

2017-2018 Conservation/Preservation Statutory Guidelines

GUIDELINES & INSTRUCTIONS

THE CONSERVATION/PRESERVATION PROGRAM

The Conservation/Preservation Program provides State funding for libraries and other organizations engaged in efforts to preserve deteriorating library research materials. The program was established as part of the landmark 1984 library legislation and was expanded in 1986, in 1990 and in 2013. It is administered by the New York State Library's Division of Library Development.

The purposes of the Conservation/Preservation Program are to encourage the proper care and accessibility of research materials, to promote the use and development of guidelines and technical standards for conservation/preservation work, and to support the growth of local and cooperative activities within the context of emerging national preservation programs.

COMPREHENSIVE RESEARCH LIBRARIES

The program provides an annual grant to support library preservation at each of the eleven comprehensive research libraries designated in the law. These are: Columbia University Libraries, Cornell University Libraries, New York State Library, New York University Libraries, University of Rochester Libraries, Syracuse University Libraries, the Research Libraries of The New York Public Library, and the libraries of the State University of New York centers at Albany, Binghamton, Buffalo, and Stony Brook.

These guidelines and instructions pertain to the application required by the Regulations of the Commissioner of Education for approval of preservation activities for which the annual grant will be used.

As provided in Chapter 362 of the Laws of 2013, grants to the comprehensive research libraries will be \$158,000 in 2015 and subsequent years. The Education Law also requires that beginning in 1993 grants will be budgeted and awarded on the State fiscal year schedule rather than the calendar year schedule, as was done previously. The grant for 2017-2018 will be for activities to take place between April 1, 2017 and March 31, 2018.

ELIGIBLE & INELIGIBLE EXPENDITURES

Expenditures may include **salaries, employee benefits, purchased services, travel, supplies and materials, and equipment**. All expenditures of State Aid funds, whether for salaries, employee benefits, purchased services, supplies and materials, or equipment must be for preservation activities described under "Fundable Activities," below.

Funds will *not* be awarded for activities or expenditures judged to be the ordinary responsibility of the institution. These activities include (among others):

- general operating expenses, indirect costs or overhead charges;
- the acquisition of library research materials, either to add to the collection or to replace deteriorated materials by purchase of reprints or microforms;
- capital expenditures for building construction or modification;
- providing standard library shelving;
- physical processing and shelf preparation activities;
- basic security measures such as burglar alarms, locks, fire extinguishers, etc.;

Grants may be used to help initiate new cooperative activities, or to continue existing ones. **However, in no case may grant funds be used to replace institutional funds for ongoing conservation/preservation work, or for the salaries of personnel already funded by institutional budgets.** They should be used, instead, as a stimulus for increasing the total financial commitment to preserving the collections.

FUNDABLE ACTIVITIES

The Commissioner's Regulations recognize a number of complementary activities which should be included in comprehensive conservation/preservation programs "for the protection, care and treatment of library materials to prevent loss of their informational or intellectual content and/or of the objects themselves." These activities are reviewed briefly below. Projects may include one or more of these activities in appropriate combination, within the context of the institution's overall preservation program, as described in its current five-year plan.

I. Planning & Screening Materials

Grant funds may be used for planning activities such as surveys, feasibility studies, meetings or conferences to examine significant preservation issues, or other related activities. Grant funds may also be used for screening a particular collection of materials to select those in need of preservation attention in conjunction with beginning the appropriate protection, treatment, or reformatting of these materials.

II. Environmental Controls & Storage

Grant funds may be used to correct serious environmental problems, which directly affect the condition of collections. Fundable activities include evaluation and/or upgrading of existing mechanical systems to provide proper control of temperature, humidity, light levels, and air quality in materials storage areas. Environmental control systems must be based, insofar as possible, on recommended standards for storage of the materials involved, and must make a significant contribution toward achieving suitable storage environments.

In addition, special shelving or storage furnishings for special format materials, or for materials that have received conservation treatment and subsequently require special storage, are allowable expenditures. As discussed earlier, providing standard library shelving is considered to be an institutional responsibility.

III. Reformatting--Microforms

The Conservation/Preservation Program must assure that long-term preservation goals will be adequately served by the project it funds. Since microforms that are not produced and stored according to recognized standards cannot be considered adequate preservation of the materials they reformat, applicants for projects that consist in whole or in part of reformatting materials in microform must indicate how production standards will be assured. They also must meet appropriate ANSI/AIIM Standards and follow the Research Libraries Group standards. Appropriate standards include: MS23-1991, ANSI PH4.8-1985, ANSI IT9.1-1992, ANSI PH1.51-1983, ANSI/AIIM M55-1992, ANSI Z39.32-1981, ANSI IT9.2-1991, and ANSI PH1.43-1983.

Grant funds may be used to support projects to reformat materials in **microfilm and microfiche**. Thirty-five millimeter roll microfilm is the preferred micro-format for the long-term preservation of most research materials; microfiche may be more appropriate for certain types of materials and is also fundable.

Color microfilm and microfiche are acceptable. Ilford Ilfochrome color microfilm and microfiche products are the only types of color microfilm acceptable.

IV. Reformatting—Non-Microforms

a) Photographic records. Grant funds may be used for projects to preserve photographic prints and negatives. Project activities may include copying nitrate, glass plate, or other negatives onto safety film; or copying selected original images, whether in microform or individually.

b) Sound Recordings

While reel-to-reel tapes are still a fundable preservation format, the media has become increasingly difficult to purchase. **Beginning with the 2010-2011 funding year, the Conservation/Preservation Program will fund the conversion of audio recordings to**

digital format. Only audio reformatting projects are fundable as digital conversion projects. Proposals to perform conversion to digital formats must follow the best practices that have been agreed on by many audio and preservation professionals. Projects proposed for funding must follow the “Grammy Foundation Basic Methodology for Preservation, Conversion and Archiving Recorded Media” available at the Grammy web site <http://www.grammy.org/grammy-foundation/grants> (click on Grammy Foundation Methodology Overview). Applicants may also create use copies on either cassette tape or CD ROM. Applicants should state that they will continue to store the originals and describe the environment in which they will be stored.

To ensure the long term viability of the digital files, a copy of all digital files reformatted through this program must be deposited with the New York State Education Department. Please see Appendix A for the “Deposit Agreement and Procedures”. Applicants should also make arrangements on their own for long-term storage and maintenance of the files to ensure redundancy and usability over time.

Eligible expenditures under this program will be:

- The creation of the reformatted recordings
- Basic metadata (preservation metadata as defined by PREMIS (www.loc.gov/standards/premis/)) for the digital files. Applicants should say how they will use the PREMIS schema.

Expenditures that are not eligible for funding under this program include:

- Reformatting equipment.
- Playback equipment.
- Metadata software.
- Storage and transmission hardware (e.g. hard drives for mass storage of audio files)
- Appropriate descriptive metadata that conforms to an existing and appropriate metadata standard such as Dublin Core or PBCore. Applicants should describe their metadata approach and the extent to which they will use a particular metadata standard.

c) Preservation photocopying. Copying materials onto acid-free paper using electrostatic or other copying methods may be used, either alone or in conjunction with other preservation options, to reduce the use of fragile originals or to provide hard copies of embrittled materials for user service. Justification as to why the preservation photocopy is the best format must be given. Precautions must be taken to ensure that copying methods and equipment to be used are adequate to produce durable copies. Preservation photocopies must adhere to the "Guidelines for Preservation Photocopying", Subcommittee on Preservation Photocopying Guidelines, Reproduction of Library Materials Section Copying Committee, Association for Library Collections & Technical Services, Library Resources & Technical Services, July, 1994, Volume 38, Number 3. Preservation photocopies should be recorded in the note field of either RLIN or OCLC.

d) Motion picture film and video tape. Black-and-white motion picture film can be best preserved by storage in appropriate environmental conditions and/or by copying deteriorating film onto stable film base with adequate processing. Such projects may be funded through the Conservation/Preservation Program if the research value of the film can be adequately justified. However, transfer of motion picture film to video tape is *not* a suitable method of preservation due to the inherent instability of video tape. Projects to convert motion picture film to video tape, or to make tape copies of original video tapes are *not fundable* through the Conservation/Preservation Program.

NOTE: Color motion picture film processes currently in use are not sufficiently stable to ensure the long-term preservation of motion picture images. Until standards and processes have been developed that can reasonably assure the long-term preservation of color motion picture film projects to copy such film onto color film are not fundable through this program. The best means of preservation currently available for these materials is carefully controlled storage. Generally, such storage can be provided most economically at a commercial storage facility.

e) Digitization. Scanning and digitizing technology is a very promising method for reformatting and storage of various types of library research materials. However, the technology is relatively new and its commercial applications are changing rapidly. As a result no production standards have yet emerged that can reasonably guarantee the suitability of laser disks--optical, video or audio--for long-term storage of information. Until such standards are developed and adopted by a recognized body, the Statutory Grant Program will not fund the reformatting of informational materials by digitization.

V. Physical Treatment

a) Collections maintenance. Basic housekeeping is part of the ordinary responsibility of the institution. However, grant funds may be used for special projects to clean collections or otherwise limit ongoing damage to collections.

b) Preparation of materials for storage. Physical processing of materials being added to collections is part of the ongoing responsibilities of the applicants. Grant funds may be used for boxing, matting, or other protective enclosures.

c) Rebinding, minor repair and mending. Grant funds may be used to support the repair or rebinding of collections or to upgrade and/or expand existing repair operations.

d) Major conservation treatment. Grant funds may be used to support major treatment of materials (such as deacidification and other extensive paper treatment, conservation rebinding, etc.) by a qualified conservator or conservation treatment facility. If an outside facility is used to perform these services it is the institution's responsibility to ensure that the work will be performed in accordance with standards and/or procedures prevailing in well-established, professional preservation programs.

VI. Bibliographic Activities

Libraries planning for preservation microfilming of published materials are expected to make known their decision to microfilm through a brief record in OCLC.

Upon completion of microfilming of published or unpublished materials the records of preservation master microfilm must be entered into OCLC, using the appropriate format. The Association of Research Libraries "Guidelines for Preservation Masters" should be followed for monographs and serials.

Fundable bibliographic activities include:

- a) creating or modifying bibliographic records to reflect preservation decisions, including reporting microform masters to the library and archival community;
- b) cataloging and record-keeping activities which are part of a project to treat or reformat collections;
- c) converting to machine-readable form and/or contributing records to a shared bibliographic database.

Expenditures for bibliographic activities are eligible only when such arrangement or description is an essential prerequisite or a necessary follow-up to the preservation work itself.

VII. Other Fundable Activities

Conservation/preservation activities not specifically mentioned above might also be fundable provided they are consistent with the Commissioner's Regulations, and with the five-year plan of the institutions involved. Such activities may include, but are not limited to:

a) Disaster Recovery. Grant funds may be used for salvaging collections that have been damaged as a result of disasters, or for disaster preparedness or prevention activities to reduce the potential for fire, water or other predictable accidental damage to collections. Grant funds may also be used to provide a basic stock of emergency supplies for dealing with disasters.

b) Quality Control, Testing and Research. Grant funds may be used to conduct research that would add new knowledge about media or materials, the development of improved conservation treatment techniques, or the investigations of techniques to improve collection environments. Proposals should document in the project description the plan of dissemination and/or the widespread applicability of the research results. Applicants should document a successful history of research activity or provide other indication of the likely success of the proposed research project. The cost of consultants, equipment, supplies, and other materials may be supported. Support of salary and benefits for permanent staff participating in the research should be included in the institutional contribution only.

c) Staff Training and Patron Awareness Programs. Staff development and patron education are part of every institution's ongoing responsibilities. However, grant funds may be used to provide specialized training for staff responsible for the care of collections, or for the development of preservation training programs, informational materials, or other resources.

APPLICATION PROCEDURES

The required application consists of five parts: a cover sheet; a description of preservation activities to be performed with State Aid funds; a project budget indicating how the annual grant will be expended and signatures indicating institutional authorization for the project. Institutional Authorization Form: In the indicated place, provide the typed name of the agency director, his/her **original signature** and the date of his/her signature. This form must be kept at your institution and be available upon request.

COVER SHEET

The cover sheet requests basic information about the institution and a summary description of proposed activities. The summary should be brief, but should provide a clear, publishable statement of how you intend to use State Aid funds.

DESCRIPTION OF PRESERVATION ACTIVITIES

The project description should be as specific as possible, detailing the planned activities and identifying significant collections or materials to be treated. Whenever possible, the number of items to be preserved by each type of activity should be indicated, e.g. the number of items to receive full conservation treatment, number of titles (or exposures) to be reformatted into microform, etc. *All* expenses included in the budget must be fully explained and justified in the description of preservation activities. All supplies and equipment expenditures must be itemized. When funds are used primarily to support staff positions, the project descriptions should indicate how these positions would be used to accomplish specific preservation activities.

PROJECT BUDGET

The project budget must contain detailed cost figures indicating how the entire Annual State Aid grant will be expended. The proposed budget should be a financial plan for the project that can be followed throughout the project with a minimum of change.

The budget consists of six sections: **Salaries, Employee Benefits; Purchased Services; Travel, Supplies and Materials, and Equipment.**

Complete **only** column A of each section. *Enter whole dollar amounts only.*

1. Salaries

List all persons to be employed with State Aid funds and their titles. After each entry indicate the full-time annual salary rate (even if the position is not full-time) and FTE rate.

2. Employee Benefits

List all persons to be employed by the project as described under "Salaries." Provide the total amount of State Aid funds to be used to provide benefits for each person and the total for all personnel.

3. Purchased Services

List all services to be purchased for the project, arranged, as appropriate, under **Consultant Services** or **Contractual Agreements**.

Consultant Services include professional and technical advice that will be provided by individuals or groups of individuals. Consultants are normally retained for a short period to provide advice about specific aspects of the project. Consultants are normally expected to provide a report of their activities, usually at a time agreed upon before the consultancy begins.

Contractual Agreements include professional or technical activities that will be performed by commercial vendors or qualified individuals. Contractual services are normally used for project activities that cannot be carried out by the institution, or for those

activities that can be more economically performed by firms or individuals specializing in a particular service.

4. Travel

List all travel expenses that are for the project. If a consultant has included his/her travel expenses in his/her total costs, they do not need to be included here.

5. Supplies and Materials

List all supplies and materials to be purchased for use during the project.

6. Equipment

List all equipment that has a unit cost of \$5,000 or more that will be purchased for use during the project. Equipment items under \$5,000 should be budgeted under "Supplies and Materials."

BUDGET AMENDMENTS

Changes in the budget are allowable so long as the changes are compatible with the overall preservation program activities described in the "Description of State Aid Preservation Activities" section of the application.

Changes in any single category of more than 10% or \$1,000 (whichever is larger), *must* be approved in advance by the Conservation/Preservation Program office.

Any change in number or kind of personnel or type of equipment must be approved in advance even if the dollar amount remains constant. However, changes in amounts to be paid for already approved personnel and equipment require budget amendments only if they are more than 10% or \$1,000.

INSTITUTIONAL AUTHORIZATION

The signatures required on the Institutional Authorization sheet indicate that information contained in the application and the budget is correct, that the grant will be used to support the activities described, and that all materials being preserved with State Aid funds are, or will be, available for reference, on-site examination, and/or loan.

In the indicated place, provide the typed name of the agency director, his/her **original signature** and the date of his/her signature. This form must be kept at your institution and be available upon request.

FS-10 FORMS

Signed copies of the FS-10 form are no longer required. They will be created in Library Development and used as an internal document only.

Deposit Agreement and Procedures (2016-2017)

Storage Environment:

The New York State Education Department (NYSED) will provide long-term storage of digital audio files created through grants funded by the New York State Program for the Conservation and Preservation of Library Research Materials. The creation of these files will follow the guidelines set out in the “Grammy Foundation © Basic Methodology for Preservation, Conservation and Archiving Recorded Media”.

Files will be sent to NYSED on a removable hard drive. Files will be transferred to an appropriate server environment, reviewed, inventoried and compared to the metadata that is transferred. Once the files have been verified, they will be transferred to off-line storage on tape for long term storage. NYSED will maintain two copies of all tapes in two separate physical locations. When an institution migrates or modifies any files that have been previously transferred to NYSED, it is the institutions responsibility to transmit a new copy of the file to NYSED who will then delete the old file and follow the same procedures to store the new version of the file. NYSED will not offer migration services to institutions.

Metadata:

Institutions should transfer, in digital form on the original transfer media a complete set of preservation metadata for all transferred files. Preservation metadata should minimally conform to the recommendations made in PREMIS (www.loc.gov/standards/premis/).

Transfer of Files:

Files should be sent to the NYSED via a removable hard drive. If hard drives are mailed, institutions are responsible for acquiring appropriate insurance and documentation to ensure that the material has been delivered and protected during shipment.

A signed deposit agreement should accompany the files. See below for the deposit agreement. The hard drive and documentation should be sent to:

Barbara Lilley
Conservation/Preservation Program
New York State Library
10-B-41 Cultural Education Center
Albany, NY 12230
(518) 486-4864
barbara.lilley@nysed.gov

NYSED will provide formal, written acknowledgement of the transfer to the depositing institution.

Access and Retrieval of Files:

NYSED will act as a long term storage provider. Institutions are responsible for maintaining their own duplicate copies of any material transferred to NYSED. Should an institution require retrieval of files from NYSED, the institution should contact Barbara Lilley at the address provided above and provide her with the identifiers of the files that are required. NYSED will retrieve and ship the files via removable hard drive to the requesting institution within five business days.

Under no circumstances will institutions files be released to any other person or organization.

Deaccessioning of Files:

Only files that have been migrated to another file format or replaced by the depositing institution will be deaccessioned. NYSED will provide formal, written acknowledgement of the deaccession to the depositing institution.