



DHPSNY

Documentary Heritage & Preservation Services
for New York

Policies, Procedures and Collections Management Planning

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Agenda

- Why write policies and procedures?
- How do we define policies vs procedures?
- The writing process
- Core policies and aligned procedures
- Making progress and updates
- Resources to help along the way



Why write policies and procedures?

- Sets and supports standards and internal best practices
- Formalizes critical actions and workflows
- Creates consistency
- Assigns responsibility
- Training and succession planning tool
- Demonstrates transparency and alignment with professional ethics
- Shows external stakeholders you have a plan

Policies

- Guiding statements that regulate activities
- Sets standards and supports decision-making
- For those doing the work but also provide public transparency
- Notes when policy applies and who holds responsibility
- Approved by the board or broad leadership team
- Require larger discussions and approvals for updates

Procedures

- Succinct instructions for accomplishing tasks, protocol for implementing the policy
- Sets workflows and consistent action steps
- For staff, volunteers, and interns working directly on collections projects
- Written and adopted by core team doing the work
- Readily updated and implemented

The Writing Process

- Identify priorities
- Make it a team effort
- Write what you know, note where you don't
- Use examples, modify to suit
- Take advantage of available resources



Mission Vision Values

Purpose, identity, why

Aspirational, forward looking

How, approach, culture

Collection Development Policy

Collection Scope

- What you **will collect** and what you will **not**
- Geography, time period, subjects and themes, formats
- Use of collections

Collections Management Policy

- Consolidated set of shorter policies that govern all collections practices
- Commitment to standards and consistent practices in alignment with mission, vision, and values
- Describes relationships between people and collections
- Provides legal and ethical framework



Collecting Scope

The Rockefeller Archive Center's acquisition efforts focus on collections documenting the broader history of philanthropy and other efforts to work on behalf of the public good. Because the means and methods of these activities are constantly evolving, the RAC's overall collecting strategy and efforts will continuously evolve and remain flexible so as to reflect and document these changes.

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Vision

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Core Introductory Components

Mission

- Frames the entire CMP
- Include Vision and Values if have

The mission of CCHS is to explore the culture of Chenango County – its unique traditions and noteworthy stories – through the preservation and presentation of our local heritage.

-Chenango County Historical Society & Museum

Purpose Statement

- Summarizes the goals of the CMP

This [CMP] is intended as a public statement of the principles and procedures which underpin all aspects of collection care. The policy provides guidelines for the HMRC's archival collections-related activities, insuring that these activities meet high professional standards. The HMRC collections policy is a public statement of HMRC's commitment to care for and manage its collections properly.

-Houston Metropolitan Research Center

Collection Scope

- Outline of what collected including types, geographic region, time period, topics
- Abbreviated version of full CDP, aligns with collecting goals

Statement of Authority

- Summarizes roles regarding the collections
- Identifies responsibility for collections management decisions
- Assigns responsibility for implementing collections related policies

The Office of University Archives is responsible for developing the general records retention schedules for management and disposition of university records common to many offices, as well as developing schedules for records unique to campus offices. Further, the University Archives provides for the selection, preservation and research use of records after their current administrative, fiscal, and/or legal values have expired

-Ohio State University, Office of University Archives

Code of Ethics

- Aligns practices and activities with professional standards
- Confirms commitment to upholding ethics of profession
- Adherence to already established codes:
 - [Society of American Archivists](#)
 - [American Association of Museums](#)
 - [American Library Association](#)
 - [American Association for State and Local History](#)

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Acquisition and Accession

Acquisition is the physical and official transfer of materials to an organization by donation, transfer, or purchase. Accessioning is the act of taking physical and legal ownership of the materials - formally documenting and adding to collections.

Acquisition

Guides staff and persons interested in donating, outlines conditions or terms that affect the acquisition of materials, and defines who makes decisions.

Accession

Outlines the formal process used to legally accept an object and record it as part of the collection and how the institution obtains custody, right, or title.

Aligns with/references:

- Collection development policy/acquisition rubric
- Temporary custody form
- Deed of gift
- Accessioning log

Deaccessions and Disposal

Method by which materials are formally removed from a collection.

Must outline:

- Acceptable reasons for deaccession
- Responsibility for decision making
- Process for documentation
- Disposal methods and procedures

Aligns with:

- Collection development policy
- Collections records and documentation procedures

Loans (Incoming/Outgoing)

Identifies when objects may be borrowed and for what purposes, as well as from whom objects may be borrowed. Defines who has the authority to approve.

- Outgoing and incoming
- Acceptable purposes
- Responsibility for approval
- Packing, transportation, insurance
- Documentation
- Borrower requirements

Aligns with:

- Loan agreements
- Expectations for handling, environmental conditions, packing and shipping

Documentation

Permanent records that describe what is in the collection, where it came from, who owns it, and what has happened to it.

- Accessioning/Deaccessioning records and forms
- Descriptive records
- Inventory and Location records
- Loan records
- Use records

Aligns with:

- Processing Manual
- Digitization procedures and metadata standards

Collections Care

Demonstrates commitment to collections stewardship through preventive practices such as providing a stable environment and protecting collections from the agents of deterioration.

- Storage and Housing
- Housekeeping
- Environmental Management
- Integrated Pest Management (IPM)
- Handling

Aligns with:

- Housekeeping schedules and procedures
- Environmental goals
- IPM practices
- Handling guidelines
- Maintenance schedules

Risk Management

Documents commitment to identifying risks to the collections and working to mitigate, minimize, or manage known risks.

- Insurance
- Risk Management
 - Collections Security
 - Fire detection and suppression
 - Emergency preparedness

Risk management is the responsibility of every staff member and any alterations to the level of security or state of the museum's environment are to be dealt with promptly. The museum will maintain a disaster plan that provides for the care of collections in the event of a museum emergency...

Aligns with:

- Emergency Plan
- Reporting procedures
- Assessment and survey results

Access and Use

Defines an organization's intent to provide reasonable access to collections, describes who can interact with collections and how.

- Who may have access
- What collections/records can be used
- How collections can be accessed
- Acceptable uses for collections
- Any restrictions

Aligns with:

- Access and registration procedures
- Handling guidelines
- Exhibition policies

Intellectual Property

Information about who holds intellectual property rights for collections and how to determine/request this information.

- Rights and reproductions
- Copyright and fair use
- Restrictions

The Huntington Library does not require researchers to request permission to quote from or publish material in the public domain or for which we do not own the copyright. It is the researcher's responsibility to identify the copyright holder, if there is one, and obtain any necessary permission. When crediting or citing Huntington materials, refer to the Library's Citation Guide.

Helpful Tools:

- University of Wisconsin-Madison [Copyright Status Tool](#)
- [Cornell University Copyright LibGuide](#)
- [Stanford University Copyright and Fair Use Center](#)

Digitization and Digital Preservation Plans

- Set standardized workflows
- Create consistency in steps for scanning, formats, file naming, and preservation actions
- Can be shared with external vendors as well as internal staff/volunteers

Digital Preservation Coalition - Sample policies, procedures and workflows

Progress and Updates



Reasons to update:

- Is the policy inaccurate or inadequate?
- Has the mission or vision changed?
- Are there new or changing professional standards?
- Have new programs or activities raised new issues/needs?

Writing Resources

- Toolkits
 - Conservation Center for Art & Historic Artifacts (CCAHA) [CMPToolkit](#)
 - Northeast Document Conservation Center (NEDCC) [dPlan|ArtsReady](#) online emergency planning and response tool
- Example Aggregates
 - [Society of American Archivists \(SAA\) "Sample Policies, Plans, and Forms"](#)
 - [Society of Georgia Archivists \(SoGA\) "Forms Forum"](#)
 - [New York State Archives "Policies and Procedures"](#)
 - [DHPSNY "Resources"](#)

Questions?



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