



COLLECTING ARCHIVAL MATERIALS DURING THE COVID-19 PANDEMIC

PROJECT MEMBERS

Thomas F. R. Clareson, Consultant
Leigh A. Grinstead, Consultant
Katy L. W. Klettlinger, Consultant
Annie Peterson, Program Leader

REPORT PREPARED BY

Katy L. W. Klettlinger, Author
Consultant & Outreach Librarian
Research & Innovation Division

Leigh A. Grinstead, Editor
Senior Digital Services Consultant
Research & Innovation Division

September 1, 2020

TABLE OF CONTENTS

3	EXECUTIVE SUMMARY
3	Background
3	Survey Demographics
4	Main Discoveries
9	Moving Forward
10	SURVEY RESULTS - PHYSICAL MATERIALS
10	Access
11	ARCHIVES COLLECTING PHYSICAL MATERIALS DURING THE PANDEMIC
11	Mission & Values
11	Safety Procedures & Policies
13	ARCHIVES NOT COLLECTING PHYSICAL MATERIALS
14	ARCHIVES COLLECTING DIGITAL MATERIALS
14	Collecting Pandemic Materials
15	Adjusting to New Work Environments & Opportunities
16	Digital Preservation
18	ARCHIVES NOT COLLECTING DIGITAL MATERIALS
19	SUMMARY & RESOURCE DOCUMENTS
20	Disaster Preparedness
21	Space Planning
23	Policy Revision & New Policies
25	Digital Preservation
28	Remote Work Best Practices
29	APPENDICES
29	Appendix A: Survey Questionnaire
33	Appendix B: List of Resources Utilized by Respondents to Create Pandemic Collecting Policies
35	Appendix C: List of Collecting Projects Shared by Survey Respondents

EXECUTIVE SUMMARY

Background

In April 2020, a member institution reached out to LYRASIS for advice on how to safely collect archival materials during the early stages of the pandemic. The archives held half of a substantial collection from a donor who had contracted COVID-19 and was in assisted living. Upon hearing the news, the archives had one month to collect the remaining materials from the executor before they were lost.

The archivist suspected the donor had not been in contact with the materials for at least a month, but the institution's executive director was concerned about staff safety since little was known at that time about how the virus was transmitted or how long it remained active on surfaces and materials. LYRASIS consultants advised that the collection be sent to an off-site storage location until more research on the virus could be conducted. CDC guidelines were also provided. The archivist followed the recommendations and quarantined the collection off-site.

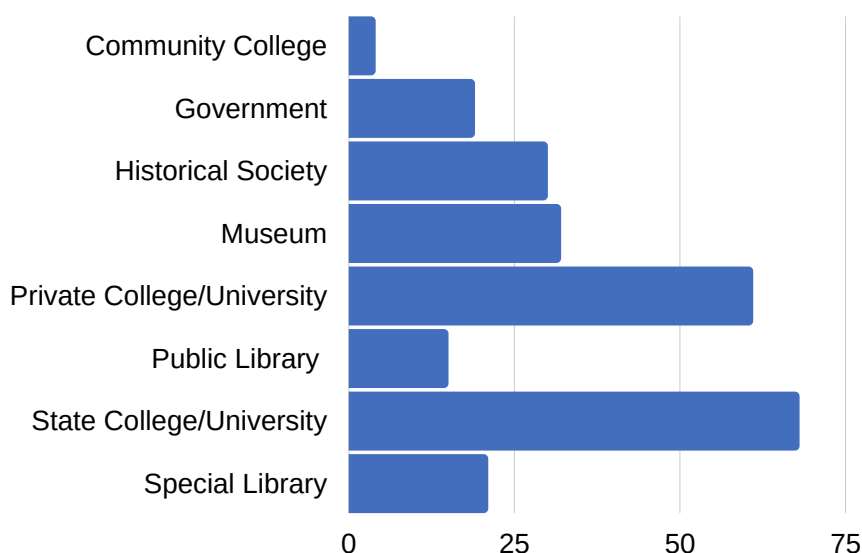
In discussing the case, LYRASIS consultants hypothesized that other institutions across the country were experiencing similar situations and decided to create a survey to uncover collecting trends and archival practice during the pandemic.

The primary goal of the survey was to provide guidelines on how to safely collect archival materials during the pandemic; however, the survey revealed other potential risks to collections as a result of limited physical access to storage areas and a move to remote staffing. Recommendations and information on these topics and more are presented as high-level resource documents in this report. With these resources, institutions undertaking archival collecting will be better equipped to weather the impacts of the pandemic to date and the anticipated intermittent opening and closing of physical sites to come.

Survey Demographics

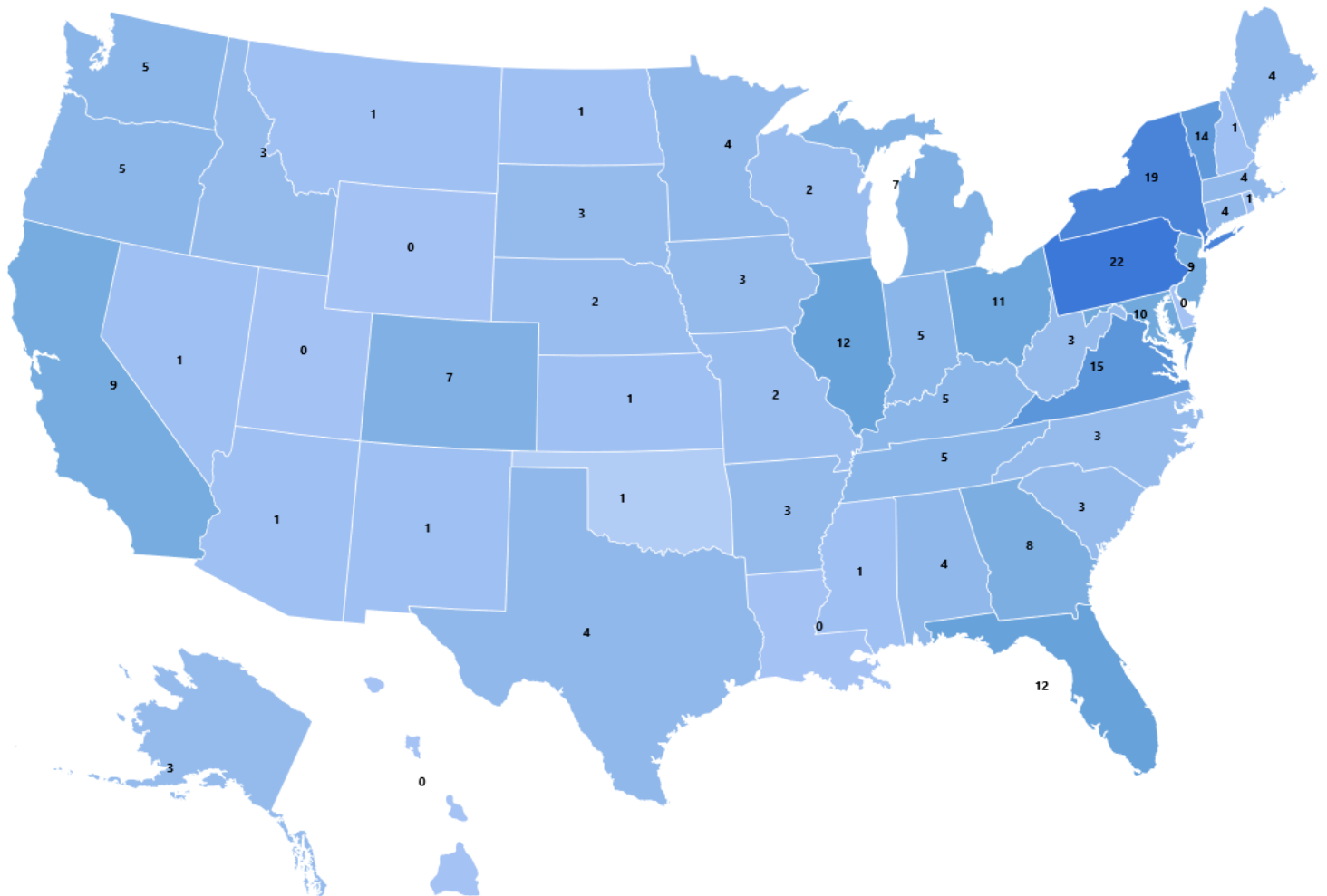
The survey, released on June 1st and closed on June 25th, 2020, was sent through multiple archival organization listservs and resulted in 268 total responses. The survey introduction asked for one submission per institution and for staff who had responsibility for collecting archival materials as a part of their primary role be the respondent. Fifteen surveys were ineligible based on these criteria, which brought total applicable responses to 253. Forty-five states are represented in the data from many types of institutions with almost 50% being academic.

Number of Respondents by Institution Type



EXECUTIVE SUMMARY CONT.

Number of Respondents by State



Main Discoveries

The survey results uncovered interesting archival collecting trends. Most notably, the driving force in deciding whether to collect or not collect materials during the pandemic was physical access to the archives. During the early stages of the pandemic (March-June 2020), 67% of people reported difficulty accessing their archives because of building closures.

Some archivists were able to continue collecting and dropped materials off in their facilities, and some were not. For those that were not given any access, many indicated materials were stored elsewhere until access was granted again. Those allowed to drop materials off may or may not have been able to check on their existing collections. Not being able to check on collections heightened concerns for care, environmental control, and security of archival collections.

EXECUTIVE SUMMARY CONT.

For the 107 institutions that continued collecting physical materials during the March-June 2020 time frame, 50% did not reference COVID-19 information resources before, during or after they collected materials. Many were not concerned that the virus would be present on paper and other formats after sitting in the archives for many months during the building closure or while archivists were not able to process them. Those who did reference COVID-19 information resources created protocols with the safety of staff and donors in mind. These included quarantining collections, wearing masks and gloves, social distancing, and completing paperwork electronically.

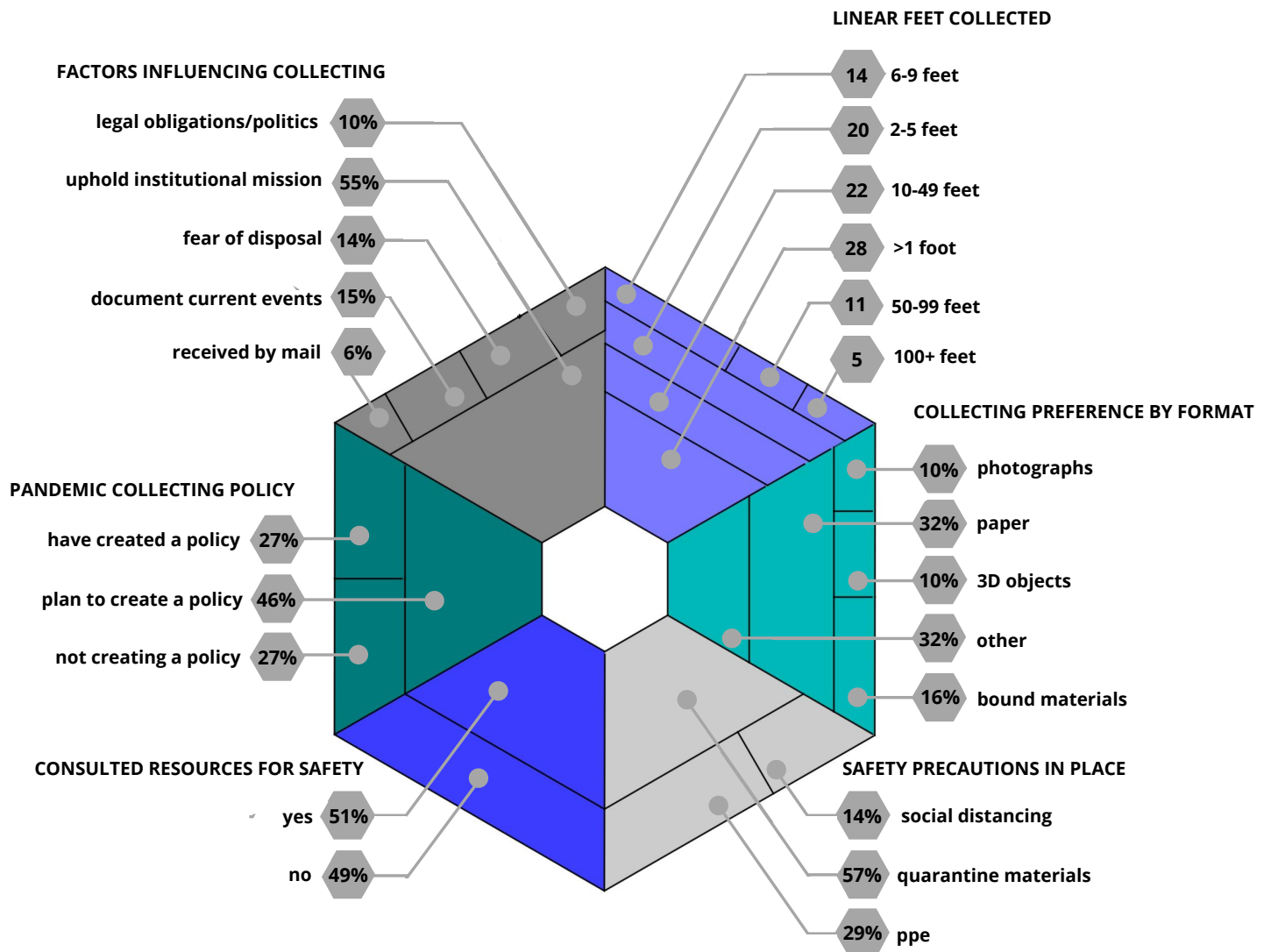
Two factors drove the decision for institutions to temporarily halt physical collecting. First, archivists did not have access to their buildings and did not want materials in their homes as staff worked remotely. Second, there was concern for the safety of staff and donors. The institutions that cited staff and donor safety concerns noted that if a policy for collecting was created by an external organization, they would more comfortably begin collecting again.

Working remotely also caused significant shifts in digital collections work. Many institutions continued their digital collecting as normal and in some cases were able to shift employees to catch up on projects that needed to be completed. Others took the opportunity to create and revise policies. The largest challenge mentioned with digital materials was preservation. Many respondents backed up data on drives as a temporary solution until they could access servers. Some institutions indicated a need to advocate for improvements to their digital preservation practices, while others became aware of the importance of digital preservation and plan to pursue improvements to their practices. Digital preservation was indicated as an area of growing need in the survey results. An overview of the survey results is presented in four graphs on the following pages.



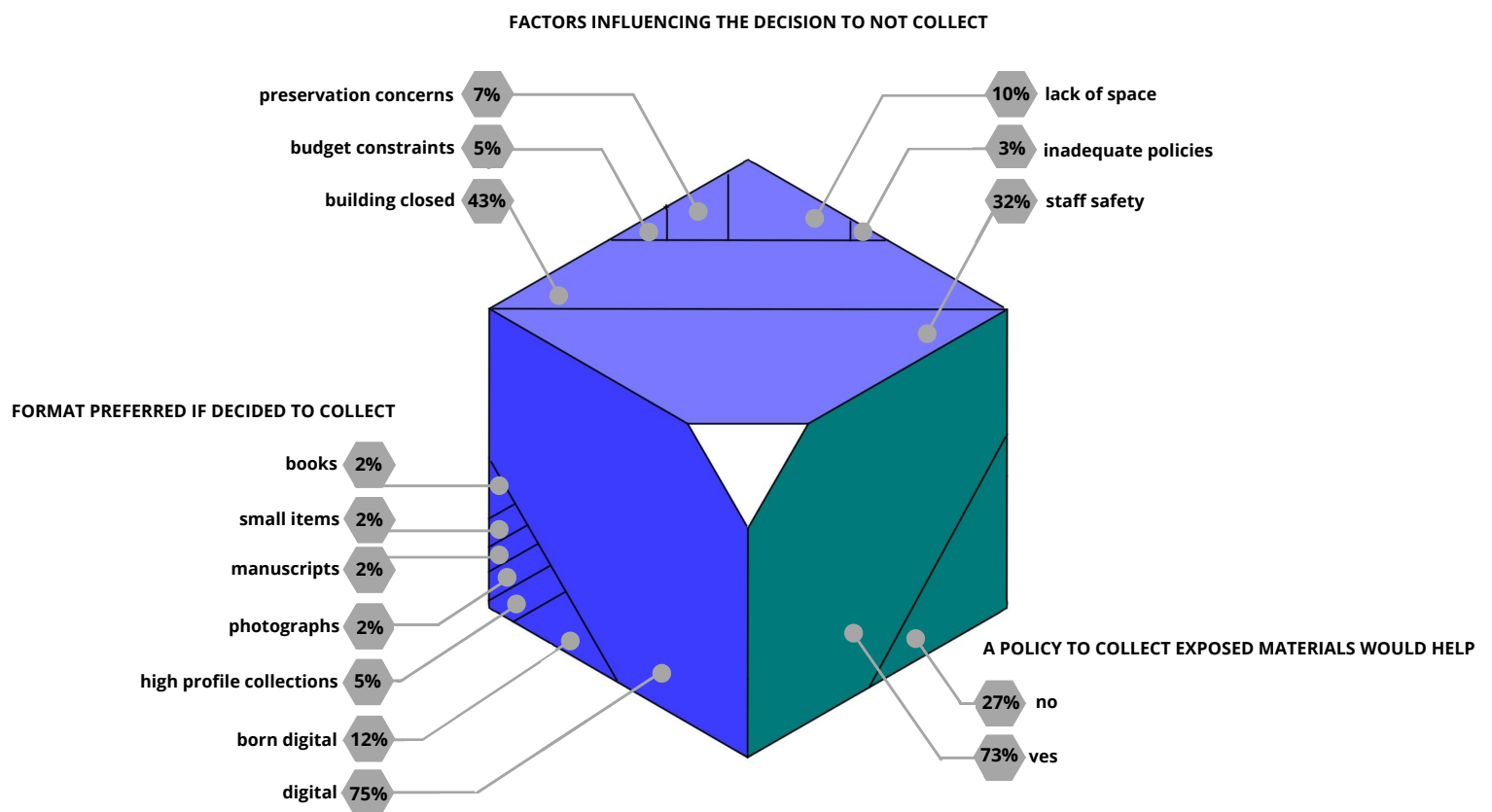
EXECUTIVE SUMMARY CONT.

49% of respondents who decided to collect physical materials during the pandemic...



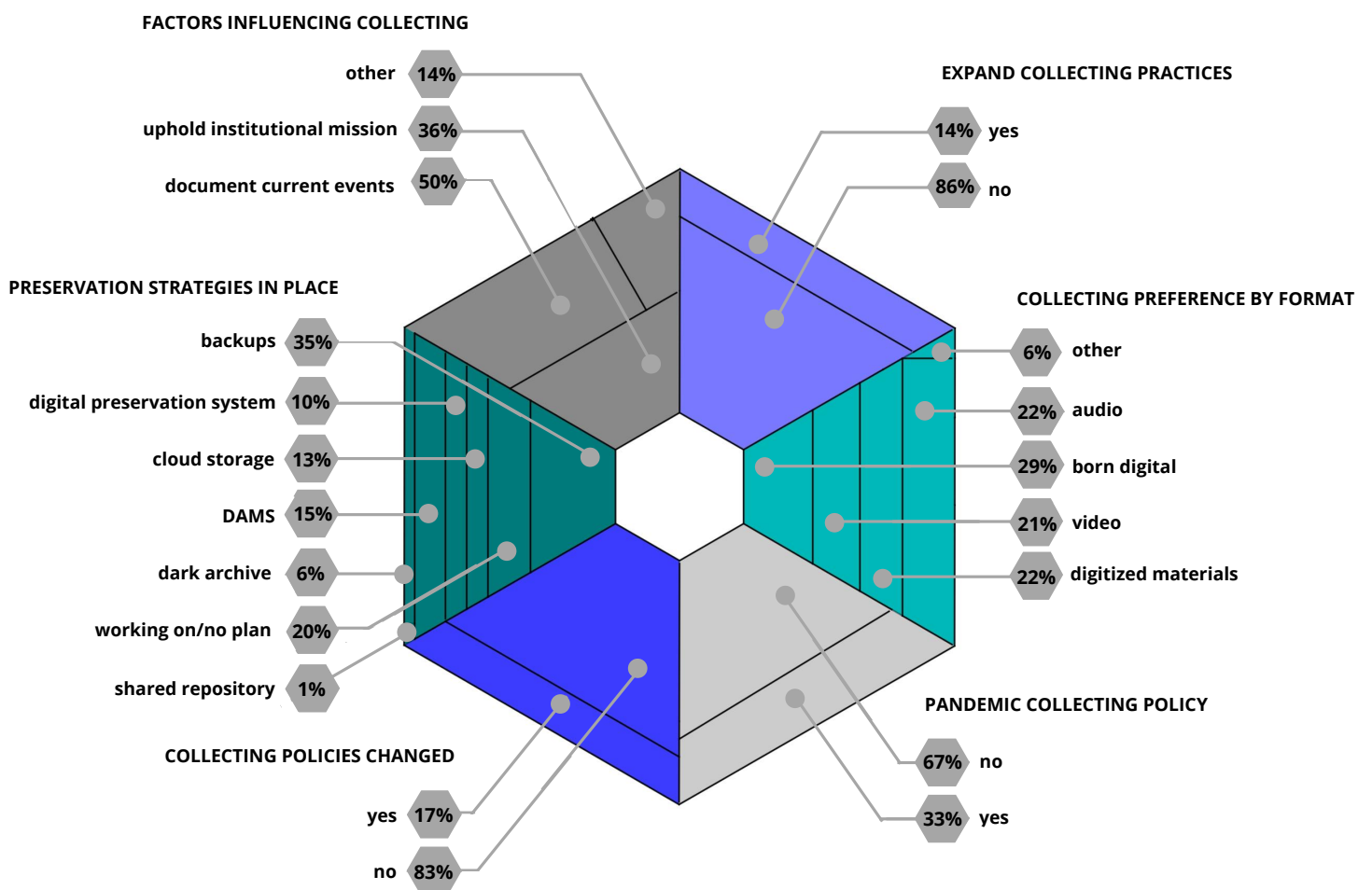
EXECUTIVE SUMMARY CONT.

51% of respondents who decided to not collect physical materials during the pandemic...



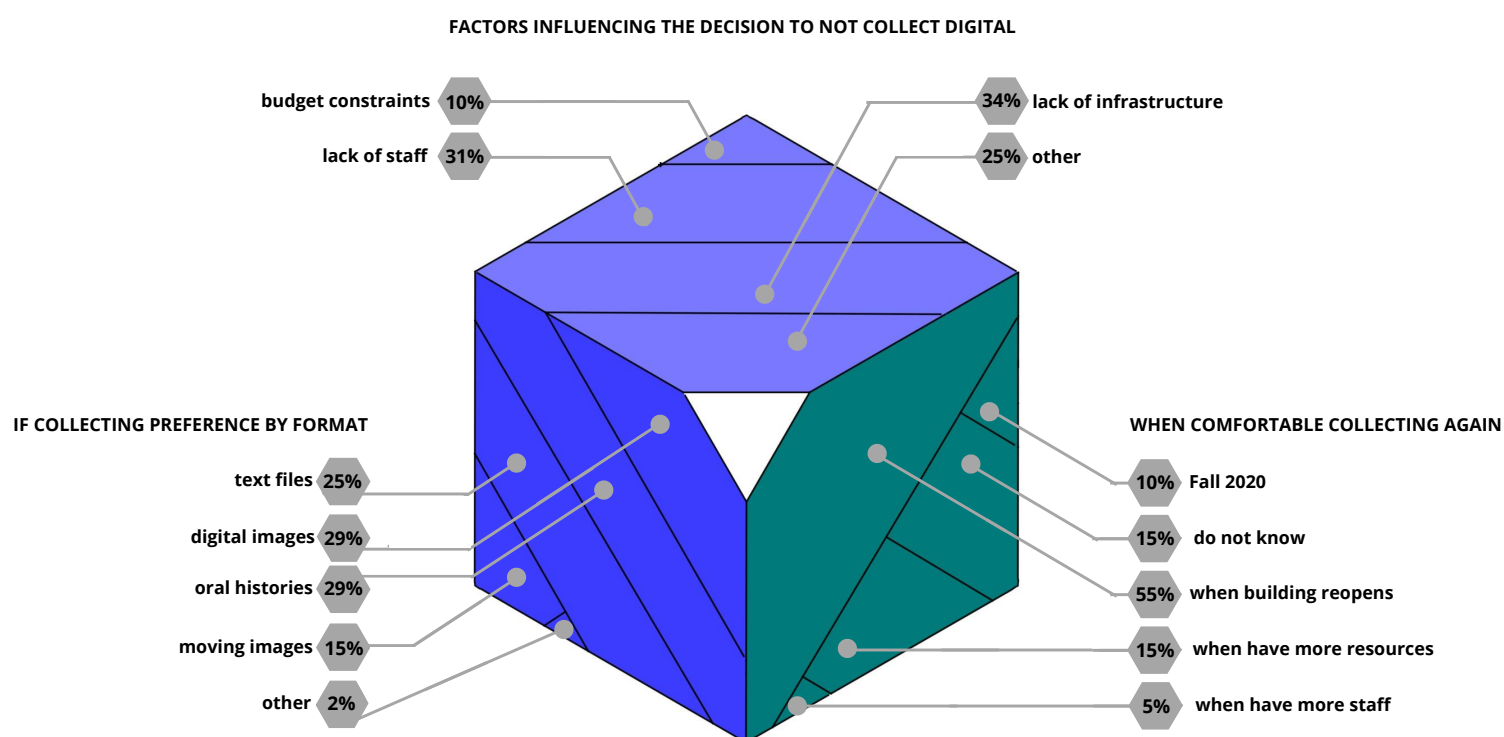
EXECUTIVE SUMMARY CONT.

83% of respondents who decided to collect digitized materials during the pandemic...



EXECUTIVE SUMMARY CONT.

83% of respondents who decided to not collect digitized materials during the pandemic...



Moving Forward

At the conclusion of this report, a series of resource documents serve as collecting guidelines for physical and digital formats for institutions holding archival materials. Also presented is guidance on topics that have impacted archives as a result of the pandemic as discovered in this survey. Featured writers are subject matter experts at LYRASIS. Each expert can be contacted for further information or support during the pandemic and beyond.

SURVEY RESULTS - PHYSICAL MATERIALS

Access

LYRASIS wanted to discover how accessible existing collections were for environmental monitoring and collections care activities. Of the 253 respondents, 67% noted having difficulty accessing their holdings. When asked for specifics, responses fell into four main categories. The first was that no one was able to enter the archives (45%) for an extended period (many months) while facilities were closed.



"I have not been allowed into the building since 3/13/2020 since we were ordered home. This is an ongoing issue we are working to resolve, but no resolution is in sight."

"We had no access to any physical collections from March 18 to June 8, 2020."

"Very upsetting not to be able to care for the collection, especially when we are out of the building."

With archives being closed for months without environmental monitoring by staff, LYRASIS consultants hypothesize that disaster response assistance with pests, mold, and water leaks may be needed once buildings are reopened. Other archives; however, were granted limited access by non-archival staff. This included facilities and other staff permitted to work on-site in 4% of responses, while 21% of archives surveyed identified library administration or department heads having access to collections. In some cases, however, it was not always known if collections were consistently monitored.



"The Dean of Libraries has access to the archives, but did not need to go in while we were physically closed."

Finally, 22% of archives did allow staff to access their collections. Access was limited for staff safety. Many staff entered the archives in shifts and socially distanced from one another. This allowed for the opportunity to drop off donated materials if they chose to continue to collect during the pandemic-related closures.

Mission & Values

Despite many institutions surveyed not having consistent access to their archives, 49% decided to continue collecting physical materials. When asked what circumstances led to this decision, 106 respondents (54%) did so to continue the mission of their organizations. This commitment went one step further when a number of those surveyed said they were concerned about loss of the historical record.



"In our situation, we encountered many folks who spent their at-home time cleaning, and were searching for appropriate ways to dispose of their discoveries. That's why we wanted to continue to accept donations, since we feared that the alternative was the artifacts' destruction."

Documenting current events was also noted to a smaller degree by 14%. Many respondents noted that political and legal obligations required them to collect physical materials. Situations ran from existing agreements in deeds of gift to administration requesting immediate services.

Safety Procedures & Policies

The survey asked what safeguards were put in place for staff safety. The most surprising discovery was that of 107 who answered this question, 49% of archives that decided to collect materials did not reference health and safety resources to create policies or procedures. Our team of experts first wondered if archives were being more selective and collecting at a smaller volume. This was not the case. When asked for the total number of linear feet collected, 106 responses varied from a few items to more than 200 linear feet of materials, with many accepting between 10-25 linear feet on average. Upon further review, many archivists did not research health and safety best practices because of how long the materials would sit before being accessioned or processed.



"I am not fearful that I will contract COVID-19 from any donated materials. We are so understaffed and closed, that the materials can sit for a year without being touched."

"We are not open to the public currently, so I am not concerned about user exposure to donated materials. For staff, we will receive the materials and let them sit for a few days to eliminate any chance of virus exposure."

51% of respondents cited a wide variety of health and safety resources. Leaflets, articles, and webinars on how to re-enter collections, disinfect at-risk materials, and implement guidelines for staff safety are available. A full list of reference materials is in Appendix A.

ARCHIVES COLLECTING PHYSICAL MATERIALS DURING THE PANDEMIC

Personal interaction was more of a concern, and among those surveyed, larger institutions were more likely than others to create policies around human interaction for both staff and donors.



"The issue for us in not collecting materials (or at least larger donations/transfers) during the pandemic is not so much worrying about the materials themselves being exposed to COVID-19. Rather, it's about putting our personnel into situations of having to go visit donors homes or offices for extended periods of time in order to assess and evaluate the potential donation..."

"...The biggest issue going forward is keeping people safe from other people in the face of daily work; it appears managing/handling the records is not a challenge (although this could be a moving target). Lone arrangers are likely at lowest levels of risk unless their work involves f2f interactions. Larger departments with multiple staff members will be more problematic, and will require I suspect a combination of new approaches and protocols - rotating work from home, in office PPE, increased work surface cleaning procedures, new records handling procedures."

Whether creating policies or not, many archives practiced similar safeguards for staff to collect materials. In comments from 106 people, 60% placed collections in quarantine for a determined period, 28% used masks and gloves, and 13% maintained social distancing. Some respondents shared their procedures for accepting materials in detail.



"We will wear appropriate PPE, meet the donor at the door with a designated donation cart. The donor will place the item(s) on the cart themselves, sign the paperwork on the cart and then the staff will take it directly to a containment room where it will remain sealed for 3-4 days, depending on the materials."

"Staff are screened every morning (asked a series of health-related questions and have our temperature taken). In addition, when donors visit our office, we wear masks at all times and attempt to maintain a 6 ft distance. We also strongly encourage donors to wear masks during the duration of their visit. In an effort to minimize visit length, we ask donors to complete all paperwork (donor questionnaires, temporary custody receipts) before arriving, and complete as much of the donor interview as possible over the phone. We minimize contact with collections as much as possible for 48-72 hours, and try to wipe down surfaces and frequently used items (such as pens and pencils) after donors leave the office."

No samples were provided from respondents who stated that they have created a policy for accepting physical materials during the pandemic. The resource documents section of this report provides examples of questions that may be useful for institutions in creating new or revised collecting policies at this time.

ARCHIVES NOT COLLECTING PHYSICAL MATERIALS DURING THE PANDEMIC

When 116 archives that decided not to collect physical materials were asked why, the top answers included building closures at 87%, followed by staff safety at 63%. With many staff members working from home, collecting materials was not seen as a priority. Instead shifts to other projects, such as metadata cleanup, were prioritized. Also, with building closures, many archives saw no need to actively collect materials if they were not able to place them inside the building.

Many respondents whose facilities were closed stated they will not be collecting materials until they can re-enter the archives. In some cases, archives are preparing for their return and creating revised collecting policies from home.



“When we are able to be present on campus, even in a limited capacity. We have already begun developing processes for socially-distant donations, queuing donations, etc.”

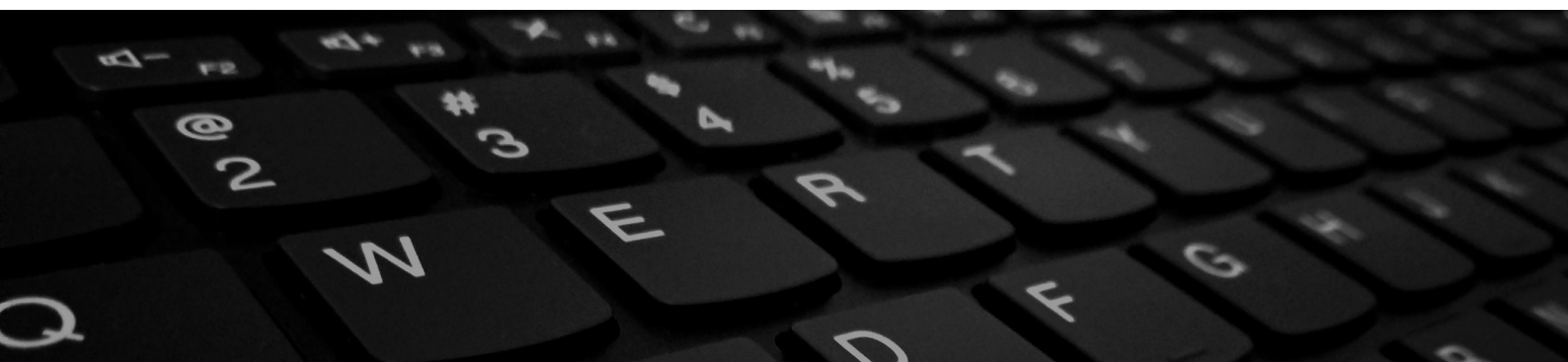
Others are more cautious and will wait until they feel collecting is safer.



“Once community spread is lower. From what we understand from library guidance given to the CDC, taking things from patron homes is where the danger lies. We are avoiding that while it is dangerous to staff. We will take donations when it is safe to again.”

When asked if there are formats they would be more comfortable collecting over others, 116 respondents pointed out that collecting digital materials was preferred even though this option was not present on the survey. A preference of one physical format over another was not identified. Digital was selected because it allowed remote employees to work from home with little to no social contact. More information regarding digital pandemic collecting trends will be shared later in this report.

When asked if institutions created a policy for collecting materials during the COVID-19 pandemic, 121 responded; of those 52% replied no. Additionally, 73% stated they would welcome a policy created by an external organization. A resource document on pandemic collecting policies is provided as part of this report.



ARCHIVES COLLECTING DIGITAL MATERIALS DURING THE PANDEMIC

When asked if archival institutions collected digitized materials before the pandemic began, 122 responded. Of those, 83% continued to do so while sheltering in place despite staff working from home. Notably, the most popular media collected by institutions who continued their collecting practices during the pandemic was born digital materials at 88%.

Documenting current events was the primary motivation for collecting digital materials during the pandemic for 50% of those surveyed. Although 36% also felt compelled to follow their mission statements, many archives pointed to the opportunity to collect unique materials of historical record. Fifteen percent of those surveyed expanded their digital collecting for the first time as a result of the pandemic.



“Though we’ve been collecting digital materials before the pandemic, this will be the first time we will be collecting materials as current events are happening AND with the pandemic, the first time we truly are taking a break from analog and paper materials in exchange for born digital items.”

Collecting Pandemic Materials

For archives who decided to collect materials related to the pandemic, they were able to acquire materials online without face-to-face interaction with donors. See the resource document section for additional information and tools for those interested in digital collecting.



PANDEMIC

ARCHIVES COLLECTING DIGITAL MATERIALS DURING THE PANDEMIC



"We actually advertised to seek digital submissions about the pandemic; we have never advertised for collections before. We are collecting digitally because these items are often born digital and because it is easy for people to donate digitally."

"For collecting pandemic related materials, we implemented a form using Qualtrics. Donors fill out the form, include files, and submit the survey. We are notified and save the receipt email, survey, and files as a package on our servers."

"We found that there wasn't much information on our institution during the Flu of 1918 so we wanted to make sure that future researchers would know exactly what happened during COVID-19. The good, the bad, and the ugly."

Adjusting to New Work Environments and Opportunities

Respondents indicated digital materials were easier to work with remotely. Archivists noted that being remote allowed for more staff to work on digital projects and policies.



"We recently were able to increase staffing to allow for digital collecting. One of our main projects while working from home has been digitizing the collection, which has expanded to 10xs what we began with."

"They are improving because I actually have time to create policies and workflows while working remotely!"

Several respondents who struggled to adjust to remote work at first later realized the opportunity to improve digitization programs by revising workflows and creating or updating policies. It was also an opportunity to advocate to administrators and stakeholders for more resources.



"We were in the process of advocating for a better infrastructure to support digital collections before, and the pandemic has served as a great opportunity to highlight why this infrastructure was/is important."

"This period presented an opportunity to keep the campus community connected and take advantage of the availability of IT staff to collaborate on a collection method. We have been wanting to engage in similar projects for quite some time, but the global urgency of current events created the buy-in across our Libraries to support such an effort."

ARCHIVES COLLECTING DIGITAL MATERIALS DURING THE PANDEMIC

Other archivists noted they would not be able to advocate for more resources as the pandemic put many budgets at risk.



"I work at a small, private university... where we have many small, private colleges. We are all going to be extremely financially stressed for the next five years. Some of us are not going to survive. Survival, at this point, is likely to make my difficult job even more challenging."

"Because of the economic impact of the pandemic, we will no longer be subscribing to a preservation repository as initially planned and approved in this year's budget."

The pandemic created both opportunities and challenges for archives and has impacted some institutional types more than others. Advocacy has been identified as an area of need in the survey results. A valuable resource in moving forward with advocacy efforts is the Advocacy Task Force that is a part of the Society of American Archivists. Presentations, reports, and other materials from this group is located at: <https://www2.archivists.org/groups/congressional-papers-section/advocacy-task-force>.

Digital Preservation

Asked about whether digital preservation practices and strategies changed as a result of the pandemic, 170 replied and 83% reported continuing the same digital preservation practices. For many, preservation was characterized by backing up materials on networks and hard drives. When the pandemic occurred, some institutions realized additional preservation strategies are needed.



"Our digital materials are not a significant part of our collection. However, the questions on this survey prompts us to consider a policy on their collection and preservation!"

"None. I need to start reading up."

"We are trying to figure that out."

One of the many shortfalls brought to light in the survey is that digital preservation falters because many archives do not have IT staff available to assist them. Instead, they work with existing resources remotely to safeguard collected materials until they can return to their buildings or develop a plan for preservation.

ARCHIVES COLLECTING DIGITAL MATERIALS DURING THE PANDEMIC

"We are collecting small amounts of digital material, but are not in a position to do anything with this material until we return to campus and have full access to the preservation server again. We have accessioned material and it is being stored temporarily in either our local shared drive (via remote desktop access) or via google drive."

"Nothing until we return to campus."

Among 172 respondents to a question about starting a preservation policy for digital materials as a result of the pandemic, 33% replied that they have already started or plan to start. While resources are limited, the current situation underscores the importance of digital preservation, especially for those collecting before the pandemic began.

Since many are collecting materials to document current events, the decision to collect digital materials was reactionary with no opportunity to create a longer-term digital collecting and preservation program. A resource document providing guidance on digital preservation is presented later in this report.



ARCHIVES NOT COLLECTING DIGITAL MATERIALS DURING THE PANDEMIC

Only 14% of institutions surveyed said they were not collecting digital materials during the pandemic. Of those institutions, lack of infrastructure was the most frequent reason (57%), followed closely by low staffing (51%). The primary challenge identified with infrastructure was that many archives do not have remote access to their systems and programs. In these situations, they decided it was best to place collecting on hold until they could return to their buildings. Others noted that they did not have the assets required to collect adequately. Some respondents also noted that they needed a Digital Asset Management System (DAMS) while others identified lack of storage space.

Many respondents were site dependent for collecting materials. Most said they feel comfortable resuming collecting after they return to their archives. There is alignment in responses from archives that decided to temporarily halt collecting physical and digital materials during the pandemic. Working remotely continues to be a challenge for many archives as the number of COVID-19 cases fluctuates and it is unknown whether the United States will face another shutdown or series of rolling shutdowns. Training on how to adjust to remote work was identified as a need for archives. A resource document on remote work is presented at the end of this report.



SUMMARY & RESOURCE DOCUMENTS

The consulting team at LYRASIS believes it is important to provide resources to the community to adjust to the current environment so that collection professionals charged with the care of archives can continue their critical work. Five areas of need were identified in responses to this survey that will impact archivists, including: 1) disaster response, 2) space planning, 3) policy revision or new policies, 4) digital preservation, and 5) remote work best practices. Guidance on these topics is presented in the next section by LYRASIS subject matter experts who provide services in these areas. Contact information is also provided for follow up if needed.

At LYRASIS, we believe it is imperative that our profession work together to ensure success in preserving the historical record during these difficult times. This report and resource documents are brought to you by the Research and Innovation division of LYRASIS.



Disaster Planning for the Pandemic and Beyond

By Tom Claeson, LYRASIS Senior Consultant for Digital & Preservation Services, and Project Director, Performing Arts Readiness

The effects of the COVID-19 pandemic have caused all of us to expand our definition of disaster preparedness and recovery like no event before. As we consider how to provide service to our patrons and think about fully reopening our facilities for patron use, here are a number of points to consider:

Health and Human Safety First: Please follow the advice of your city, county, and state Public Health Officials as you are planning your service offerings. From cleaning procedures to building reopening, consult with health professionals about how to keep your staff and patrons safe.

Continuity of Operations: Many of your organizations have considered how best to provide services to your patrons during shutdown periods caused by the pandemic. Consider how each of your departments, from online resources to reference and circulation services to programs, can best function. Document your decisions in a Business Continuity/Continuity of Operations Plan.

Get to Know Specialists in the Field: Whether it is for cleaning your building, maintaining your heating/ventilation/air conditioning system, or for recovery from disasters like leaking pipes that may have happened while your facilities were closed or short-staffed, establish relationships with reputable cleaning and disaster preparedness vendors with a history of working in the archives/library/museum/arts fields.

Policy Development: If you have not established a written plan for reopening and safety protocols, emergency preparedness, disaster response, or continuity of operations, now is the time to research best practices in the field and develop a document tailored to your organization. Consider potential natural, man-made, and equipment/technical disasters in your plan development.

You Don't Have to Do This Alone: Many cities, states, and regions have disaster response networks focused on assisting arts and cultural institutions. Working with peer organizations to learn about their safety and recovery processes, vendors they have used, and even the cleaning and recovery supplies they maintain can be helpful. Find out if one of these multi-organization networks is active in your area.

We Can Assist: Whether your organization needs assistance developing a reopening policy, updating your emergency or disaster plan, considering business continuity steps, or locating nearby networks, vendors, and disaster supply resources, LYRASIS Consultants have over 50 years of combined experience in dealing with emergencies and disasters.

If you have questions, please contact Tom Claeson, tom.claeson@lyrasis.org.

NEED: SPACE PLANNING



Adapting Our Physical Spaces For COVID-19 and Beyond

By Katy L. W. Klettlinger, Consultant & Outreach Librarian

With many institutions housing archival materials planning to partially or fully reopen in Fall 2020 staff and user spaces will be to be reassessed and altered to ensure safety while the pandemic continues. Reopening will occur in multiple stages and alter day-to-day routines. A hazards assessment will be needed to determine high use spaces and paths to create a daily cleaning plan.

Then staff will need to be trained on new procedures, which will include a hierarchy of controls to lower or eliminate virus spread. Reconfiguring physical spaces will be one part of this process. Later more permanent changes will need to be made to accommodate our new normal such as purchasing antimicrobial furniture and hands-free tools. Instead of viewing this as a hindrance it could be an opportunity to improve the environment workplace to reduce stress and increase productivity. Below are some tips to change spaces using existing furniture, equipment, and supplies today with consideration for investments to ensure safety for staff and users in the future.

FURNITURE & EQUIPMENT	TODAY	TOMORROW
Fabrics	Clean regularly per manufacturer recommendations. Consider cleaning services from a third party.	Purchase furniture and equipment with antimicrobial fabrics/vinyl that adhere to CDC standards.
Barriers & Screens	Add partitions where social distancing is not possible. This is ideal in between spaces in computer labs and similar areas.	Increase number of barriers for all seating/ user areas.
Signs & Wayfinders	Place signage in the building to note new safety practices and walking paths. Create social distance pods using painter's tape.	Alter signage and work pods as needed based on institution, state, and national directives on distancing.



NEED: SPACE PLANNING

STAFF & USER AREAS	TODAY	TOMORROW
Number of Users	Reduce number visitors by 50% of fire code.	Monitor CDC and state websites for updates and revised safety guidelines.
Embrace the Outdoors	If possible, take advantage of existing outdoor seating where more air flow is available.	Purchase seating to increase use of the space(s).
Furniture Layout	Turn furniture by at least 90 degrees to discourage face-to-face seating.	Purchase furniture with built in privacy barriers or purchase mobile barriers to allow for flexible work spaces.
Offices	Remove the number of desk chairs to reduce larger group interactions.	
Open Staff Areas	Arrange desks to face away from each other if no barriers or screens are available.	Purchase barriers and other equipment or furniture to create more individual work spaces.
Reduce Touching Objects	Keep doors, drop boxes, and related items open to reduce them being touched by users.	Consider purchasing more hands-free devices such as voice enabled tech screens, automated lighting, foot pedal trashcans and sanitation stations, and bottle filling stations.
Remove Tables & Seating	Remove tables and chairs to ensure each sitting/work area is at least six feet apart and discourage group seating.	
Sanitation	Have cleaning stations available in all areas with supplies such as wipes and cleaners.	Consider offering PPE to visitors upon entering the building if not required.
Study Rooms	Limit number of users in study rooms depending on size.	Purchase technology that will allow for users to hold group meetings remotely.

For more information on how to adapt physical spaces for safety, focus, and well-being please contact consultant Katy Klettlinger at katy.klettlinger@lyrasis.org.

NEED: POLICY REVISION & NEW POLICIES



Policies & Procedures for Safely Accepting Physical Collections During the COVID-19 Pandemic

By LYRASIS Consulting Team

Thomas F. R. Clareson

Leigh A. Grinstead

Katy L. W. Klettlinger

One of the goals of this report was to create a series of resource documents that could be used to create guidelines for institutions interested in creating policies and procedures for safely accepting physical collections during the COVID-19 pandemic. Every institution is different, with a unique set of circumstances and constraints that guide the acquisition of materials. Below is a chart with different components based on the survey results that could be incorporated into a collecting policy. This should be treated as a starting point or guide to help as institutions start to create their own policies.

CONTENT	RECOMMENDATIONS
<i>Ownership and Appraisal</i>	<p>Ownership: Will a deed of gift be signed electronically? In person? If in person, what social distancing guidelines will be enacted? If not in person, what documents need to be signed and how will it be received? PDF? Mail-in forms? Online forms?</p> <p>Appraisal: How will collections be reviewed before transfer? What happens to items that the institution determines to have little to no historical value or does not meet the collecting mission?</p>
<i>Staff and Donor Safety</i>	<p>What safety protocols will staff and donors adhere to through the collecting process? Health screenings? Gloves? Masks? Social distancing?</p> <p>How will safety protocols be shared with potential donors?</p> <p>What will the institution do if the donors do not want to consent to the safety protocols outlined?</p>
<i>Transport Guidelines</i>	<p>Staff Picking Up Materials in the Community: Will staff enter buildings? If donors are present, what protocols will be taken for both parties?</p> <p>Will the donation be placed in a location without the donor present for staff to transport? If so, does the environment comply with best practices and will the materials be quarantined there before pickup?</p> <p>Once received, will the donation stay in place, in quarantine, or will it be moved to another location by staff for quarantine?</p>

NEED: PHYSICAL COLLECTING POLICY

Transport Guidelines cont'd.

Collecting Materials at the Institution: How will staff and donors access the facility if it is closed?

Are directions for parking and drop off written down and have they been tested?

Will staff be present? If so, how will items be physically passed to staff? Placed on a cart? If not, what security measures are in place?

Once received, will the materials sit in place, will they be quarantined, or moved by staff to be quarantined?

How will spaces where interaction occurred be cleaned after the donor leaves?

Collections Received by Mail: Will mail be opened immediately or, will mail be quarantined for a period of time upon receipt?

When opened, what safety measures will staff follow?

Material Quarantine

Where will materials be located for quarantine? How long will they remain there?

How is the space where they will be located be environmentally monitored?

Will staff physically access the space while quarantine occurs? If so, what safety measures will be in place?

For more information on how to create COVID-19 related policies and procedures, please contact Erin Tripp at erin.tripp@lyrasis.org.



NEED: DIGITAL PRESERVATION



Digital Preservation Planning, Infrastructure, and Support—Inoculating our Collections for the Future

By Leigh A. Grinstead, Senior Digital Services Consultant

We often define digital preservation, as “the accurate rendering of authenticated content over time.”¹ It’s a topic that has generated a large body of research, publications and professional development training. The goal of this resource

document is to entice the reader into learning more about the subject, to ask a few critical questions, and to think about where an institution might prioritize next steps for improved long-term access to digital collections. Below provides an outline of questions to launch conversations at cultural heritage institutions around digital preservation planning, practices and activities.

GENERAL TOPICS

CONTENT AREAS & QUESTIONS²

Administration & Governance

Collections: What are the digital collections and which ones are prioritized for preservation?

Organization Structure: Which parts of the organization have responsibility and/or authority for planning for digital collections and digital preservation?

Strategic Planning: Does the organization have a strategic plan that addresses digital collections?

Mission: Does the mission statement include the concept of digital and/or preservation of collections?

Designated Community: What do you know of your users? What kind of documentation/statistics do you collect?

Organizational Strengths: How can you leverage your strengths to promote preservation?

¹ Definitions of Digital Preservation, Association for Library Collections and Technical Services, <http://www.ala.org/alcts/resources/preserv/defdigpres0408>

² These questions have been taken and adapted from the Digital Preservation Peer Assessment funded by the National Endowment for the Humanities (NEH). The Northeast Document Conservation Center (NEDCC) received the funding for this project in 2018 and Leigh Grinstead served on the Steering Committee along with other LYRASIS staff, Annie Peterson and Tom Clareson. This publication is available for free and can be reused and modified under the Creative Commons AttributionNonCommercial-ShareAlike 4.0 International license. Accessed August 21, 2020 <https://www.nedcc.org/assets/media/documents/nedcc-DPA-Peer-5.16.pdf>

NEED: DIGITAL PRESERVATION

GENERAL TOPICS

CONTENT AREAS & QUESTIONS

Resources

Staffing & Roles: Who is interested in digital preservation? Is any staff time dedicated to the work?

Training: How are staff members chosen for training opportunities? Is that process equitable?

Budgeting & Resources: What is the ongoing commitment to a budget for digital preservation?

Community of Practice: Who monitors the fields of digital preservation and digital collection management for changes in best practice?

Policies

Collection Development: What would you like to have in your digital collections in the future?

Selection for Digitization: Which objects require long-term preservation and why?

Preservation Plans: What items are most at risk for loss with current procedures?

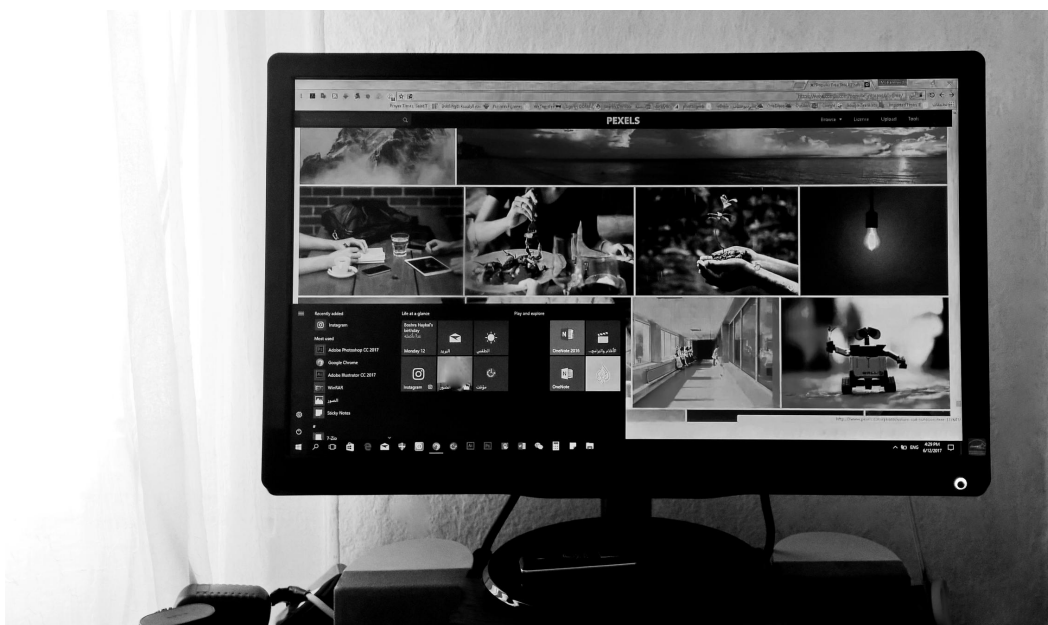
Workflows

Reformatting: Where are the bottlenecks in digitization workflows?

Born-digital Objects: Do you provide guidance to digital content creators whose material will be transferred to your collections in the future?

Metadata: What additional metadata would facilitate access to collections in the long-term and how are you preserving it?

Documentation: Are your internal procedures and practices written down?



NEED: DIGITAL PRESERVATION

Technological Resources

Information Technology (IT) Support: What IT support (both in-house and outsourced) do you have?

Legacy Media: What types and amount of legacy media are in your collection?

Data Management: What digital collections-related needs do you have that are not being met with your current tools, systems, or practices?

Tools: How many copies do you store? Who is responsible for managing your storage? And, what is your plan for storage failure?

Digital Storage: How do you track changes made to digital objects? How do you limit access?

Security of Collections & Authenticity of Users: What IT support (both in-house and outsourced) do you have?

The creation of digital preservation policies and a digital preservation plan that is tailored for your unique institution and is appropriate for your needs will vary greatly based on your institutional circumstances—there is no one-size fits all approach.

If you have questions, please contact Leigh A. Grinstead (she, her, hers) leigh.grinstead@lyrasis.org.

Transitioning from In Person to Remote Teams

By Annie Peterson, LYRASIS Learning Program Leader



As the pandemic shifted institutions' work from in-person spaces to an entirely virtual environment, many people found themselves working from home for the first time. LYRASIS developed an online class to support people who were new to managing remote teams. These tips from the class provide some guidance on effective remote work.

Establish remote work policies

If you don't already have a policy that clarifies expectations related to working remotely, write one, and communicate it across the organization. A documented policy sets expectations for both managers and employees on topics such as evaluation, communication procedures, and technology support.

Overcommunicate

Miscommunications can thrive in a virtual environment. Be clear with your colleagues, and communicate via email, instant message, or other channels more than you may think you need to. Work with your team to find the right balance.

Use technology to your advantage

Use virtual tools to collaborate and track projects. If you were already using tools while you worked together in-person, those tools become even more important while working remotely. If you don't have project management software in place, choose one that will work for your team and stick to it.

Shut down

Set limits on when you are reachable and communicate those limits. When working from home, work and home life can easily blur, so set specific hours for working and avoid being reachable outside of those hours. This can help prevent burnout.

To learn more about remote work and many other topics, subscribe to LYRASIS Learning to access "Managing a Remote Team" in our Learning Library, or register for a live, online session of the class. LYRASIS Learning is an annual subscription that provides institutions with unlimited access to our live, online classes and our entire catalog of archived training.

For more information on how manage remote teams, please contact program leader Annie Peterson at es@lyrasis.org.

APPENDIX A: SURVEY QUESTIONNAIRE

Collecting Archival Materials Pandemic Survey

Archival Collecting Practices During the Pandemic

Thank you for participating in our archival collecting practices survey. During these times, it is LYRASIS' goal to discover how cultural heritage institutions are collecting archival materials and to assess the current environment and create recommended best practices for collecting physical and digital materials in the new age. The survey should take no more than 15 minutes to complete. Sections within the survey include: Introduction, Collecting Physical Materials, Collecting Digital Materials, and Wrap-up. Your responses are being collected and analyzed by LYRASIS, an independent, nonprofit, research group. They will be kept confidential. Only aggregate results will be reported. Please answer these questions to help us learn about Archival Collecting Practices During the Pandemic. To submit your answers, you must click on the "Submit Your Responses" button at the end of the survey form.

Thank you for the time in completing this survey.

Introduction

1. What type of institution do you represent?
2. What is the name of your institution (this information will remain confidential)?
3. What state is your institution located in?
4. Is overseeing or participating in receiving donated physical or digital collections a part of your current duties?
 - ☐ Yes
 - ☐ No
5. Have you had any difficulty in physically accessing your collections during the pandemic?
 - ☐ Yes
 - ☐ No
6. If yes, have others been able to access the collections, and if so, what are their job titles?
7. Have you or do you plan to receive regular physical archival donations during the current pandemic?
 - ☐ Yes
 - ☐ No

Collecting Physical Materials

8. What collections have you been accepting since circumstances changed in response to the pandemic at your institution and, if possible, please include total linear feet and formats present?
9. What factors contributed to your decision to collect materials at this time?
 - ☐ Documenting Current Events
 - ☐ Upholding our institutional mission
 - ☐ Other (please specify)

APPENDIX A: SURVEY QUESTIONNAIRE CONT.

10. What special precautions are you taking to protect staff and users from risks related to donated materials?

11. Have you consulted other resources for how to safely collect the materials?

- Yes
- No

12. If so, what resources?

13. Are there certain collections that you would be more comfortable accepting over others at this time, based on material type?

- Books/bound materials
- Paper
- Microforms
- Photographs
- 3D objects
- If other formats, what are they?

14. Have you, or do you plan to, create a policy for moving and caring for these collected materials?

- Yes, we currently have a policy
- Yes, we are planning to write a policy
- No, we do not have a policy and are not planning on writing a policy
- If answered "Yes, we have a policy" above. If you do have a policy or draft would you be willing to share it? Please include the link if available.

15. What factors contributed to your decision to not collect physical materials at this time? Check all boxes that apply.

- Staff safety
- Budget constraints
- Institution is closed
- Lack of space
- Preservation concerns
- Inadequate policies
- Other (please specify)

16. If your institution has stopped collecting physical materials, when do you think your institution will feel comfortable collecting physical materials again?

17. Do you agree with your institution's decision for when to accept materials again?

- Yes
- No

18. Are there materials that you would be more comfortable collecting based on material type?

- Yes
- No

19. If yes, please explain.

20. If policies and standards were created by an external organization or agency for accepting materials that were potentially exposed to COVID-19 would your institution feel more prepared to collect those materials?

- Yes
- No

APPENDIX A: SURVEY QUESTIONNAIRE CONT.

Collecting Digital Materials

21. Were you collecting digital materials before the pandemic began?
- Yes
 - No
22. Have you or do you plan to receive materials in digital format during the current pandemic?
- Yes
 - No
23. What types of materials are you collecting?
- Audio
 - Born digital materials
 - Digitized materials
 - Video
 - Other (please specify)
24. What factors contributed to deciding to collect materials now?
- Documenting current events
 - Upholding our institutional mission
 - Other (please specify)
25. Does this represent an expansion into digital collecting for the first time?
- Yes
 - No
26. If so, why did you plan to expand into digital collecting now?
27. What steps are you currently taking to preserve your digital materials long-term?
28. Have your digital preservation strategies changed during the current pandemic?
- Yes
 - No
29. If so, what has changed?
30. Have you or do you plan to create a policy for collecting and preserving digital materials during the pandemic?
- Yes
 - No
31. What factors contributed to your decision to not collect digitized materials now? Check all that apply.
- Budget constraints
 - Lack of infrastructure
 - Lack of staffing
 - Other (please specify)
32. When do you believe your institution will feel comfortable collecting digital materials again?

APPENDIX A: SURVEY QUESTIONNAIRE CONT.

33. If your institution has a date on when they will accept materials again, do you agree with their decision?

- Yes
- No

34. Are there materials that you would be more comfortable collecting based on their format? If so, what are they? Check all that apply.

- Digital images
- Moving images
- Oral history interviews
- Text files
- Other (please specify)

35. Do you have any additional information or input that you would like to share?

36. Can we contact you to ask about your responses in this survey?

APPENDIX B: LIST OF RESOURCES UTILIZED BY RESPONDENTS TO CREATE PANDEMIC COLLECTING POLICIES

American Alliance of Museums (AAM)

"Preparing to Reopen." AAM, 2020. <https://www.aam-us.org/programs/about-museums/preparing-to-reopen/>.

American Association for State and Local History (AASLH)

"COVID-19 Resources," 2020. <https://aaslh.org/covid19/>.

"Field Services Alliance Tips: Re-Opening Museums During COVID-19," July 2, 2020. <https://aaslh.org/field-services-alliance-tips-reopening-museums/>.

American Industrial Hygienists Association (AIHA)

"Corona Virus Resource Outbreak Center," 2020. https://www.aiha.org/public-resources/consumer-resources/coronavirus_outbreak_resources.

American Library Association (ALA)

"Pandemic Preparedness: Resources for Libraries," July 2, 2020. <http://www.ala.org/tools/atoz/pandemic-preparedness#Library%20topics>.

Association of College & Research Libraries (ACRL)

"Pandemic Resources for Academic Libraries." ACRL, August 12, 2020. <https://acrl.libguides.com/pandemic>.

RBMS. "Return-to-Work Plans for Teaching & Research Work in Archives and Special Collections (COVID-19)," June 4, 2020. <https://rbms.info/tpscollective/events-and-opportunities/tps-community-call-2020-june-11-return-to-work-plans-for-tps/>.

Association of Southeastern Research Libraries (ASERL)

"Webinar: Special Collections: How Do We Plan for Re-Opening?," June 3, 2020. <https://vimeo.com/425703969>.

Conservation Center for Art & Historic Artifacts (CCAHA)

"COVID-19 Resources for Cultural Institutions." CCAHA, 2020. <https://ccaha.org/covid-19-resources-cultural-institutions>.

"Re-Entering a Collection that Was Closed by COVID-19." CCAHA, August 10, 2020. <https://ccaha.org/resources/re-entering-collection-was-closed-covid-19>.

Center for Disease Control & Prevention (CDC)

"Cleaning and Disinfecting Plan, Prepare, and Respond." CDC, July 22, 2020. <https://www.cdc.gov/coronavirus/2019-ncov/community/clean-disinfect/index.html>.

"Coronavirus 2019 (COVID-19): Community, Work, and School Information for Where You Live, Work, Learn, and Play." CDC, July 24, 2020. <https://www.cdc.gov/coronavirus/2019-ncov/community/index.html>.

Federal Depository Library Program (FDLP)

"Webinar: COVID-19 and Collections Care." FDLP, June 5, 2020. <https://www.fdlp.gov/news-and-events/4513-webinar-covid-19-and-collections-care>.

"Webinar: Overview of COVID-19 and CDC's Response to the Pandemic with a Highlight of Federal COVID-19 Resources." FDLP, May 5, 2020. <https://www.fdlp.gov/the-title-is-overview-of-covid-19-and-cdc-s-response-to-the-pandemic-with-a-highlight-of-federal-covid-19-resources>.

Institute of Museum & Library Services (IMLS)

"COVID-19 Resources for Libraries and Museums." IMLS, 2020. <https://www.imls.gov/coronavirus-covid-19-updates/covid-19-resources-libraries-and-museums>.

APPENDIX B: LIST OF RESOURCES UTILIZED BY RESPONDENTS TO CREATE PANDEMIC COLLECTING POLICIES

National Center for Preservation Technology & Training (NCPTT)

"Cultural Resources and COVID-19." NCPTT, 2020. <https://www.ncptt.nps.gov/blog/cultural-resources-and-covid-19/>.

Northeast Document Conservation Center (NEDCC)

"Disinfecting Books and Other Collections." NEDCC, August 10, 2020. <https://www.nedcc.org/free-resources/preservation-leaflets/3.-emergency-management/3.5-disinfecting-books>.

REopening Archives Libraries & Museums (REALM)

"REALM Project Reopening Archives, Libraries, and Museums (REALM) Information Hub: A COVID-19 Research Project." OCLC, 2020. <https://www.webjunction.org/explore-topics/COVID-19-research-project.html>.

Society of American Archivists (SAA)

Acquisitions and Appraisal Section of the Society of American Archivists. "Discussion: Archival Acquisitions in the Time of Coronavirus." SAA, May 28, 2020. <https://appraisalsaa.wordpress.com/2020/05/28/discussion-archival-acquisitions-in-the-time-of-coronavirus/>.

"Resources for Response to COVID-19 Health Crisis." SAA, May 15, 2020. <https://www2.archivists.org/resources-for-response-to-covid-19-health-crisis>.

Reaching Across Illinois Library System (RAILS)

"COVID-19 Library Reopening Plans." RAILS, 2020. <https://www.railslibraries.info/issues/178451>.

APPENDIX C: LIST OF COLLECTING PROJECTS SHARED BY SURVEY RESPONDENTS

East Tennessee State University, Archives of Appalachia

<https://www.etsu.edu/cas/cass/archives/covid19story.php>

Fairfax County Public Library, VA

https://docs.google.com/forms/d/e/1FAIpQLSeSf0M867MtkW-jaszPoiLw2BWhe0GaQDM2kCEuhS3ujoQU1w/viewform?vc=0&c=0&w=1&fbclid=IwAR21QklvS1t-TvP0bTQhwdoBe5CmJXTdM9_6nyvj3EhGqnIru8ifAELDLc8

Highland Park Public Library, IL

https://docs.google.com/forms/d/1vRXzDKx9RDVnkxH_hPsv2iGZcwZOeQ4P6QGznhDtDgM/viewform?edit_requested=true

Latah County Historical Society, ID

<https://www.latahcountyhistoricalsociety.org/covid-19>

Minnesota State University Mankato, University Archives

<https://libguides.mnsu.edu/covid19communityhistoryproject>

University of Buffalo, University Archives

<https://library.buffalo.edu/archives/donations-transfers/covid-19/>

University of Mary Washington, Special Collections & Archives

<https://libguides.umw.edu/online/scua/contribute>