



Conservation
Assessment
Program

Handbook for 2011

Participating Institutions



Heritage Preservation

The National Institute for Conservation

Heritage Preservation is a national non-profit organization dedicated to preserving the cultural heritage of the United States. By identifying risks, developing innovative programs, and providing broad public access to expert advice, Heritage Preservation assists museums, libraries, archives, historic preservation and other organizations, as well as individuals, in caring for our endangered heritage.

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Heritage Preservation's Conservation Assessment Program (CAP) provides general assessments for small to mid-sized museums. The CAP Advisory Committee oversees the program and is made up of conservators, historic structures assessors, and past CAP participants. The Advisory Committee provides guidance on the management and improvement of the program.



CAP is supported through a cooperative agreement with the Institute of Museum and Library Services. The Institute is the primary source of federal support for the nation's 123,000 libraries and 17,500 museums. The Institute's mission is to create strong libraries and museums that connect people to information and ideas. The Institute works at the national level and in coordination with state and local organizations to sustain heritage, culture, and knowledge; enhance learning and innovation; and support professional development. To learn more about IMLS, visit www.imls.gov.

Heritage Preservation also receives funding from the National Park Service, Department of the Interior. The content and opinions contained in this publication do not necessarily reflect the views or policies of the Department of the Interior or the Institute of Museum and Library Services.

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Program Overview

What is the Conservation Assessment Program?

The Conservation Assessment Program (CAP) is a technical assistance program that provides eligible museums with a general conservation assessment.

Unlike a detailed object-by-object survey, a general conservation assessment is a broad study of the policies, practices, and conditions that affect the care and preservation of collections. It is conducted by a conservation professional (also called an assessor) and has three components: a self-study questionnaire undertaken by the museum's staff, the gathering of information on-site by assessors, and the interpreting and reporting of that information. A completed conservation assessment report identifies and describes the problems that affect the preservation of collections and historic structures, analyzes the causes of these problems, and suggests a plan of action.

CAP does not provide for any activities outside a general conservation assessment, such as conservation treatment or supplies, building preservation projects, or general operating costs.

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. 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. Botanical gardens and arboreta may use CAP to assess the conservation needs of both their living and non-living collections.

Around seventy percent of CAP participants require two assessors to fully assess their museums. While the term 'assessor' is used in the singular throughout this text, please keep in mind that your museum may be working with two CAP assessors.

How can CAP help my museum?

An assessment of the museum's collections and facilities is the first step in addressing conservation needs. CAP can identify problems and, if the suggestions from the assessment report are implemented, can serve as the foundation for a long-range conservation strategy. The report should also help with fundraising efforts or the allocation of resources within your museum.

This handbook is designed to guide you through the stages of CAP and inform you of your responsibilities as a participant. Here you will find advice on selecting an assessor, what to expect from the CAP report, and how to keep track of your CAP activities.

What is ReCAP?

ReCAP participants have the opportunity to update their original CAP report with another general conservation assessment, if seven years have passed since the first assessment. As in the first CAP, the assessor will look at all the museum's collections and facilities. Before the site visit, the museum should talk to the assessor about the museum's preservation efforts since the first report and the need for another assessment. It is recommended that the museum provide a copy of the original CAP report to the assessor. If you cannot locate your previous CAP report, Heritage Preservation can retrieve your report from storage and mail it to you for a fee of \$30.

The information in this handbook will be equally valuable to ReCAP participants and should be thoroughly reviewed, since aspects of the program have changed.

CAP Responsibilities

Getting Started	What Heritage Preservation Does	What Participating Museums Do	What Assessors Do
During Site Visit	N/A	<ul style="list-style-type: none"> <input type="checkbox"/> Review Program Packet and interview assessors. Contact Heritage Preservation for more names or submit Form B (if necessary). (p. 3) <input type="checkbox"/> Prepare assessment budget. (p. 3) <input type="checkbox"/> Select assessor and prepare agreement. (p. 4) <input type="checkbox"/> Send copy of agreement, Form A, Form B (if necessary), and Site Questionnaire to Heritage Preservation by requested date. (p. 5) <input type="checkbox"/> If applicable, pay the Heritage Preservation invoice. (p. 6) <input type="checkbox"/> If applicable, make travel and lodging arrangements for the assessor. (p. 5) <input type="checkbox"/> Set site visit agenda and coordinate staff for interviews with assessor. (p. 6) 	<ul style="list-style-type: none"> • Interview museum to determine whether match is appropriate. • Work with museum to prepare agreement. • Make travel and lodging arrangements with museum. • Before the site visit, request that the museum have specific documents on hand, such as site plans, collections policies, and long-range plans. • Coordinate site visit activities with other assessor, if applicable. • Identify staff members to interview during the site visit and ask museum to include them on the site visit agenda.
After Site Visit	<ul style="list-style-type: none"> • Answer any questions from the museum or assessor during the assessment process. • Pay the assessor fee after receiving the final report. • Send Closing Packet to participating museum. • One year after museum completes CAP, send Outcome Based Evaluation packet. Send resource packet to museum after receiving completed evaluation. 	<ul style="list-style-type: none"> <input type="checkbox"/> Facilitate assessor's work on-site. (p. 7) <input type="checkbox"/> If applicable, submit travel and lodging receipts to Heritage Preservation or pay assessor for travel expenses. (p. 10) <input type="checkbox"/> Answer assessor's questions during report writing. <input type="checkbox"/> Review the draft report and discuss changes or questions with the assessor. (p. 7) <input type="checkbox"/> Approve final report. Send one copy of final report and assessor's invoice for fees to Heritage Preservation within 10 business days (unless agreement specifies otherwise). (p. 10) <input type="checkbox"/> Receive Closing Packet and return program evaluation. (p. 10) <input type="checkbox"/> (1 year after completing the program) Receive Outcome Based Evaluation packet. Return survey and receive resource packet. (p. 10) 	<ul style="list-style-type: none"> • Conduct general assessment (page 7) • Submit receipts for travel and lodging expenses to museum or Heritage Preservation as applicable. • Include a prioritized list of needs and an executive summary in assessment report. • If applicable, coordinate report writing with other assessor. • Send draft report to museum by the date outlined in the agreement. If museum has changes to draft report, edit as necessary. • Send two copies of final report and copy of invoice for assessment fees to the museum by deadline in letter of agreement. • E-mail CAP staff the date final report was submitted to museum. • Notify Heritage Preservation if assessment fee is not received within four weeks of sending the final report to museum.

Responsibilities of the Parties Involved in CAP

Museums have specific responsibilities in the Conservation Assessment Program. One of the most important is facilitating communications between your staff, your board, the assessor, and Heritage Preservation staff. Your participation and involvement in the project will help your staff and board to see the CAP report as a tool for action.

The chart on page 2 lists the responsibilities of each party in the CAP process and provides a checklist

for participating museums. For more information on a particular responsibility, refer to the page number listed.

Please note that all correspondence for CAP will be directed to the person listed on the 2011 CAP application as the “Project Contact.” If this changes, please send an e-mail or a letter with the new contact’s name, title, e-mail, and phone and fax numbers to Heritage Preservation.

Getting Started

1. Reviewing Packet Materials

The *Handbook for 2011 Participating Institutions* is part of the packet of information that is sent to each participating museum in the 2011 CAP Program. Please read these materials carefully. This packet also includes:

- “Use of CAP Allocation” sheet
- List of assessors with background information and resumes
- List of assessors in your region
- Summary of Agreement and CAP Budget (Form A)
- Proposed Assessor Information (Form B) (*optional*)
- Site Questionnaire.

Assessment Costs

The costs of conservation assessments vary 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 estimated to be \$4,010 for one assessor and \$7,860 for two assessors. These costs are covered by your CAP allocation plus your museum’s contributions.

Your allocation amount is listed on the “Use of CAP Allocation” sheet. Allocation amounts range from \$3,390 to \$7,190 and are determined by Heritage Preservation. The amounts depend on whether the museum needs one or two assessors and on the budget of the museum.

There is no standard fee charged by assessors, and the assessment costs may exceed the CAP allocation.

Any assessment costs exceeding your allocation are the responsibility of your museum. The costs

to museums generally range from \$430 to \$1,020. The Summary of Agreement and CAP Budget (Form A) sheet will help you create your budget for the assessment. Contact Heritage Preservation with any questions.

2. Interviewing and Selecting Assessors

After reviewing the packet, your next step is to interview assessors and select one.

Selecting your CAP assessor is an important step. The assessor will be responsible for quantifying the condition of your collections and building and for developing recommendations that will guide your conservation activities for years to come. Because of the pivotal role the assessor plays in guiding your future conservation actions, you should carefully choose the assessor who best meets your museum’s needs.

Heritage Preservation recommends selecting an assessor in the same way you would choose any professional. When choosing a doctor or lawyer, you check references and ask questions about the quality of work, responsiveness to patient or client needs, and attention to deadlines. The process should be no different when selecting a CAP assessor. You may choose to pay higher professional fees if you believe you will get service better suited to your unique situation.

Interview sheets for potential assessors and references are included as Appendices A and B.

There are several methods that you may use to select a qualified assessor:

- *Choose from the Program Packet.* Enclosed in the Program Packet is information on several po-

tential assessors, including information sheets, resumes, and references.

- *Choose from the regional list.* If none of the assessors provided meets your needs, consider the list of assessors in your region as listed by Heritage Preservation. To receive information for someone on the regional list, contact the CAP office at 202-233-0800.
- *Choose a preservation professional not on our list.* If you know of someone who is not a current CAP assessor, you may submit their name and contact information to Heritage Preservation (Form B). Heritage Preservation will contact the individual for a resume and writing sample and then will notify you whether the individual is qualified to be a CAP assessor.

To become an assessor, the individual must meet the qualifications set by the CAP Advisory Committee:

- evidence of conservation/preservation training
- at least five years of experience in the field
- experience conducting general surveys or assessments.

Do not enter into an agreement with someone who has not been approved by Heritage Preservation.

Steps for Selecting Assessors

1. *Determine the museum's goals for the assessment.*

Identify your goals for the assessment and discuss them with potential assessors. If you refine your assessment goals before the site visit, you will need to communicate them to your chosen assessor.

2. *Examine the assessor's professional experience and areas of expertise.*

No universally accepted form of training for conservators exists in the United States; both training programs and apprenticeships are common. Conservators gain experience through internships, association with museums or conservation centers, and self-employment. Historic structures assessors can be architects, conservators, or historic preservationists who seek to conserve structures of historic significance. A **preservation architect** is someone who has either a bachelor's or master's degree in architecture. A **historic preservationist** may have a bachelor's degree in a field such as history or art history and a master's degree in historic preservation. Please review the assessors' resumes carefully and decide what type of historic structures assessor is best for your organization. Historic structures assessors can gain experience through internships; association with historic sites, architects, or preservation organizations; and self-employment. All these training routes are valid.

3. *Talk to potential assessors.*

Describe your museum and its size and collections. Discuss your goals for the assessment and your reasons for participating in CAP. Ask the assessors about their experience and ability to complete the assessment within the CAP schedule and budget.

4. *Talk to the assessor's references.*

*** Checking references is one of the most important steps in hiring an assessor.** Attached to each Assessor Information Sheet is a list of museums the conservator has assessed for CAP. These museums should be able to tell you about the assessor's performance and final report—including whether and how it was helpful in conservation planning, fundraising, and implementation.

Choosing an Assessor for ReCAP

Whether to use your original assessor for an updated CAP assessment is your decision. Consider these points to determine what is best for your museum.

Consider using the same assessor if...

...you want someone already familiar with your museum.

...you have established a relationship with the assessor.

...you believe the assessor's awareness of the original conditions would help reveal progress made since the first report.

Consider using a new assessor if...

...your museum could benefit from a fresh perspective.

...your assessor moved or the museum has new staff who were not involved with original assessor.

Choosing an assessor who is sensitive to your museum's purpose, collections, and assessment goals will lead to a good working experience and a successful assessment.

3. Agreement

Once you have selected your assessor, you will need to draw up an agreement for the assessment. **A sample is in Appendix C.** To receive a copy electronically, visit www.heritagepreservation.org/CAP or e-mail cap@heritagepreservation.org.

We strongly encourage you to use our agreement. If you choose not to use it, your agreement must include the following:

- total cost of the assessment (including what is and is not included in the assessor's professional fees)
- total of travel, meals, and lodging expenses
- who will make travel and lodging arrangements (may be done by either the museum or assessor)
- dates for the assessment (the site visit must take place between March 1 and December 31, 2011)
- dates for the rough draft and final report (Heritage Preservation recommends the rough draft be due within eight weeks after the site visit.)
- additional expenses, such as telephone calls, duplicating, and postage
- The following statements must also be included in the agreement:
 - "The Assessor's work on this project will be considered work for hire, and the report and related materials, including verbal, e-mail and other communications, produced shall be deemed to be the property of the Museum."
 - "It is understood and agreed that Heritage Preservation's sole responsibility is to administer the Museum's participation in this technical assistance program and the parties agree that Heritage Preservation assumes no additional responsibility or liability, unless it is expressly stated in writing by an authorized representative of Heritage Preservation."
 - "The schedule must include a site visit date after March 1, 2011. All CAP activities

must be completed by March 1, 2012. Plan accordingly to allow sufficient time for the museum to review the draft report, for the assessor to make changes, and for the museum to approve the final report and submit it to Heritage Preservation before March 1, 2012. NOTE: Failure of the assessor to complete work by March 1, 2012 will result in a reduction of assessor professional fees by 5% per week that the report is late, not to exceed 25%, unless at the sole discretion of Heritage Preservation it is determined there is good and sufficient cause."

Site Visit Dates

The site visit must take place between March 1 and December 31, 2011. In addition, before the site visit may occur, the agreement must be approved and signed by Heritage Preservation. The deadline for the museum to approve and submit the final report to Heritage Preservation is **March 1, 2012.** Most site visits take place in spring or early summer, since this allows the assessor ample time to complete a report draft and a final report before the end of the program. If your museum has two assessors, it is strongly recommended that they be on site at the same time. Their collaboration is vital to the assessment's success, since the care of buildings and collections are interrelated. While on site, the assessors will meet occasionally to consult and discuss their preliminary findings to make sure their recommendations are coordinated and do not conflict. Sometimes the two site visits are staggered over three days so the assessors are on site together for one day. If it is not possible for the assessors to be there together on at least one day, tell them how to contact each other so they may communicate during the CAP process.

By the date specified in the packet, you must send Heritage Preservation the completed Museum/Assessor Summary of Agreement and CAP Budget (Form A) and copies of the agreement (signed by both the assessor and the designated CAP contact person in your museum). Make sure these documents clearly state the name of the assessor, amount of the assessment costs, and the site visit date. Site visits cannot occur before

Heritage Preservation has signed and returned the contracts.

CAP Budget Details

Since CAP is a technical assistance program, no money will be granted to the museum, and each museum will have a unique payment process. After reviewing your Form A and agreement, Heritage Preservation will contact you with the payment details for your museum. Below are a few example scenarios.

Allocation Amount: \$3,390

Example 1: The assessor fee is \$3,300, and travel/lodging/meals are \$90 and arranged by the assessor.

Heritage Preservation will reimburse the assessor for travel costs after receiving receipts and will pay the assessor for the professional fee after receiving a copy of the final report and assessor's invoice.

Example 2: The assessor fee is \$3,300, and the travel/lodging/meals are \$165 and arranged by the museum.

Heritage Preservation will pay the assessor's professional fees after receiving a copy of the final report and assessor's invoice. Heritage Preservation will also reimburse the museum \$90 for the assessor's travel after receiving receipts. The museum will be responsible for the remaining balance.

Example 3: The assessor fee is \$3,850 and travel/lodging/meals are \$165 and arranged by the assessor.

Heritage Preservation will invoice the museum for \$460 to cover the assessor's professional fee. Heritage Preservation will pay the assessor's professional fees after receiving a copy of the final report and assessor's invoice. The museum will be responsible for the travel costs and will reimburse the assessor directly.

There is no standard fee charged by assessors, and the assessment costs may exceed the CAP allocation. **Any assessment costs exceeding the amount of your allocation are your museum's responsibility.**

4. The Site Questionnaire

Included in the packet is a Site Questionnaire for you to complete. The Site Questionnaire acts as an institutional self-study to help you collect information about your collections, facilities, and policies.

The result is a comprehensive document on the current state of your collections and conservation policies. In addition, the questionnaire will provide your assessor with information about your museum's collections and facilities before the site visit.

Heritage Preservation will forward the Site Questionnaire to your chosen CAP assessor.

Any supplementary information needed by the assessor, such as collections management policies, strategic plans, floor plans, or Historic Structures Reports, should be made available. However, do not permit the removal of any original materials from your museum. For example, if an assessor requests the blueprints, provide a copy if possible, but not the originals.

5. Preparing for the Site Visit

Shortly before the site visit, you should confirm all arrangements with the assessor and plan an agenda. Also consider which staff and board members might be involved in the site visit.

Your CAP assessor will look at everything inside and outside your buildings: exhibits, storage areas, work spaces, mechanical or equipment rooms, and grounds. Before the assessors come on site, ask what areas they will need to access and whether they require extra equipment or assistance (for example, a historic structures assessor could need a ladder to look at the roof). A collections assessor will not have time to look at every object in your collection, but he or she will want to see what types of collections you have and under what conditions they are stored and exhibited. If there are objects or collections of particular concern, the collections assessor will make additional observations. The collections assessor will review policies regarding collections management, handling, security, exhibition, and emergency preparedness. The historic structures assessor will inspect all buildings (including mechanical systems) and will review policies and plans (including maintenance policies and logs) and building plans (including past renovations).

The Site Visit

With only two days on site, the assessor must work quickly to gather information on the wide variety of topics to be addressed in the assessment report. The goals you and the assessor established in planning the assessment will guide the visit.

Assessors each have their own techniques for gathering information. While most of the assessor's time is spent gathering data, interviews with staff members are also important to the assessment process. Your input will help the assessor include the issues you feel are most important in the report. It is crucial not only to supply information but to establish a dialogue with the assessor. The success of the assessment depends in part on the quality of the relationship between assessor and museum staff.

Using the staffing list in the Site Questionnaire, the assessor will identify staff members to meet with during the site visit. Heritage Preservation recommends that the assessor meet with a member of the museum's board or governing body during the site

visit. Staff and board members should be available not only to assist the assessor in gathering information, but to offer their insights into the conservation needs of the museum. The more areas of concern that can be addressed, the more useful the assessment report will be.

Together, the assessor and the museum should schedule an entrance interview and an exit interview; these meetings should be incorporated into the assessment agenda as soon as possible in the planning process. The museum's director and CAP Project Contact should meet with the assessor at the beginning of the visit for a general orientation and to review the schedule and goals for the assessment. The exit interview allows the assessor to share his or her general impressions with staff and discuss the format of the report, including how recommendations are to be stated. During the exit interview, the assessor and staff can ask follow-up questions and determine how the assessment's short- and long-range recommendations can be implemented.

After the Site Visit

1. The CAP Report

The assessor is responsible for coordinating the report writing with the participating museum and the other assessor (if applicable) and providing a completed report within eight weeks after the site visit or by the date specified in the agreement. The assessor should provide a draft before the final report. This allows for corrections of any factual errors as well as input and suggestions on how to make the report as useful as possible.

Topics to be Covered

Each assessor has an individual style of report writing. Some assessors keep the text of the report quite short and append additional explanatory material in the form of reprints of articles and product data. Others may provide more detailed information within the text. Regardless of the style of the report, an assessment should provide information on the following topics:

- general information about the museum and the goals for the assessment
- staffing and staff training needs
- condition of the building and facilities (this will be more extensive if a historic structures assessor is included)
- climate control and environment (temperature, relative humidity, pollutants, particulates, illumination, pest control)
- the collections and their conditions, as well as the policies governing their care
- the conditions within exhibitions and in storage areas
- institutional emergency preparedness plans.

Because each museum is different, the focus of each report will vary. For example, in one case the needs of the building may receive the greatest amount of attention, while in another the focus is on storage needs for the collection. Nevertheless, all the topics listed above should be included.

To give you an idea of the kinds of issues assessors consider during the site visit and in writing the report, some topics and questions from Appendix D: Collections Assessment Guidelines from the *Handbook for Assessors* are listed below. This book is provided to all assessors who conduct CAP assessments and was written and published as a joint project by the Getty Conservation Institute and Heritage Preservation. It provides a suggested format for conducting an assessment. The full publication is available online at www.heritagepreservation.org/CAP/Assessors.html.

General Information

Describe the museum.

This information should provide some context to the report so that, for example, a potential funder can identify the type and general focus of the museum.

Summarize the goals for the assessment.

While both you and the assessor may have identified certain goals going into the assessment, new goals may have been set as problems were identified.

Staffing

Does the museum have staff responsible for the preservation of collections?

Discussions with staff members may identify the need for training workshops and seminars or for the gathering of written materials to help those employees do their jobs.

Building/Facilities

What is the general condition of the building? Are there any conflicts between the preservation of the collections and the preservation of the building?

Conflicts about competing preservation issues must be discussed by the collections and building assessors. For example, certain objects in the collection may require strict environmental controls to ensure their preservation. However, many historic buildings cannot be outfitted with environmental control systems that can maintain strict levels of control without harming the building structure. In those cases, the assessors must develop recommendations that address both the needs of the building and the needs of the collection.

Climate Control and Environment

What are the current environmental conditions of the museum?

A description of the current situation and the identification of requirements to maintain certain conditions for the preservation of the collections are integral parts of any discussion of conservation needs.

What kind of environmental monitoring is done?

Often, a program of monitoring is necessary to develop a plan to upgrade environmental controls. Your assessor may suggest such a program or, if monitoring has already been done, suggest ways in which this information can be used to plan for improvements to environmental control.

What measures are taken to protect the collections against the dangers of particulates or harmful gases?

This discussion may focus on dust filtration and/or the use of materials in exhibition or storage areas that could give off gases that are potentially hazardous to collection objects.

Describe the kinds of illumination used in exhibition and storage areas.

A discussion of lighting will point out potential problems and suggest alternatives to improve these situations—for example, the use of filters or alternative light sources.

Is there evidence of pest damage to the collections?

This discussion may identify the need for a monitoring program or suggest housekeeping techniques to reduce the potential for infestation.

Collections and Collections Policies

Describe the museum's collections and their general conditions.

This segment is the core of the collection assessor's report. All the above issues will have been discussed in terms of their specific impact on the preservation of the collection. This section deals globally with the overall conditions of the collections and the most pressing preservation needs.

Exhibitions

Describe current exhibitions.

This section deals with any potential hazards in exhibition areas. For example, it may point out the need for physical barriers or other security devices

for objects in open display situations or suggest improvements to support brackets.

Storage

What types of storage exist?

Storage hardware, the organization of storage, housekeeping of storage areas, and supports for objects in storage are important issues to be addressed.

Emergency Preparedness

Does the museum have an emergency preparedness plan?

This section of the report deals not only with policies regarding disaster mitigation, but also with such topics as fire suppression systems.

Summarizing Report Findings

Two other important segments of the report are the **summary of needs** and the **executive summary**.

- The summary of needs should catalog all the recommendations in the report to provide a basis for the development of your long-range conservation plan.
- The executive summary is a concise document providing a general overview of the assessment.

There are several approaches to summarizing recommendations. Some museums prefer to have the recommendations listed simply in priority order.

Others have said they would prefer to have the list organized by whether items can be handled with current resources and staff or require fundraising. In the latter case, it is important to have items prioritized within those two lists.

The rationale for the ordering of priorities should be evident within the text of the assessment report. If it is not perfectly clear, ask the assessor to clarify those priorities so you can establish short- and long-range goals that are specific to what changes are needed and how additional funding would enable the museum to implement the report's recommendations. Remember, the assessment should be easily understood by both museum staff and officials affiliated with granting agencies, foundations, and other funders.

Finally, the assessor should prepare an executive summary. This document, which should be no more than two pages long, should succinctly summarize the important issues raised in the report. It is a very useful document to present to your board of trustees as well as to potential funders, because it should clearly outline the museum's pressing needs and make the case for improving collections care within the museum.

Setting Priorities

Although the assessor will set priorities based on the institution's needs, different orders of priorities are possible. If the order of priorities does not appear to be possible within your resources, you should discuss a reordering with the assessor. In some cases this may be a simple matter, but in others the assessor might have a specific rationale for the order that you will want to consider. For example, a list of recommendations from the assessor might read:

1. Provide shades for exterior windows to eliminate natural daylight from exhibition spaces.
2. Provide microclimates for exhibit cases containing iron artifacts in Gallery A.
3. Contract for treatment of the three corroded iron artifacts in Gallery A.

Assume that funding is available in your current budget to provide window shades, and therefore

you could immediately address that problem to protect two particularly light-sensitive objects currently on display. In addition, you have a donor who has offered to provide funds for recommendation number 3 because she gave those items to the institution. Should you switch priority 3 with priority 2?

No, the priorities should be addressed in order because the galleries in question do not have humidity control; therefore treatment would be futile if the objects were returned to the same display conditions. A discussion with the assessor might reveal that by removing the two light-sensitive objects from display, you could temporarily defer priority 1 and use the available funds to provide microclimates for the exhibit cases, thereby implementing recommendation 2 and working toward recommendation 3.

2. Payment

The assessor will provide you with two copies of the final report and an invoice for the assessment fee. Within 10 business days of receiving these materials, send one copy of the final report and the invoice to Heritage Preservation so the assessor's professional fee can be paid.

Assessor travel, lodging, meals, and miscellaneous expenses will be handled as outlined in the agreement. (See the CAP Budget Details section on p. 6 for more information.) If your museum reimbursed or paid up front for the assessor's travel expenses, remember to keep the receipts for all CAP-related travel, lodging, and meals. **You may submit travel expenses before the report is finalized.**

After your assessment is complete, Heritage Preservation will send you a packet containing information about collections care training workshops and courses as well as reference materials and publications on collections care, building preservation, fundraising, federal grant programs for conservation, and a CAP evaluation. Twice a year Heritage Preservation will also send your museum *CAPabilities*, a newsletter featuring success stories from other CAPped museums, grant deadlines, educational opportunities, and fundraising tips.

3. Implementing CAP Report Findings

While the delivery of the report ends the primary responsibility for the assessor, it signals the beginning for the museum. The list of recommendations may take many years to accomplish, so look at the list realistically and begin to outline a course of action.

To maximize the information in the report, you need to develop a long-range conservation plan. By setting a timeline for addressing preservation issues, this plan can provide a compelling argument for support to potential funders.

First, outline the costs and amount of time necessary to complete each project. You will find that the recommendations fall into one of two categories: activities that require "person power" and those that require additional funds. That information, along with your institutional yearly plan of work, will

allow you to estimate how much can be realistically added to your workload and which institutional priorities may need to be rearranged. Figure in the amount of time needed for planning and grant proposal preparation as well as the time needed to carry out the projects. Try to balance the projects you can complete in-house with those that require other consultants.

In the example long-range plan outlined on the following page, projects have been divided between those that require fund-raising (purchase of new storage hardware), those that might be possible with institutional funds designated for conservation projects (purchasing rolling tubes for 25 textiles), and those that can be undertaken by staff members without expending additional funds (writing a disaster plan). It is also clear that not every project identified as a high priority has been chosen for near-term implementation because of personnel and funding limitations. Extending the plan outline for two or three years would allow the museum to raise funds to carry out more of the projects recommended in the assessment report.

A plan of this type should be reevaluated every year or two to document progress, adjust projects to meet funding and personnel resources, and rearrange priorities if necessary. The conservation plan you develop should be flexible to take advantage of staff expertise and funding opportunities. Above all, the integration of collections care projects into institutional operations should be viewed as a permanent part of the museum's commitment to the preservation of its collections, with priority equal to any other aspect of the museum's missions.

4. Outcome Based Evaluation

Heritage Preservation will be conducting outcome based evaluations one year after museums complete their CAP assessments. This evaluation will ask what changes museums made as a result of what they learned through the CAP process, site visit, and reports. Museums that complete the outcome based evaluation will be sent resource packets worth \$200 containing publications and supplies to assist the preservation efforts suggested in their CAP reports.

Sample Timeline Based on Assessor's Recommendations

First Priority

- Purchase cabinetry to house collections currently stored on the floors in storage area.*
- Hire assessor to survey and recommend treatment program for ceramic collection with flaking surfaces.*
- Schedule preparation of disaster plan by staff members who have completed the planning training workshop.
- Schedule training workshop for Registrar on pest management and implement monitoring.
- Replace dilapidated wooden cabinetry in sculpture storeroom.*

Second Priority

- Install UV filters on fluorescent lights in storage rooms 1 and 2 where collections are housed on open shelves.
- Redesign exhibit cases to remove lighting from interiors during renovation of exhibit hall.
- Begin the long-term project of rolling textiles currently folded in drawers.
- Purchase rolling cart for movement of objects within museum.

** Projects requiring fundraising*

Conservation Plan

October/November: Install UV filters on fluorescent lights in storage areas 1 and 2

November/December: Contact local emergency services personnel for February meeting to begin writing disaster plan

December: Write grant proposal for storage hardware

January: Submit grant proposal for storage hardware

February: Hold planning meeting for disaster plan

March/April: Purchase archival tubes and tissue for summer project to roll collection of 25 Navajo rugs

April: First draft of disaster plan

May: Select summer intern for textile project

June: Begin textile rolling project

August: Final version of disaster plan

September: Begin storage project with grant funds

November: Register to attend pest management course

Appendix A : Interview Sheet for Choosing Your Assessors

*Photocopy this sheet to use when interviewing potential assessors.
It may also be downloaded from www.heritagepreservation.org/CAP/current.html*

Assessor name: _____

Phone: _____ E-mail: _____

The assessors you interview should interview you as well. They need to determine whether they would be the appropriate consultant to conduct the assessment. Therefore, you should provide each potential assessor with the following:

- museum name and location
- museum type (art museum, science center, historic site, etc.)
- types and approximate numbers of collection artifacts
- numbers and kinds of building structures
- presence or absence of environmental controls
- size and composition of staff
- types of surveys you have already undertaken (such as MAP, Historic Structures Report)
- why you are participating in CAP
- your goals for the assessment
- how the assessment report will be used

Ask potential assessors the following about the assessments they have conducted:

What types of museums have you surveyed?

How do you approach the assessment (how do you collect information; what information do you consider important)?

What will be included in your report?

What follow-up services do you provide (e.g., review of long-range plans) and at what additional costs?

Assessment Costs and Availability:

Assessor's professional fee \$_____

Are per diem, travel, and misc. expenses included? yes no

Availability to do the assessment: _____

Appendix B: Interview Sheet for Museum References

*Photocopy this page to use when contacting references.
It may also be downloaded from www.heritagepreservation.org/CAP/current.html.*

Once you have narrowed your assessor choices, be sure to contact their references to find out from other museums whether their experiences with the assessor were favorable. A list of each assessor's references can be found on his or her Assessor Information Sheet. Below are questions to use when checking museum references for each assessor.

Museum name: _____

Museum contact name: _____

Phone: _____ E-mail: _____

Assessor name: _____

Was the CAP site visit a positive experience?

Was the report submitted in a timely manner?

Was the information in the report useful?

Has the report been useful in implementing improvements to the care of collections?

Was the report useful as a fundraising tool?

Would you hire this assessor again?

A negative (or positive) response from a single museum may not provide a complete or accurate picture of an assessor's qualifications, so check several references before making your final selection.

Appendix C: Sample Agreement

Available for download from <http://www.heritagepreservation.org/CAP/current.html>

This agreement is for the Conservation Assessment Program (CAP) assessment of *[Institution Name]* (hereafter referred to as Museum). The CAP report will cover all the issues relevant to an assessment, including but not limited to (1) general institutional information, (2) staffing, (3) building and facilities, (4) climate control and environment, (5) collections and collection policies, (6) exhibitions, (7) storage, and (8) emergency preparedness, and will contain a prioritized summary of needs. The Assessor's work on this project will be considered work for hire, and the report and related materials, including verbal, e-mail and other communications, produced shall be deemed to be the property of the Museum. The Museum's staff will be on-site and available during the Assessor's visit to assist the Assessor as may be needed. The Museum will arrange for a short orientation session with the director and, where feasible with one or more members of the Museum's governing authority, e.g., Board of Directors, at the beginning of the Assessor's visit and an exit interview prior to departure.

Supplementary materials not included with the site questionnaire sent to the Assessor by Heritage Preservation will be available on-site. The Assessor will inform the Museum if any additional information is required to assist in writing the report.

It is understood and agreed that Heritage Preservation's sole responsibility is to administer the Museum's participation in this technical assistance program and the parties agree that Heritage Preservation assumes no additional responsibility or liability, unless it is expressly stated in writing by an authorized representative of Heritage Preservation.

If the terms of this agreement are in accordance with the Assessor's understanding of the scope of work of the assessment, the Assessor should sign one copy and return it to the Museum by *[date]* for approval and forwarding it to Heritage Preservation. An authorized Heritage Preservation representative will sign a copy of this Agreement and provide the Assessor and Museum with a copy.

Below are the details for the assessment costs*

Professional Fee: (Site Visit and Report Writing)	\$ _____	To be arranged by:
Travel:	<i>(\$X or will not exceed \$X)</i>	<i>(Museum or Assessor)</i>
Lodging:	<i>(\$X or will not exceed \$X)</i>	<i>(Museum or Assessor)</i>
Meals:	<i>(\$X or will not exceed \$X)</i>	
Misc. costs (telephone, postage, etc.):	<i>(\$X or will not exceed \$X)</i>	
Total:	\$ _____	

* Any costs agreed to by the Museum and assessor above the CAP allocation are the responsibility of the Museum.

The schedule below must include a site visit date between March 1 and December 31, 2011. The deadline for the Museum to approve and submit the final report to Heritage Preservation is **March 1, 2012**.

NOTE: Failure of the assessor to complete work by March 1, 2012 will result in a reduction of assessor professional fees by 5% per week that the report is late, not to exceed 25%, unless at the sole discretion of Heritage Preservation it is determined there is good and sufficient cause.

SCHEDULE

Dates of Site Visit:	<i>(Between March 1 and December 31, 2011. The agreement must be approved and signed by Heritage Preservation before site visit may occur.)</i>
First Draft Due to Museum:	<i>(Heritage Preservation recommends within 8 weeks after the site visit)</i>
Museum's Comments Due to Assessor:	<i>(Heritage Preservation recommends 2 weeks after receiving first draft)</i>
Two copies of the Final Report Due:	<i>(Heritage Preservation recommends 2 weeks after receiving comments)</i>
Within 10 business days of receiving the final report, the Museum will forward one copy of the report and the Assessor's invoice for fees and travel costs to Heritage Preservation for payment.	

Museum Authorizing Official

Date

Assessor

Date

Heritage Preservation Representative

Date

Appendix D: Resources for CAP Participants

Below are organizations that have resources that may be of interest for CAP participants. To find out more information about conservation and preservation, we encourage you to visit the following Web sites.

The American Institute for Conservation of Historic and Artistic Works

The American Institute for Conservation of Historic and Artistic Works (AIC) is the national membership organization of conservation professionals dedicated to preserving the art and historic artifacts of our cultural heritage for future generations.

AIC has several core documents for conservation practice available for download on their Web site.

- AIC Code of Ethics and Guidelines for Practice
- Defining the Conservator: Essential Competencies
- Definitions of Conservation Terminology

www.conservation-us.org

The American Institute of Architects

The American Institute of Architects (AIA) requires that its members adhere to the highest ethical standards. Their code of ethics is available on their Web site.

- Code of Ethics and Professional Conduct

www.aia.org/index.htm

The Association for Preservation Technology

The Association for Preservation Technology (APT) is a cross-disciplinary, membership organization dedicated to promoting the best technology for conserving historic structures and their settings. Several joint position papers are available on their Web site. Of particular interest to CAP museums is:

- The New Orleans Charter

www.apti.org/resources/charters.cfm

Institute of Museum and Library Services

The Institute of Museum and Library Services (IMLS) is the primary source of federal support for the nation's 123,000 libraries and 17,500 museums. The Institute's mission is to create strong libraries and museums that connect people to information and ideas. IMLS has created *Connecting to Collections: A Call to Action*, a multi-year, multi-faceted national initiative to raise public awareness and in-

spire action. One part of this initiative is:

- The Guide to Online Resources
www.imls.gov/collections/resources/index.htm

This guide contains links to the most trusted collections care resources on the Web. Use it to find answers to common conservation and collections management questions.

Heritage Preservation

The following publications, which can be downloaded from our Web site, will assist you with your conservation assessment.

- Appendix A : Interview Sheet for Choosing Your Assessors
- Appendix B: Interview Sheet for Museum References
- Appendix C: Sample Agreement
- *Capitalize on Collections Care* (a PDF file that contains ideas for creative ways to use preservation and conservation to gain support from the private sector and state or local governments)
- Funding for Collections Care (a list of federal agencies that provide significant support for collections care programs)
- *Fundraising for Collections Care* (a PDF file that contains information on funding sources and features museums that used their CAP reports to raise funds for projects such as object treatments and storage upgrades)

The following items from your Program Packet can also be downloaded:

- CAP Schedule (outlines the calendar of the program)
- CAP Costs (explains the costs of a conservation assessment and how allocation amounts are determined)
- Site Visit Tips
- *Handbook for 2011 Participating Institutions* (this document in a PDF format)
- Frequently Asked Questions
- Sample Agreement (Microsoft Word document)
- Site Questionnaire (as a PDF and Microsoft Word document)
- Getting the Word Out About Your CAP (contains tips for announcing your participation to the community)

www.heritagepreservation.org/CAP/current.html