document their qualifications, which must include:

- professional training in conservation, zoology, botany or horticulture, architectural conservation/preservation, architecture, landscape architecture, or engineering;
- at least five years of professional experience in preservation, conservation, or collections care in one of the above fields; and
- experience conducting general conservation assessments.

The Approved Assessors list contains information you provided when applying for the CAP program. You can review your listing anytime by contacting CAP program staff at cap@culturalheritage.org.

Institutions are encouraged to consider their priorities for the assessment when narrowing down their list of assessors to interview. Some institutions may be looking for an assessor who lives nearby and who can provide ongoing assistance after the assessment is complete. Others may be seeking an assessor with specialized experience in a particular field.

Assessor Interviews

If an institution is interested in interviewing you as an assessor, its staff will contact you directly. Listen carefully to the institution's goals to see if your expertise would be an appropriate match for the museum. Remember that both parties are interviewing each other. Your inclusion on the Approved Assessors list does not obligate you to engage in a contract with any institution. Use the interview to determine whether you are the best fit for the institution, and let the institution know either way. If you feel another assessor would be more appropriate, you may recommend them.

Most institutions will hire two different types of assessors: a collections assessor and a building assessor. You will be working closely with the other assessor on the assessment, so if you have experience working in partnership with another assessor that you would recommend, let the institution know.

Discuss your professional fee, per diem, travel, lodging, meals, and any additional expenses. The CAP allocation is not meant to cover all assessment costs, and any fees over the allocation are the institution's responsibility (see the Assessment Costs section on pages 4-5). Whether or not you consider your fees negotiable, you must be clear about your charges. Follow up promptly with a written summary of your fees. If you are unable to share your fees over the phone, reply as soon as possible with a written fee proposal.

Based on this conversation, if both parties agree that you are an appropriate match, the institution will begin the process of developing a contract for the assessment.

Suggestions for the Interview

- ✓ If you cannot meet the institution's time frame or do not believe you are the best match for the institution, let them know.
- ✓ Refer a colleague. Most institutions will be working with both a collections assessor and a building assessor. If you've worked with another assessor in the past and would like to work with them again, let the institution know.

3. Contract

Goal

Form the written agreement between the institution and the assessor.

Responsibilities of the Assessment Team

Assessors: Negotiate and finalize a contract for the assessment.

Institution: Negotiate and finalize a contract for the assessment to share with FAIC.

It is the responsibility of the institution and the selected assessor to create and sign a contract agreement for the project before any work is performed. Attached is a Contract Template (**Attachment B**) that FAIC encourages you to use as a base. All contracts should contain the following elements:

The names and contact information for the organization and the assessor

1. A schedule listing the dates of the Pre-Visit Phone Call and the Site Visit. **It is essential that both assessors visit on the same days.**
2. Deadlines for:
 - a. Site Questionnaire
 - b. The draft report
 - c. Comments on the draft from the institution to the assessors
 - d. The final copy of the report (keeping in mind that the final deadline must be before January 31, 2025)
3. Acknowledgement of the follow-up consultation, with a date to be determined by mutual consent
4. The assessment fees (professional fees and travel)
5. Who is responsible for making travel arrangements (you or the assessor).
6. The following statement: "CAP is administered by the Foundation for Advancement in Conservation (FAIC). FAIC's sole responsibility is to administer the CAP program. FAIC assumes no additional responsibility or liability."

Once the contract has been signed by both parties, the institution will send it to CAP staff to review and sign. CAP staff must review and sign all contracts before work on the assessment can begin.

After this point, it is a good idea to copy the entire Assessment Team on all communications. This will ensure that both assessors have received the same information and will prevent asking the same question multiple times. Exceptions include communications about your contract with the institution and any other information that might be deemed confidential.

4. Site Questionnaire

Goal

To prepare for the Site Visit by sharing background information on the institution's collections, policies, and facilities.

Responsibilities of the Assessment Team

Assessors: Review the Application and Site Questionnaire in preparation for the Pre-Visit Phone Call and Site Visit.

Institution: Complete the Site Questionnaire honestly and provide additional information as requested by the assessors.

Site Questionnaire

After receiving an institution's assessor contracts, CAP staff will provide the institution with a link to the online Site Questionnaire. The Site Questionnaire provides additional detailed information about the institution's governance and staff, collections and collections care policies, site, and structures. Once the Site Questionnaire has been completed, CAP staff will send both

assessors a single PDF that contains the institution's responses to both the application and Site Questionnaire.

The Application/Site Questionnaire is a starting point that will help you flag issues for additional conversation and priorities for your Site Visit. To help you think through how the Application/Site Questionnaire might be used to spark conversations during the Pre-Visit Call and Site Visit, please review the **Assessor's Guide to the Application and Site Questionnaire (Attachment C)**. The guide suggests follow-up questions for different responses to the Application/Site Questionnaire. It also suggests relevant resources you might refer to in your report to direct the institution to additional information on the topic.

The Application/Site Questionnaire also asks the institution about additional materials they may be able to provide you (such as architectural drawings, prior assessment reports, and collections care policies). You may request digital copies of any of these from the Project Contact at any time, along with any additional available information that will help with the assessment.

5. Pre-Visit Phone Call

Goal

To introduce key members of the Assessment Team, review the institution's goals for the assessment, and plan the agenda for the Site Visit.

Responsibilities of the Assessment Team

Assessors: Request any additional information you will need for the assessment and clarify responses on the questionnaire as needed.

Institution: Schedule the Pre-Visit Phone call with the Assessment Team and ensure travel arrangements have been made for the Site Visit. Suggest an agenda for the visit.

Make sure that you have received and reviewed the Site Questionnaire before the pre-visit phone call. The call is an opportunity for you to meet the other assessor, plan an agenda for the Site Visit, and clarify any questions you have from the Questionnaire.

During the phone call, be sure to:

- **Ask for clarification of any information on the Site Questionnaire that was unclear.**
- **Request that the institution send you any additional information that might be helpful.** The Available Resources section of the Site Questionnaire will tell you what types of additional information is available (e.g. Collections Management Policies, data logger files, architectural drawings). You may request that these materials be emailed to you in advance or that they be made available for view during the Site Visit.

- **Encourage your project contact to engage as many staff, decision makers, and/or board members as possible during the Site Visit.** This will help you as an assessor consider the institution from multiple points of view. It will also help the institution by getting more people invested in the process. When institutional leaders are engaged during the Site Visit, they are more likely to support changes based on the final report's recommendations.
- **Talk about your agenda for the Site Visit.** The institution should suggest an agenda for the visit. Make sure that the agenda will allow you to fully assess the collections of the institution. In conjunction with your co-assessor, let the institution know if there are specific things you would like to see or people you would like to talk to. Be sure to request time to meet with the director or the board president.
- **Discuss whether special arrangements need to be made to gain access to certain parts of the building.** For example, architectural assessors may request access to the roof; this often requires a ladder that may not be readily available onsite. It's also a good idea to stress to staff that you will need access to all parts of the building. This way they can be sure to unlock doors, locate keys, and secure any necessary special equipment.

Since each assessor will ultimately be writing their own sections of the report and then combining them to create one final document, you should begin coordinating your efforts early to ensure the two pieces will come together fluidly. This is a good time to work with your co-assessor to determine the font and format of your final report and which of you will be responsible for combining the two pieces. You may choose to use the recommended report format in the REPORT section of this handbook to plan to merge your individual sections.

Suggestions for the Pre-Visit Phone Call

- ✓ Help shape the Site Visit agenda to ensure you will meet decision-makers on staff and visit the entire site.
- ✓ Begin planning the format of your report with your co-assessor.

6. Site Visit

Goal

To tour the facility and discuss preliminary recommendations for improved collections care.

Responsibilities of the Assessment Team

Assessors: Perform a general conservation assessment of the institution's collections facilities.

Institution: Meet with assessors and guide a tour of the collections, exhibition, and storage areas.

The Site Visit is the heart of the assessment. This is your opportunity to spend two days touring the site, listening to staff, and observing daily operations. Because every institution is unique, each Site Visit will be structured differently.

It is generally a good idea to start the Site Visit with an introductory meeting with all the staff and/or board members that will be involved in the assessment. This gives them the opportunity to meet the people who will be touring their site over the following two days and gives you a better idea of the institution's goals for the assessment.

Make sure you have the chance to tour all collections storage and exhibitions spaces. Even though the collections assessor and building assessor will be looking for different things, both should participate in the full site tour.

As you tour, point out preliminary recommendations to staff. Showing them directly on site will help them understand and give them the opportunity to ask questions. Keep in mind that most institution staff won't have a background in preservation. Positive comments about good practices may help build trust and overcome defensiveness about current conditions and procedures.

Since your time onsite is limited, work with staff to determine areas of concern to make sure they are addressed during the Site Visit. It can be easy to get carried away with the discussion of a project or caught up in one area. Take the initiative to keep the site visit on track to accomplish what needs to be done.

You may wish to schedule a debriefing with an executive director or equivalent at the end of the first day of the assessment to introduce initial recommendations before meeting with the larger group for a debriefing at the end of the second day. This can help provide insight into how your recommendations might be received and uncover underlying barriers that may exist.

At the end of the second day, both assessors and key staff should participate in an exit debriefing. This is an opportunity for you to share a list of preliminary recommendations that the institution can expect to see in the report. Ask the staff for feedback on which issues seem most feasible for them to address. This can help you prioritize your suggestions in the report.

Suggestions for the Site Visit

- ✓ Take photos! They will help illustrate your recommendations in the report.
- ✓ Listen and observe. Sometimes behaviors in practice do not match an institution's written policies.
- ✓ Stay positive. Point out things the institution is doing correctly, not just the problems.
- ✓ Be empathetic. Reiterate that you understand that staff and resources are limited, and that the point of the assessment is to help them prioritize their next steps.

7. The CAP Report

Goal

To provide the institution with a prioritized set of recommendations for improved collections care.

Responsibilities of the Assessment Team

Assessors: Compile a draft report reflecting both assessors' recommendations. Adjust the draft based on feedback from the institution before submitting a final report.

Institution: Review a draft report and request clarity as needed.

A quality CAP report is the key tangible outcome of the assessment. Each institution will have unique circumstances that require individual approaches. Although every report will necessarily contain different recommendations, each assessment report should address the following topics:

- General background information about the institution's collection care history
- The goals of the institution
- Staffing and staff training needs, board support
- The collections, their conditions, and the policies governing their care
- Exhibition and storage conditions
- Climate control and environment (e.g. temperature, relative humidity, pollutants, lighting, pest control)
- The condition of the building and facilities (interior, exterior, maintenance and repair, security, safety)
- Institutional emergency preparedness plans
- Prioritized list of recommendations
- Resources for implementation, including relevant publications, tools, funding opportunities, etc.

Format for the CAP Report

It is essential that you coordinate your recommendations with that of the other assessor and come to joint conclusions in a single Executive Summary. While each assessor will contribute independent text to the body of the work, the Executive Summary should be a joint effort that includes support from both assessors. You may find it useful to adapt the following general outline when working with another assessor.

A. Overview of the Report

- a. Introduction to the assessors. Each assessor should write their own bio and description of their background.
- b. Brief description of the institution. Assign one assessor to draft and the other to review.
- c. Explanation of the assessment method. Assign one assessor to draft and the other to review.

B. Executive Summary

- a. Prioritized summary of recommendations for improved collections. Assessors should develop a joint summary after completing their individual recommendations.

C. Observations and Recommendations from Assessor 1

- a. Discussion of current conditions and recommendations that contains full explanations of each concern and recommendation.

D. Observations and Recommendations from Assessor 2

- a. Discussion of current conditions of recommendations that contains full explanations of each concern and recommendation.

E. Appendices and Photos

- a. Include attachments to support your recommendations. Combine both assessors' appendices here.

The Executive Summary should succinctly summarize the important issues raised in the assessment report. It should clearly outline the institution's pressing needs and thus make the case to a board of trustees and potential funders for improving collections care within the institution. Recommendations should be presented in a logical form, with an ordering by priority that will allow the institution to develop a short-term and long-range plan. The rationale for the ordering of priorities also must be evident, as the report will be used to document needs to funding agencies.

Illustrate your recommendations with photos from the site whenever possible. This will help clarify your suggestions and will allow those who were not present for the Site Visit to understand the report.

You may also wish to recommend specific resources for the institution to refer to as they implement your recommendations. A sampling of resources can be found at the Resources tab of the CAP website.

Submitting Your Report

When you and your co-assessor have a finalized draft, one of you must send the report to the institution before the date specified in the agreement. Please be sure to copy your co-assessor and CAP staff (cap@culturalheritage.org).

Institution staff will then review the draft and let you know if they need clarification or wish to request edits in the report. Separately, CAP staff will review the draft and contact you if additional information is required (see Part IV: Accountability). If you do not hear back from the institution with comments on the report by the agreed-upon deadline, you should contact the institution before contacting CAP staff.

Promptly update the report based on the institution's feedback, coordinating with your co-assessor as needed, or explain why the institution's requests cannot be fulfilled. Once it is complete, please email a final PDF report (unless it was requested in another format) to the institution and CAP staff.

Submitting your Invoice

At this time, you should also submit your invoice(s) to the institution and to program staff (cap@culturalheritage.org). You may either:

- Create one invoice that clearly delineates the FAIC allocation vs. the museum's portion of the fees
OR
- Create one invoice for FAIC's allocation and one for the museum's portion of the fees

If you select the latter option, please copy cap@culturalheritage.org on the museum's invoice.

To conform with FAIC accounting standards, invoices must be submitted within 60 days of project completion.

If the FAIC allocation covers any travel, food, or lodging costs, you must submit receipts for these expenses. All federal GSA reimbursement regulations, including the following, apply:

- The federal per diem rate for the institution's location. Current rates can be found at the [U.S. General Services Administration website](https://www.gsa.gov).
- First and last day per diems are calculated at 75% of the daily rate.
- Alcohol is not a reimbursable expense.
- Assessors may use only domestic airline carriers.
- The current federal mileage rate will be applied for assessors using their own vehicle.

CAP staff will confirm with the institution that the final report has been received. Once the institution has verified acceptance of the report, CAP program staff will send you a link¹ to a brief Assessor Feedback Form asking for your opinion and review of the process. Your feedback is essential in helping us understand what is working and what can be improved for future program years.

Once you have submitted the invoice, FAIC will process your invoice and remit a check to you directly within 30 days.

¹ If you prefer a paper version of the Assessor Feedback Form, please request one from CAP program staff.

Report Deadlines

Final reports for all institutions must be complete and submitted to the institution and FAIC before January 31st, 2025.

If you experience problems with the process that may affect your ability to complete the report before Dec 31, contact CAP program staff immediately.

Suggestions for the Report

- ✓ Provide a prioritized Executive Summary with input from both assessors.
- ✓ Maintain a positive tone. Remember that CAP is not an audit to simply pick out problems. Offer concrete and realistic suggestions for improvement.
- ✓ Consider the barriers the institution will face in implementing your recommendations. Offer suggestions for overcoming these barriers.
- ✓ Include references to specific resources (specific grants, publications, software, tools, etc.) the museum can consult as they implement your suggestions.

8. Follow-Up

Goal

To give the institution the opportunity to ask additional questions that may arise during implementation of your suggestions.

Responsibilities of the Assessment Team

Assessors: Identify time for the follow-up consultation and provide additional information to the institution as needed.

Institution: Schedule the call (with both assessors at the same time, if possible). Review and report on any progress to date. Ask for additional information as needed.

Implementation

The institution should begin developing an implementation plan soon after they receive their final report. In practice, however, it often takes several months for institutions to process and begin implementing their CAP recommendations. Providing a structured opportunity for follow-up questions will give the institution the time to digest information in the report and consider possible next steps.

Follow-Up Consultation

Approximately one year after the initial Site Visit, the institution will contact you to schedule a follow-up consultation. Unless an in-person meeting is convenient, the follow-up consultation will most often take the form of a conference call.

The follow-up call should focus on the priorities outlined in the Executive Summary, and is primarily intended to:

1. Give institutions the opportunity to ask follow-up questions, and
2. Help keep the assessment priorities in front of the institutions' staff to encourage follow through.

In the follow-up meeting, assessors should ask institutions for an update on what has been done since the assessment, and what the institution's next steps will be. Your interest in their next steps can help provide motivation and encouragement.

Assessors who neglect to participate in this important final step may be removed from the Approved Assessors list.

PART III: WORKING WITH A CO-ASSESSOR

Working collaboratively with another assessor can sometimes be challenging. You will likely have different approaches to the assessment and different writing styles. While aware of these challenges, we agree with the Getty Conservation Institute's model, [*The Conservation Assessment: A Proposed Model for Evaluating Museum Environmental Management Needs*](#), which describes close collaboration between a collections and building assessor as essential to providing the best outcome for the institution.

The first time you work with another assessor, it will be helpful to speak with them about their professional background and their approach to conservation assessments. Early in the process, you should develop a joint strategy for developing and prioritizing your recommendations. You should also decide on the format for your report and assign writing and editing responsibilities for shared sections.

You may find it helpful to request time during the Site Visit to meet privately to discuss your respective observations and agree on some preliminary recommendations.

The best way to ensure a successful collaboration is to maintain open and frequent communication with your co-assessor throughout the assessment process. Be sure to copy one another on emails to your project contact at the institution to be sure that you both have the same information.

It is important for you to work with the other assessor to create the best report possible for the institution. If you face challenges in this process, please notify CAP staff.

PART IV: ACCOUNTABILITY

CAP assessors are expected to provide excellent professional assessments. The CAP program exists to give small and mid-sized museums the opportunity to work with you for just two days. Institutions invest a tremendous amount of time and resources into preparing for their assessments, and the future of their collections is at stake.

The CAP program aims to develop positive relationships between assessors and institutions and provide quality assessments to every participating institution. If for any reason you feel as though you will not be able to commit to this level of excellence, please do not sign a contract with the institution. You are not expected to accept every assessment that you are offered.

To ensure accountability, assessments are reviewed by CAP program staff and/or the CAP Steering Committee. Reviews will ensure that assessors are abiding by the terms of their Assessor Agreements and providing high quality assessment reports. Specifically, reviews will ensure each report includes the following elements:

- A prioritized executive summary
- A report that is tailored to the assessed institution, rather than a checklist approach with boilerplate language
- Specific examples of problems affecting the institution's collections care and recommendations for improvement

If an assessor is found to be violating the terms of their agreement or providing poor quality assessments, they may be removed from the Approved Assessors list.

All CAP assessors are expected to adhere to the applicable professional or legal code(s) of ethics governing their profession(s) and/or license(s).

PART V: ASSESSOR FAQs

Whom do I contact with questions?

FAIC's CAP staff is always willing to talk about your questions, challenges, or suggestions. You can call them at 202-750-3346 or email them at cap@culturalheritage.org.

What is FAIC's role in the CAP Process? What is IMLS's role?

FAIC administers the CAP program under a cooperative agreement with IMLS. FAIC's CAP program staff are responsible for developing program materials with guidance from a Steering Committee, reviewing applications, guiding assessors and institutions through the process, processing assessor payments, and evaluating and adapting the program.

If I am on the Approved Assessor list, am I guaranteed a job as an assessor?

No. The Approved Assessor list is sent to participating institutions, who can select their assessor at will.

When and how can I expect to receive payment?

Payment information should be part of your contract with the institution. See the CAP Assessment Costs section on pages 5-7 and 17 for more information.

After you have submitted your final report and invoice, CAP staff will review the report as outlined in Part IV of the Handbook and verify that the institution has received it as well. After verification, CAP staff will process your allocated payment. You should expect payment for your professional fee from FAIC within 30 days of the submission of FAIC's invoice and final report. The remaining fees will be paid directly by the institution.



Collections Assessment for Preservation

Attachment A: Contributed Time Form

A Microsoft Excel version of this document is available at
<https://www.culturalheritage.org/resources/collections-care-for-institutions/cap/assessors/assessor-resources>

Assessor Name: _____

CAP Museum Name: _____

| CAP Time Contributed Tracker | |
|------------------------------------------------------------|--------------------|
| Step | Hours Contributed* |
| Reviewing the Program Handbook and orientation webinar | |
| Reviewing Application and Site Questionnaire | |
| Participating in the pre-visit phone call | |
| Preparing for and Participating in the site visit | |
| Writing the draft report | |
| Responding to museum regarding draft report comments | |
| Completion of final report | |
| Completing the Assessor Feedback Form | |
| | |
| | |
| | |
| | |
| | |
| Total hours contributed to CAP: | |
| *Total value of contributed hours: | \$ |
| Indirect costs ** at _____% of the line above | +\$ |
| Total value of contributed time | \$ |
| Total professional fees received from FAIC / museum | -\$ |
| Total value of donated time | = |

*When calculating the value for the total number of hours please include total value of salary and benefits when determining an hourly rate.

** If you do not have a federally negotiated overhead rate, use the standard rate of 10%.

Have any federal funds been used to support the positions above? ___ Yes ___ No

Attachment B: Contract Template

The following document is a sample Museum-Assessor agreement. A Microsoft Excel version of this document is available on the Assessor Resource Page of the CAP website <https://www.culturalheritage.org/resources/collections-care-for-institutions/cap/assessors/assessor-resources>. While institutions and assessors may modify the agreement as needed, all contracts should include an itemized list of tasks to be completed, timeline, the party responsible for arranging travel, and fee schedule. Modifications that alter that tenants of the program or that conflict with program policies will not be accepted by FAIC. All contracts must include the second paragraph exactly as it is written. Any changes to the contract, after it has been approved by FAIC must be submitted to CAP staff for review.

CAP Assessment Agreement

This contract is between _____ [participating institution], hereafter referred to as “the institution” and _____ [assessor’s name], hereafter referred to as “the assessor,” regarding a general conservation assessment to be provided by the assessor through the Collections Assessment for Preservation (CAP) program.

CAP is administered by the Foundation for Advancement in Conservation (FAIC). FAIC’s sole responsibility is to administer the CAP program. FAIC assumes no additional responsibility or liability.

Assessor’s Responsibilities

The assessor agrees to fully participate in the assessment by:

1. Preparing for the assessment by reviewing the institution’s Application and Pre-Site Visit Questionnaire.
2. Participating in a pre-visit phone call in conjunction with the rest of the Assessment Team.
3. Performing a general conservation assessment during a two-day site visit in conjunction with any additional assessors.
4. Collaborating with any additional assessors to produce a single written CAP Report, as outlined in the *CAP Assessor Handbook*.
5. Participating in a follow-up consultation 12 months after the initial CAP assessment.
6. Adhering to the professional code(s) of ethics governing his/her respective profession(s) and license(s).

All responsibilities are to be completed in accordance with the CAP timeline listed below.

Institution’s Responsibilities

The institution agrees to fully participate in the assessment by:

1. Completing the Site Questionnaire and providing additional information to the assessor as requested.
2. Participating in a pre-visit phone call in conjunction with the rest of the Assessment Team.
3. Meeting with the assessors and providing a full site tour during the site visit.
4. Providing feedback to the assessment drafts.
5. Participating in a follow-up consultation 12 months after the initial CAP assessment.
6. Promptly paying the assessment fees below beyond those covered by the CAP allocation.

All responsibilities are to be completed in accordance with the schedule listed below.

Travel arrangements will be made by _____ [assessor or institution].

Schedule

Site Questionnaire Due to CAP (must be before September 30th) [Dates]
 Pre-Visit Phone Call: [Date and time]
 Site Visit: [Dates]
 Draft Report Due to CAP staff and Institution: [Date]
 Deadline for Comments on Draft from the Institution: Final Report Due [Date]
 to CAP staff and Institution: [Date]

The institution will schedule the one-year follow-up consultation at a time convenient to all parties.

FAIC has awarded this institution an allocation of \$_____ per assessor.

Assessment Fees

| Item | Amount |
|----------------------------------|----------|
| Professional Fees | \$ _____ |
| | |
| Travel* | |
| Transportation | \$ _____ |
| Lodging | \$ _____ |
| Meals/GSA per diem | \$ _____ |
| Other | \$ _____ |
| Total | |
| | |
| Allocation to be paid by FAIC | |
| Amount to be paid by institution | |

It is understood that FAIC will send the CAP allocation directly to the assessor after the museum and FAIC have accepted the assessment report. The institution will be responsible for paying the assessor the remaining amount due. Should the fees total less than the allocation, FAIC will pay the lesser amount.

*Assessors must save and submit receipts for all travel, lodging, meals, and other reimbursable expenses in order to receive reimbursement. Exceptions include mileage and per diem, for which GSA rates (<https://www.gsa.gov/travel/plan-book/per-diem-rates>) may be used.

Cancellation/Force Majeure

If circumstances beyond the control of FAIC, the institution, and/or the assessor (e.g. illness, catastrophic weather event, terrorist attack, pandemic, etc.) require the cancellation of the site visit or any component of this agreement, every effort will be made to adjust the schedule to a timeline suitable to all, acknowledging programmatic and funding restrictions faced by FAIC. If rescheduling is not possible, this agreement may be cancelled upon notice to all parties. If cancellation occurs before the site visit, no payment to the assessor shall be due. If cancellation occurs after the site visit but before completion of the final report, FAIC will compensate the assessor with 40% of the allocation amount, and the institution shall

reimburse any non-refundable travel and out-of-pocket expenditures made before the time of notification.

If the assessor cancels services for reasons outside of force majeure, Assessor shall not receive the professional fee. Any nonrefundable travel expenses must be absorbed by Assessor.

Institution's Signature

Signature of institution's authorizing official: _____

Printed name: _____ Date: _____

Phone: _____ Email: _____

Address:

Assessor's Signature

Signature of assessor: _____

Printed name: _____ Date: _____

Company name (if applicable): _____

Phone: _____ Email: _____

Address:

FAIC Approval

Signature of CAP Staff: _____

Printed name: _____ Date: _____

Attachment C: Assessor's Guide to the Application and Site Questionnaire

After completing a contract with an institution, CAP staff will email you the institution's completed application and site questionnaire. The following guide offers suggestions for utilizing the institution's responses to the CAP Application and Site Questionnaire as a basis for extracting additional information and writing the report.

This guide maintains the original order of questions in these two documents, though the format may appear different because of the online application formatting.

Ideas for follow-up questions or items to observe during the site visit are listed in **blue**. These follow-up questions are only suggestions intended to assist with the process and should not be considered mandatory or relevant to all institutions.

Application

1. General Information

Applicant institution: _____

Applicant parent institution (if applicable): _____

Institutional mailing address: _____

City: _____ State: _____ Zip: _____

Website: _____

EIN/TIN[^] number: _____

Project Contact (*The project contact should be the person who will administer the CAP Program for the institution. All CAP correspondence will be directed to this person.*)

Mr. Ms. Miss Mrs. Dr. Prof. Rev

Name: _____

Title: _____

Phone: _____ E-mail: _____

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

Governing Control of Applicant (check one)

- state county municipal private
 nonprofit university tribal government other, specify: _____

Type of Organization (check one)

- Aviation / Air and Space Museum
- Anthropology Museum
- Aquarium
- Arboretum/Botanical Garden
- Art Museum
- Children's/Youth Museum
- General Museum (A museum with collections representing two or more disciplines equally, such as a museum of art and natural history.)
- Historic House/Site
- History Museum
- Maritime Museum
- Military Museum
- Natural History Museum
- Nature Center
- Planetarium
- Science/ Technology Museum
- Sculpture Park
- Specialized Museum (A museum with collections limited to one narrowly defined discipline, such as a postal museum or musical instrument museum.)
- Zoological park
- Other (please specify: _____)

Does your institution have a parent organization? Yes No

If yes, what is the name of the parent organization?

What is your institution's mission statement?

In what year was the institution first open to the public? _____

Does your organization exist on a permanent basis for educational or aesthetic purposes?
 Yes No

Does your institution own tangible objects, whether animate or inanimate?

Yes No

Are these objects available to the public through exhibition and/or research on a regular basis?

Yes No

Does your institution have at least one full-time paid or unpaid staff member or the equivalent combination of part-time staff, whose responsibilities relate solely to the institution's activities?

Yes No

Can assessors review the entire collection and buildings within a two-day site visit ? (consider all buildings that house collections, including any off-site storage)

Yes No

2. General Operating Budget

What was your institution's approximate operating budget for the most recently completed operating year: \$_____

3. Staff

Number of **paid** staff:

Full-time _____

Part-time _____

Number of **non-paid** staff:

Full-time _____

Part-time _____

List the key staff (paid and volunteer) who work with collections and exhibitions, along with their average hours per week. **Since job titles vary among institutions, please briefly explain each staff member's responsibilities.**

Name: _____ **Title:** _____

Volunteer or Paid

Hours per week: _____

Responsibilities: _____

Name: _____ **Title:** _____

Volunteer or Paid

Hours per week: _____

Responsibilities: _____

Name: _____ Title: _____

Volunteer or Paid

Hours per week: _____

Responsibilities: _____

Name: _____ Title: _____

Volunteer or Paid

Hours per week: _____

Responsibilities: _____

Name: _____ Title: _____

Volunteer or Paid

Hours per week: _____

Responsibilities: _____

Name: _____ Title: _____

Volunteer or Paid

Hours per week: _____

Responsibilities: _____

(Attach a list of additional relevant staff if necessary.)

Follow Up Question

Do you have an organizational chart that shows who reports to whom?

How long have staff been in these positions, are some staff new to the organization?

4. Goals

What goals does the organization have for this assessment? (Check all that apply.)

- Develop a long-range preservation/conservation plan for collections
- Improve collections care
- Increase staff and board awareness of collections conservation concerns
- Improve the preservation of the building

- Improve environmental conditions
- Improve storage conditions
- Use as a tool to obtain funding for collections care
- Prepare for accreditation
- Other: _____

Comments/special concerns:

Follow Up Question

Does your institution's leadership (Director, board members, etc.) share these goals?
 Can you identify your highest priorities from the goals selected?
 Are there any institutional barriers or resistance to improved collections care?

5. Site Information

Site area:

- less than 1 acre
- 1-5 acres
- 6-10 acres
- more than 10 acres

How many buildings hold collections storage or exhibitions?

Are they all on the same site? Yes No

If no, where are the buildings located?

Does your organization own all of the land and buildings it occupies? Yes No

If not, please explain.

Follow Up Question

If the museum doesn't own all the land and buildings, is there an attempt to secure ownership?
 What are the barriers?

Do you have any historic structures that are considered part of the collection, even if they do not house additional collections?

6. Building Information

Complete the following section for each structure that houses collections storage or exhibition space. Attach additional pages if necessary.

Building #1

Building name: _____

Number of stories in building: _____

Which stories include space for exhibitions? (include attic and/or basements if applicable):

Which stories include space for storage? (include attic and/or basements if applicable):

Approximate square footage or dimensions of space occupied by exhibitions: _____

Approximate square footage or dimensions of space occupied by collections storage:

Type of structure:

- modern building built as a museum or collections space
- older building (50 years or older) built as a museum or collections space
- older or historic structure not originally designed as a museum or collections space
- building shared with other non-museum activities
- other: _____

Approximate construction date: _____

Does the building have additions? Yes No

If yes, please list approximate construction date(s) of the additions: _____

Is this building (select all that apply):

- built on a slab
- built over a basement
- built over a crawlspace
- other (please specify): _____

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

- collections
- storage
- exhibits (with artifacts)
- office space
- other: _____

Please use this space to share any additional information you would like to share about Building #1 (optional).

Building #2 (if applicable)

Building name: _____

Number of stories in building: _____

Which stories include space for exhibitions? (include attic and/or basements if applicable):

Which stories include space for storage? (include attic and/or basements if applicable):

Approximate square footage or dimensions of space occupied by exhibitions: _____

Approximate square footage or dimensions of space occupied by collections storage:

Type of structure:

- modern building built as a museum or collections space
- older building (50 years or older) built as a museum or collections space
- older or historic structure not originally designed as a museum or collections space
- building shared with other non-museum activities
- other: _____

Approximate construction date: _____

Does the building have additions? Yes No

If yes, please list approximate construction date(s) of the additions: _____

Is this building (select all that apply):

- built on a slab
- built over a basement
- built over a crawlspace
- other (please specify): _____

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

- collections
- storage
- exhibits (with artifacts)
- office space
- other: _____

Please use this space to share any additional information you would like to share about Building #2 (optional).

Building #3 (if applicable)

Building name: _____

Number of stories in building: _____

Which stories include space for exhibitions? (include attic and/or basements if applicable):

Which stories include space for storage? (include attic and/or basements if applicable):

Approximate square footage or dimensions of space occupied by exhibitions: _____

Approximate square footage or dimensions of space occupied by collections storage:

Type of structure:

- modern building built as a museum or collections space
- older building (50 years or older) built as a museum or collections space
- older or historic structure not originally designed as a museum or collections space
- building shared with other non-museum activities
- other: _____

Approximate construction date: _____

Does the building have additions? Yes No

If yes, please list approximate construction date(s) of the additions: _____

Is this building (select all that apply):

- built on a slab
- built over a basement
- built over a crawlspace
- other (please specify): _____

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

- collections
- storage
- exhibits (with artifacts)
- office space
- other: _____

Please use this space to share any additional information you would like to share about Building #3 (optional).

If your site contains more than three structures that house collections, please upload a document that lists all additional structures. Please include all information requested above for each structure.

Follow Up Question

Are any buildings on the National Register of Historic Places? Are any National Historic Landmarks?

Has the institution ever engaged a consultant to survey all or part of the buildings?

7. Additional Information

For the following questions, attach additional pages as needed.

Explain the significance of your organization's collections and how they are used. (Please limit your response to no more than 500 words.)

What are your biggest concerns regarding the collection? (Please limit your response to no more than 500 words.)

How does this proposed assessment fit into the institution's overall preservation goals? (Please limit your response to no more than 500 words.)

Supplement A: For Museums and Historic Sites

Is a significant portion of the collection held on loan, or owned by another institution?

Yes No

If yes, please explain:

Please mark the column that reflects the approximate size and composition of your collection for each collection type in the chart below. Exact numbers are not expected. Please estimate to the best of your ability.

| Collection type | Number of Objects | | | | |
|-------------------------------------------------|-------------------|---------|-------------|----------------|---------|
| | 0 | 1 - 100 | 101 - 1,000 | 1,001 - 10,000 | 10,001+ |
| Archaeological/paleontological artifacts | | | | | |
| Arms and armor/weapons | | | | | |
| Baskets | | | | | |
| Botany (live) | | | | | |
| Botany (herbaria) | | | | | |
| Ceramics and glass | | | | | |
| Digital (born-digital) | | | | | |
| Ethnographic artifacts | | | | | |
| Furniture | | | | | |
| Geology/mineralogy | | | | | |
| Industrial/agricultural tools and equipment | | | | | |
| Leather/animal hides | | | | | |
| Library/books/archival materials | | | | | |
| Metal objects | | | | | |
| Musical instruments | | | | | |
| Paintings | | | | | |
| Paleontological Specimens | | | | | |
| Photographic materials | | | | | |
| Science/technology/medicinal artifacts | | | | | |
| Sculpture | | | | | |
| Stone objects | | | | | |
| Taxidermy | | | | | |
| Textiles and costume | | | | | |
| Time based media (film, audio recordings, etc.) | | | | | |
| Transportation vehicles | | | | | |
| Works on paper | | | | | |

| | | | | | |
|---------------------------------------------|--|--|--|--|--|
| Wet collections/fluid preserved collections | | | | | |
| Wood objects | | | | | |
| Zoology (live) | | | | | |
| Zoology (preserved) | | | | | |
| Other (specify:) | | | | | |
| | | | | | |

Total number of objects in the collection (*please estimate if exact numbers are unavailable*):

Supplement B: For Arboreta and Botanical Gardens

1. Collections and Collection Records

Please share the approximate size and composition of your collection by answering the questions below. Exact numbers are not expected. Please estimate to the best of your ability.

Approximately how many different living plant specimens does the institution maintain? _____

Approximately how many herbarium specimens does the institution maintain? _____

What is the size and composition of the institution's collections? (*check one box for each row*)

| | 0 | 1 - 100 | 101 - 1,000 | 1,001 + |
|-----------------|----------|----------------|--------------------|----------------|
| Woody | | | | |
| Non-woody | | | | |
| Hardy at site | | | | |
| Not hardy | | | | |
| Annual/Seasonal | | | | |

2. Facilities Information

Approximately what percentage of the land is used for:

Cultivated collections? _____ %

Natural areas? ____ %

Visitor services (restrooms, food and beverage services, picnic or recreation areas, parking lots, etc.)?

Administration and maintenance? ____ %

other: ____ %

Follow Up Question

Do you have a map of the property that you can share?

3. Non-Living Collections

Are there non-living collections that the institution wishes to have assessed?

Yes No

If yes, please complete Supplement A: For Museums and Historic Sites in addition to this Supplement.

Supplement C: For Zoos and Aquariums

1. General Information

Is the institution accredited by the Association of Zoos and Aquariums? Yes No

If yes, date: _____

Institutions that are AZA accredited may receive an assessment of facilities and any non-living collections through the CAP Program. Institutions that are not AZA accredited may receive an assessment of their living collections and facilities.

2. Collections and Collection Records

Select the number range that best describes the approximate number of animals in your collection for each taxonomical group. Please estimate to the best of your ability.

| | Number of Species | Number of Specimen |
|-------|-------------------|--------------------|
| Birds | | |
| Fish | | |

| | | |
|-------------------------|--|--|
| Invertebrates | | |
| Mammals | | |
| Reptiles and Amphibians | | |
| Other (specify): | | |
| | | |

Follow-Up Question

Do you have a recent animal inventory that you can share?

3. Facilities Information

Approximately what percentage of the land is used for:

Animal habitats? ____ %

Natural areas? ____ %

Visitor services (restrooms, food and beverage services, picnic or recreation areas, parking lots, etc.)?

Administration and maintenance? _____ %

Other? ____ %

Follow-Up Question

Do you have a map of the property that you can share?

4. Non-Living Collections

Are there non-living collections that the institution wishes to have assessed?

Yes No

If yes, please complete Supplement A: For Museums and Historic Sites in addition to this Supplement.

Site Questionnaire

This questionnaire will help your institution and your assessors prepare for the site visit. Answer each question to the best of your ability, engaging additional staff members as necessary. Your assessors will use this questionnaire as a guide during the pre-visit phone call and site visit. You should be prepared to provide additional information (or identify the best member of your staff to provide that information) on these topics as requested by your assessors.

Please review the information you provided in your application. If any information has changed, please describe the changes below.

Your assessors may request copies of additional information before the site visit. In anticipation of those requests, please indicate if you have access to any of the following: (*check all that apply*)

- Organizational chart
- Collections management policy
- Collections management forms (such as accession forms, temporary custody forms, loan forms, reproduction and use policies, etc.)
- Collections inventory
- Copies of previous reports (such as collections assessments, building assessments, preservation or conservation plans, studies from prior work, etc.)
- Emergency Preparedness Plan
- Architectural drawings, original blueprints, or floor plans with rooms identified
- Other building records, such as a history of construction, changes, or previous repair projects
- HVAC specifications
- Data logger files
- Annual building maintenance plan
- Photographs of the site
- Pest management protocol
- Written job descriptions for staff/volunteers who work with collections

Follow Up

The availability of these documents is a trigger for you to request copies directly from the institution. Discuss with the institution prior to the site visit the best way to provide these documents. This could be as pdf files that are emailed, or a shared google drive, or if they do not have electronic copies making them available during the site visit.

Written policies may differ from actual practice. Compare all written policies to what you observe during the site visit and note any discrepancies.

General Information

Institution Name: _____
Project Contact Name: _____
Phone: _____
Email: _____

Organizational Structure

Is your organization governed by a board? Yes No

If yes, how many members are on the board? _____

Do board members have term limits? Yes No

If yes, what is their term of service? _____ years

Visitorship

What hours is your institution open to the public each day? Please be as specific as possible, indicating any changes by day of the week or season. (e.g. – *From May 1 through September 30, we are open from 10 a.m. to 7 p.m. all 7 days per week. From October 1 through April 30, we are open from 10 a.m. to 5 p.m. on Tuesday through Sunday only.*)

Approximately how many visitors do you receive annually? _____

Building Concerns

Is there is a history of recurring problems in any of the following areas? (Check all that apply.)

- basement flooding/wet basement
- wall condensation
- window condensation/leaks
- roof leaks
- plumbing leaks
- cold water pipe condensation
- stained walls
- stained ceilings
- electrical problems
- blown fuses/tripped circuits
- exterior structural problems
- interior structural problems
- flooding on grounds
- other facility problems (*specify*): _____

If yes, please explain:

Follow Up Question

Who oversees building maintenance? [The building assessor will want to meet with this person during the site visit.]

Is there pavement around the building(s)? Does it drain away from the building(s)?

Are there plants or trees around the building(s)? How close? Do they present any concern?

What water sources exist in and around the building(s)? Fountains? Ornamental ponds? Irrigation systems? Drainage systems? Sewage systems? Pumps?

Pest Control

Has your institution ever had a pest problem (insects, rodents, birds, bats, etc.)?

Yes No Don't know

If yes, please describe the type of pest and what (if anything) has been done to address the problem. _____

Have you ever observed mold, mildew, or fungi on or around collections?

Yes No Don't know

If yes, please describe the problem and what (if anything) has been done to address the problem? _____

Are insecticides used? Yes No Don't know

If yes, where and how often are they applied? _____

Do you have a pest management (prevention and control) program?

Yes No

If yes, please describe your pest management program.

Where is food prepared, stored, or consumed on site?

Do you hold special events (such as parties, receptions, rental events, etc.)?

Yes No

If yes, where? _____

Follow-Up Question

Are insecticides used? Where, and how are they applied?

Security

Do you have any of the follow security measures for the collections? (*check all that apply*)

- locks on storage doors
- locked gates/cages
- assigned keys
- locked exhibition cases
- sign in/out logs
- video security cameras
- perimeter alarms
- security guards
- restricted entry systems (e.g. – key cards or fobs)
- other (*specify*): _____

Have you ever experienced a theft of your collections? Yes No

If yes, briefly explain. _____

Within the last five years, has there been vandalism or accidental damage due to improper use (touching, climbing) at your site?

Yes No

If yes, briefly explain. _____

Follow-Up Question

Do you require researchers to sign in and out? Are they supervised?

Emergency Preparedness

Has any part of the collection been damaged by natural or other disasters in the past five years?

Yes No

If yes, briefly explain. _____

Follow Up Question

Does your region experience any of the following: floods, mud slides, hurricanes, earthquakes, wildfires, volcanic activity, tornados, heavy ice/snow? If you have an Emergency Preparedness Plan, does it address these scenarios?

Is your site near a power plant, industrial plant, dam, railroad line, industrial trucking route, or other potential source of disaster? If you have an Emergency Preparedness Plan, does it address possible emergencies from these neighbors?

Do you have a written emergency preparedness plan that includes directives for the collections?

- Yes In development No Don't know

Follow Up Question

Who has copies of the plan? Where are they kept? How often is it reviewed? Do you hold emergency simulation trainings?

Do you have emergency supplies for protection or salvage of collections? If so, where are they kept?

Do local emergency responders have copies of the plan? Were they consulted in its development?

Have you met with local emergency responders to inform them of the special nature of the buildings and collections?

Is your plan practiced by staff periodically? How often/when was the last practice held?

Do you have a climate resilience plan?

Do you have insurance policies for the collections?

- Yes In development No Don't know

Do you maintain duplicate records/photographs of the collections offsite or stored in a cloud-based system?

- Yes No

If yes, where are they stored?

- Cloud In a physical location off-site

(Specify: _____)

How often are they backed up?

Do all buildings have smoke alarms? Yes No

Do you have a fire detection system that reports directly to the fire department or security company? Yes No

Do you have a fire suppression system? Yes No

If yes, what type of fire suppression system do you have? (*Check all that apply.*)

- wet pipe sprinkler system
 dry pipe sprinkler system
 gas fire suppression system, such as Halon
 hand-held extinguishers, such as ABC, water, or CO2
 Other (specify): _____

Follow Up Question

Do staff members know where to find fire extinguishers, and know how to use them?

Questions for Museums and Historic Sites

Collections Control

Approximately what percentage of the permanent collection is:

Inventoried _____%

Cataloged _____%

photographed _____%

Are any collections materials used in hands-on, educational activities?

Yes No

If yes, what types of objects are used for this purpose? _____

Do you have collection objects that are located outdoors (e.g. – sculpture, farm equipment, transportation vehicles, etc.)?

Yes No

If yes, please describe your outdoor collections. _____

Loans

Does your museum lend objects to or borrow from other institutions? Yes No

If yes, approximately what percentage of objects currently on display in exhibitions are borrowed from other institutions? _____%

Does your staff perform condition reports before and after the loan of objects?

Yes No

Does your museum use a contract that specifies terms for the loan of objects?

Yes No

If yes, does the contract include insurance provisions?

Yes No

Please use this space to share any additional information about loans. _____

Follow Up Question

How are materials packaged and transported? Who is responsible for that work?

Staff Training

Which person is primarily responsible for collections care? (*List name and title*)

Does this person's job description reflect these activities?

Yes No Don't know Not applicable

Is there a conservator on staff? Yes No

Follow Up Question

Who is responsible for preparing collections for exhibit, loan, research, or storage? Who is responsible for labeling collections?

Is training provided for staff and volunteers in any of the following areas? Training may include onsite training by museum supervisor, webinars, workshops, etc.

| | | | |
|-------------------------------------|------------------------------|-----------------------------|-----------------------------------------|
| collections preservation activities | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> Not applicable |
| object handling | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> Not applicable |
| labeling/marketing objects | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> Not applicable |
| packing/unpacking techniques | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> Not applicable |
| building maintenance and repair | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> Not applicable |
| general housekeeping and cleaning | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> Not applicable |

Follow Up Question

Who provides the training?

Please use this space to share any additional information about staff training.

Follow Up Question

Does your staff have janitorial or housekeeping staff? Do they clean in collections/exhibitions spaces? Have they been trained in safe cleaning methods?

Conservation Activities

Does your museum have a long-range conservation plan for collections?

Yes Plan under development No Don't know

Have you ever obtained conservation services on a contractual basis? Yes No

If yes, how often have you obtained conservation services in the past 5 years? (*check one*)

0 times 1-2 times 3-5 times More than 5 times

Are funds regularly expended on collections conservation at your institution?

Yes No

If yes, how does your institution allocate funds for conservation? (*Check all that apply.*)

- Collections conservation is an item in our annual budget
- Funds are allocated in response to a need
- Funds are sought through grants or donations in response to a need
- Other: _____

Follow Up Question

How do you decide what is in need of conservation?

Exhibitions

Approximately what percentage of the collection is typically on exhibition? _____%

Are there permanent exhibitions? Yes No

If yes, are objects in permanent exhibitions rotated on and off exhibit? Yes No

If yes, how often are objects rotated? _____

Are there temporary exhibitions? Yes No

If yes, how often do the temporary exhibitions change? _____

Are collections materials displayed in areas other than the exhibition galleries (e.g., offices, entrance, outdoors, offsite, etc.)? Yes No

If yes, where? _____

Storage

Are storage spaces organized by: (*check all that apply*)

- size
- material
- accession number/collection number
- object type
- taxon
- no formal organization system
- other (*specify*): _____

Who has access to storage areas?

Are collections storage areas used for other purposes (such as office space, cataloging, storing of non-collections related items, etc.)?

Yes No

If yes, describe: _____

Follow Up Question

Are collections storage areas used for the storage of items other than collections?

Does your museum have temporary storage or preparation areas?

Yes No

If yes, please describe: _____

Climate Control and Environment

Do buildings that house collections have a central heating, ventilating, and air conditioning (HVAC) system?

- Yes, **ALL** buildings that house collections have HVAC systems
- Yes, **SOME** buildings that house collections have HVAC systems
Which buildings have HVAC? _____
- No buildings have HVAC systems

Do any buildings with an HVAC system have separate temperature zones within the centralized system?

- Yes
- No

Do any buildings with an HVAC system have separate humidity zones within the centralized system?

- Yes
- No

Do you believe the system is working properly?

- Yes
- No

What are the typical temperature and humidity set points for COLLECTIONS STORAGE areas?

What are the typical temperature and humidity set points for EXHIBITION areas?

Are there different settings for evening/unoccupied times in collections and exhibition spaces?

- Yes
- No
- Yes, in some areas

Is there an air filtration system connected to the HVAC system? Yes No

Are any of the following used in the building: (*check all that apply*)

- portable humidifier
- portable dehumidifier
- space heater
- window air conditioner

Are doors and/or windows ever propped open? Yes No

Are environmental conditions monitored in any part of the building?

- Yes
- No

If so, what type of monitoring equipment is used? (*Check all that apply.*)

- thermometers
- sling psychrometer
- hygrometers
- recording hygrothermographs
- thermo-hygrometers
- data loggers
- battery operated psychrometer
- other (*specify*): _____

Illumination

What types of lighting are used in exhibition and storage spaces? (Check the boxes for all that apply.)

| | Natural Daylight | Fluorescent Light | Incandescent light | Tungsten halogen | LED |
|-------------------|------------------|-------------------|--------------------|------------------|-----|
| Exhibition spaces | | | | | |
| Storage spaces | | | | | |

Is UV filtration installed in any part of the building? Yes No

Are light levels monitored in any part of the building? Yes No

If yes, where?

- all areas with collections (exhibits, storage, etc.)
- some areas with collections, but not all

If yes, what light monitoring equipment do you use? (Check all that apply.)

- footcandle or lux meter
- photo light meter
- surface temperature thermometer
- ultraviolet (UV meter)

Please use this space to describe any additional concerns you may have related to the care of your collections. _____

Follow Up Question

When are lights turned on in exhibition and storage areas?

What types of photography are permitted around collections?

Questions for Arboreta and Botanical Gardens

Greenhouse Information

What type of environmental control is used in your greenhouse(s)?

- single zone
- multiple zones

If multiple zones, how many independently controlled zones are there _____

What form of ventilation is used in your greenhouse(s)?

- vents
- fans
- screens
- other (Specify: _____)

Does the greenhouse have low and high temperature alarms? Yes No

Follow Up Question

Who receives the alarm notification? How often have you received temperature alarms?

Does the greenhouse have a backup heating and power generating capacity? Yes No

Collections and Collections Policies

Approximately what percentage of the permanent living collection is inventoried?^ _____ %

What do you believe to be threats to the collection? (*check all that apply*)

- invasive plants
- overuse of trails
- erosion
- diseases
- air pollution
- urban sprawl
- severe weather/storms
- vandalism
- severe animal browse
- insects
- other (*specify*): _____

Does the institution lend objects to or borrow from other institutions? Yes No

If yes, does the institution use a contract that specifies terms for the loan of objects?

- Yes No

If yes, does the contract include insurance provisions?

- Yes No

Do you track plant records through a digital software system? Yes No

If yes, which software? _____

Are funds regularly expended on collections conservation at your institution?

- Yes No

If yes, how does your institution allocate funds for conservation? (*Check all that apply.*)

- Collections conservation is an item in our annual budget
- Funds are allocated in response to a need
- Funds are sought through grants or donations in response to a need
- Other: _____

Staff Training

Which person is primarily responsible for collections care? *(List name and title)*

Does this person's job description reflect these activities?

Yes No Don't know Not applicable

Is formal training provided for staff (paid or nonpaid) in any of the following areas?

| | | | |
|-----------------------------------|------------------------------|-----------------------------|-----------------------------------------|
| collections care | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> Not applicable |
| labeling/marketing specimen | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> Not applicable |
| environmental management | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> Not applicable |
| building maintenance and repair | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> Not applicable |
| general housekeeping and cleaning | <input type="checkbox"/> Yes | <input type="checkbox"/> No | <input type="checkbox"/> Not applicable |

Please use this space to share any additional information about staff training.

Please use this space to describe any additional concerns you may have related to the care of your collections.

If you are having an assessment of nonliving collections, please also complete the Questions for Museums and Historic Sites section.

Follow Up Question

Do you have an agreement with another institution(s) for the temporary housing and care of living collections in the event of an emergency?

Questions for Zoos and Aquariums

Collections and Collections Policies

Is your institution accredited by the Association of Zoos and Aquariums? Yes No

Approximately what percentage of the permanent collection is inventoried? _____%

What was the date of the last inventory? _____

How does your institution maintain animal records? *(check all that apply)*

on paper / manually by computer/digitally

Does your institution have a policy of disposition of surplus animals?

Yes No

Do you have an agreement with another institution (s) for the temporary housing and care of living collections in the event of an emergency?

- Yes No

Are funds regularly expended on collections conservation at your institution?

- Yes No

If yes, how does your institution allocate funds for conservation? (*Check all that apply.*)

- Collections conservation is an item in our annual budget
 Funds are allocated in response to a need
 Funds are sought through grants or donations in response to a need
 Other: _____

Follow Up Question

Do you have quarantine space for animals?

Staff

Does your institution employ a full-time veterinarian? Yes No

If not, how are veterinary needs met? _____

How often does a vet visit? _____

How many full-time animal care specialists are on staff? _____

How many part-time animal care specialists are on staff? _____

Loans

Does your organization lend objects to or borrow from other institutions? Yes No

If yes, does your organization use a contract that specifies terms for the loan of objects?

- Yes No

If yes, does the contract include insurance provisions?

- Yes No

Climate Control and Environment

Do all buildings that house collections have a central heating, ventilating, and air conditioning (HVAC) system?

- Yes, **ALL** buildings that house collections have HVAC systems
 Yes, **SOME** buildings that house collections have HVAC systems

- No buildings have HVAC systems

If yes, do you believe the systems are working properly?

- Yes
- No

Are environmental conditions monitored in any part of the buildings?

- Yes
- No

If so, what type of monitoring equipment is used?

- thermometers
- sling psychrometer
- hygrometers
- recording hygrothermographs
- thermo-hygrometers
- data loggers
- battery operated psychrometer

Follow Up Question

What type of life support systems are required? How often are they checked and maintained?

Does the institution have an emergency plan for injury by an animal?

Does the institution have a procedure in the event of animal escape?

Do you have an agreement with another institution(s) for the temporary housing and care of animals in the event of an emergency? Do you have a transport plan?

Please use this space to describe any additional concerns you may have related to the care of your collections.

If you are having an assessment of nonliving collections, please also complete the Questions for Museums and Historic Sites section.

Attachment D: Conservation Assessment Model

The Getty Conservation Institute published an excellent tool to assist preservation professionals in the assessment of cultural institutions. *The Conservation Assessment: A Proposed Model for Evaluating Museum Environmental Management Needs* outlines specific topics that assessors might wish to consider in their review of a site.

Download the pdf at the Getty

https://www.getty.edu/conservation/publications_resources/pdf_publications/evaluating_museum_environmental_mngmnt.html.

Or download from the CAP Assessor Resource Page of our website

<https://www.culturalheritage.org/resources/collections-care/cap/assessors/assessor-resources>