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A preservation policy maturity model: a practical tool for Greek libraries and archives

Keywords

self-assessment tool; preservation; Greek; libraries; archives; maturity model

Introduction

The growing interest in collection preservation has led to the development of methods for prioritizing needs and evaluating conservation actions towards more effective collections management. Surveys and assessments are closely connected with sustainability, as they are the first step for any kind of strategic planning, such as the development of a programme or a preservation policy. Specialized conservators and professionals in the preservation field frequently undertake a range of actions to improve and organize their work. Understanding the collections' needs and examining them in comparison to existing preservation actions are tasks that should be repeated at regular intervals. There are various tools and methodologies for conducting surveys and assessments and their targets should be set from the beginning. A general preservation planning survey identifies overall preservation goals and priorities for a repository but does not normally provide an evaluation of the specific condition of particular items. On the other hand, a collection condition survey can take the form of an item-by-item survey by a conservator with detailed knowledge of a particular type of collection (for example books, photographs), or it can take the form of a statistical survey that looks at a sample of materials.¹

In 2011, a new self-assessment preservation performance tool for libraries and archives was developed, called the *Preservation Policy Maturity Model*. The tool focuses on libraries' and archives' performance regarding preservation, rather than their collections' preservation status. It is a practical preservation policy maturity model, which aims to assist such Hellenic institutions to formulate a preservation policy, by answering simple questions that assess preservation performance against peer best practice, thus self-assessing their maturity level. The design of the maturity model stems from a nationwide survey regarding the preservation status of the collections of the public, municipal, academic and bank libraries as well as the general state archives in Greece. Both the survey and the tool formed part of the author's PhD research, which was financially supported by the State Scholarship Foundation in Greece.

This article initially charts relevant tools already in use to assist archives, libraries and museums to manage the preservation of their collections. It then presents the innovative nature of the *Preservation Policy Maturity Model*, its background and how it is linked to the national survey's results. It describes the methodology used and the model's structure so it can contribute to new emerging tools. Finally, it discusses steps taken to date and proposes future actions for its evaluation and improvement.

Assessing preservation needs: a literature review

Over the past decades, a number of specialized tools have been developed to help librarians, archivists and curators assess their preservation needs

¹ Beth Patkus, *Assessing Preservation Needs: A Self-Survey Guide* (Andover, MA: Northeast Document Conservation Center, 2003), http://nedcc.org/resources/downloads/apn_ssg.pdf (accessed February 5, 2013).

(Received 4 April 2013; Accepted 11 November 2013)

2 Margaret Child, 'Preservation Assessment and Planning', Resources, Preservation Leaflets, Planning and Prioritizing. Northeast Document Conservation Center, http://www.nedcc.org/resources/leaflets/1Planning_and_Prioritizing/02Preservation_Assessment.php (accessed November 20, 2012).

3 Pamela W. Darling and Duane E. Webster, *Preservation Planning Program. An Assisted Self-Study Manual for Libraries* (Washington, DC: Association of Research Libraries, 1987).

4 Paula De Stefano and Tyler O. Walters, 'A Natural Collaboration: Preservation for Archival Collections in ARL Libraries', in 'Preserving Cultural Heritage', ed. Michèle V. Cloonan and Ross Harvey, *Library Trends* 56, no. 1 (2007): 230–58, <https://www.ideals.illinois.edu/bitstream/handle/2142/3774/DestefanoWalters561.pdf?sequence=2> (accessed March 3, 2013).

5 Museums and Galleries Commission, *Levels of Collection Care: A Self Assessment Checklist for UK Museums* (London: Museums and Galleries Commission, 1998); National Preservation Office, *Preservation Assessment Survey for Libraries and Archives: User's Guide* (London: British Library–National Preservation Office, 2001); Patkus, *Assessing Preservation Needs*. This last guide aims to help small to medium-sized institutions with limited preservation experience to design a programme to ensure that their historical collections survive as long as possible in a usable condition. It is not targeted towards larger institutions such as research libraries, nor is it targeted towards the preservation of general circulating collections. It provides a template for assessing preservation needs, as well as guidance for setting preservation priorities, and points the way to additional sources of preservation information.

6 GRASP aimed to help archivists design a comprehensive plan for the conservation of their institutions, but cooperatively with other archives as part of the team. See Bonnie Rose Curtin, 'Preservation Planning in Archives Paper', *The Book and Paper Group Annual*, no. 9 (1990), <http://cool.conservation-us.org/coolaic/sg/bpg/annual/v09/bp09-05.html> (accessed March 20, 2013). It consists of three tools that are linked together, a computer-assisted self-study, a manual and a resource compendium. See Bonnie Rose Curtin, 'Preservation Planning for Archives: Development and Field Testing of the NAGARA

and decide on priorities for addressing them.² In 1979, the National Endowment for the Humanities (NEH) in the United States, a pioneer in this field, funded the assisted self-study programme that would enable academic libraries to identify and address problems related to integration.³ In 1983, the Association of Research Libraries/Office of Management Services (ARL/OMS) published its first edition of the *Preservation Planning Program: An Assisted Self-Study Manual for Libraries*, accompanied by a separate volume entitled, *Preservation Planning Program: Resource Notebook*.⁴ In the following decades, major organizations developed tools and methodologies for assessing preservation needs for the maintenance and care of collections.⁵

Over the years self-assessment tools for libraries and archives were also available in electronic format. Such tools include the *Guide and Resources for Archival Strategic Preservation Planning* (GRASP) developed and published by the National Association of Government Archives and Records Administrators (NAGARA); the *Preservation Needs Assessment Package* (Pre-NAP) presented by the Research Libraries Group (RLG); CALIPR, which was developed as a part of a state-wide preservation programme in California; and the *Harvard Surveyor*, a custom-made tool for the Harvard University Library.⁶ Moreover, in 2000, based on a research report entitled *A Model for Assessing Preservation Need in Libraries* by the British Library Research and Innovation Centre, the National Preservation Office (NPO) launched the *Preservation Assessment Survey* (PAS).⁷ In 2002, RESOURCE in the UK presented *Benchmarks in Collection Care for Museums, Archives and Libraries*, which was originally analogue, but since 2006 has also been available as a database using Microsoft Excel software.⁸ More recently, in the field of risk assessment, the Birmingham Museums and Art Gallery and the Museum of London presented the *Risk Awareness Profiling Tool* (RAPT). RAPT was launched in 2010 and enables a museum, library or other heritage institution to assess its level of risk awareness.⁹ Table 1 presents a comparative overview of the aforementioned self-assessment tools that are electronically supported. Their common grounds and differences are evident through the examination of their scope, features and target audience.

The variety of tools, in analogue or digital format, shows that institutions' awareness has been raised over the last few decades, with regards to the management of preservation of their cultural collections. These tools, according to their scope and aims, try to address this need at national, regional or institutional level. Although they have differences in their approaches and purpose, their methodology and function is usually a collaborative endeavour that is based on surveys (research) with reference to standards, best practices and benchmarks.¹⁰ Until recently, libraries and archives in Greece did not use a tool for assessing their collections' preservation. The tool presented in this article assists Hellenic libraries and archives to establish a path towards enacting a preservation policy and in doing so helps them manage the preservation of their collections more effectively. This path is based on a preservation policy life cycle and emerges from a self-assessment and understanding of their maturity level. The tool embeds an innovative methodology for its structure and approach of a benchmark scheme, thus contributing to both theory and practice.

The emergence of a new tool

In 2008, a national survey on the preservation status of libraries and archives in Greece was launched as part of the author's PhD research. The survey filled a gap in exploring preservation issues in the aforementioned institutions by providing a wide range of data that can be used as a future reference. It was unique in its breadth and depth of scope and aimed, among others, to clarify institutions' current preservation actions,

Table 1 Comparative presentation of the main features of selected self-assessment tools for preservation.

	CALIPR	GRASP	Benchmarks for Collections Care 2.0	PAS	RAPT
Software	Expert System	Expert System	Microsoft Excel	Microsoft Access™	Web-based questionnaire
Scope of use	Evaluates preservation needs and produces a management report	Offers support through tool and a manual. Tool presents proposals based on priorities and prioritization	Evaluation of preservation needs and quality of practice	Overview of institution's needs and priorities regarding collections preservation	Provides means to assess level of risk awareness at strategic level in organizations by profiling areas where risk awareness needs improvement
Intended user	Institution's employees	Institution's employees	Institution's employees, preferably key members	Institution's employees, after special training, or freelance expert	Institution's employees at a senior level
Assessing collections	Yes	Yes	No	Yes	No
Target group	Libraries	Archives and repositories	Museums, libraries and archives	Libraries and archives	Museums, libraries or other heritage institutions

policies and overall approach towards preservation. The survey investigated current infrastructure, facilities and skills available for the implementation of both conservation and preservation activities and illustrated the need to define and adopt a national preservation policy.

The survey was conducted in two phases, a pilot and the main survey. The pilot phase (launched in 2006), together with primary empirical data, led to the formulation of a working hypothesis and the design of the main survey. This second phase included a questionnaire and interviews with representatives from each group of libraries and archives, professional associations and the Ministry of Education. The interviewees were well-known professionals in Greece and had an active role in the field of libraries and archives. The sample for the questionnaire was as broad as possible, including 346 institutions, divided into five groups: general state archives, public libraries, municipal libraries, academic libraries and libraries of major financial institutions (banks). All libraries, apart from those of the last group, were state owned. Overall, 153 institutions replied (44.2%), but the response rate varied among the five groups.¹¹

Data from both the questionnaire and the interviews were analysed. In particular, data from the questionnaire were analysed using SPSS (Statistical Package for the Social Sciences). Interviews were recorded and the transcript was thematically analysed by identifying and grouping key themes and determining issues. The questionnaire collected data on institutions' profile, type, size and significance of their collections, issues regarding preservation policies and prioritization, remedial and preventive conservation actions, training of employees, digitization and disaster management. Additionally, the interviews further examined the intrinsic qualitative nature of the data collected by the questionnaire. They both provided important information on the reasons that led to the current status in preservation; verified relationships between factors that affect preservation policies and the setting of objectives in the field of organization and development of collection preservation; and traced possibilities for future actions.

The results of this national survey showed that overall the sample institutions cared for the preservation of their collections, but they were often not adequately organized, implementing specialized programmes or policies for preservation. Furthermore, the analysis revealed that a

GRASP', *American Archivist*, no. 3 (1990): 236–43, <http://archivists.metapress.com/content/d4k622h7v8421p70/fulltext.pdf> (accessed March 20, 2013). The guide for GRASP came from *Preservation Planning Program Manual and Resource Notebook* by Pamela Darling and based on this, NAGARA proposed a corresponding tool for archives. See Pamela W. Darling, *Preservation Planning Program Resource Notebook* (Washington, DC: Association of Research Libraries, Office of Management Studies, 1982). The central idea of Pre-NAP was originally developed by RLG's Preservation Committee in May 1989. A task force worked for two years to develop a tool easy to use for the collection of comparable data that could recognize the conservation programme, design and preservation needs of individual libraries. This tool was designed to help library staff survey all collections in order to identify priorities for conservation. Once institutions concluded the survey, the data collected were sent to RLG for further analysis. See Research Libraries Group, *Preservation Needs Assessment Package (Print Materials)* (Mountain View, CA: Research Libraries Group, 1993). In 1990 the California library and archival community, with the guidance and support of the California State Library, began strategic planning for a state-wide preservation programme. See California State Library, 'The California Preservation Program', California State Library, Sacramento, CA, <http://www.calpreservation.org/calpresprog/> (accessed November 2011). Within this programme, CALIPR was designed as an instrument in electronic format that

enabled institutions without preservation expertise to assess the preservation needs of paper-based and audio/visual collections. Using a random sample drawn from the collections, it assessed preservation needs, if preservation programming already was in place, and identified what further work needed to be done to address unmet needs. It generated a management report to provide important insights into the needs of collections as a whole and to those parts of collections of greatest value and at greatest risk of damage and loss. See California State Library, 'CALIPR', California Preservation Program, Preservation Planning, California State Library, CA, <http://sunsite.berkeley.edu/CALIPR/index.html> (accessed November 2011). Harvard University Library Preservation Centre, *Annual Report: FY1994*, July 1, 1993 (Cambridge, MA: President and Fellows of Harvard College, 1993), <http://preserve.harvard.edu/wpc/hulFY94report.pdf> (accessed November 8, 2012).

7 Paul Eden, Nancy Bell and Naomi Dungworth, *A Model for Assessing Preservation Need in Libraries*, no. 125 (London: British Library, Research and Innovation Centre, 1998). PAS helped to identify strengths and weaknesses in preservation practice and prioritize what to do to improve the long-term collection's accessibility. Users identified a 400-item sample and completed a short questionnaire. The answers were then entered into a personalized Microsoft Access database which was returned to the Preservation Advisory Centre. See Preservation Advisory Centre, *Preservation Assessment Survey* (London: Preservation Advisory Centre, British Library), <http://www.bl.uk/blpac/paslib.html> (accessed November 2012); Alison Walker, 'Preservation Assessment Surveys: An Interdisciplinary Approach', *LIBER QUARTERLY* 13 (2003): 273–80.

8 RESOURCE: The Council for Museums, Archives and Libraries, *Benchmarks in Collection Care for Museums, Archives and Libraries* (London: Resource, The Council for Museums, Archives and Libraries, 2002). This tool aims to raise institutions' awareness on matters relating to the care of collections and to suggest steps to achieve best practice.

9 Simon Cane, Duncan Slarke, Jonathan Ashley-Smith, Sharon Robinson and Tanya Pollard, 'Developing a High-Level Risk Assessment Tool for Heritage Assets', in Proceedings of the ICOM-CC

self-assessment tool for the preservation of their collections could greatly raise awareness towards action by assisting them to identify and assess their problems and to understand their preservation status in comparison to others and what needs to be done to raise their maturity level. The provision of a classification of any institution's capacity to develop and implement preservation policies based on a maturity model could enhance their level of awareness and become the driver of best practice actions to formulate and enact on preservation policies.

The self-assessment tool *Preservation Policies Maturity Model (P2M2): objectives, scope and use*

Maturity models are popular instruments with a wide range of application areas, from cognitive science to business applications and engineering. According to Kohlegger *et al.*:

'... a maturity model conceptually represents phases of increasing quantitative or qualitative capability changes of a maturing element in order to assess its advances with respect to defined focus areas.'¹²

In this definition, the *maturing element* is a person, an object or a social system and the *focus area* determines which indicators for maturity can be used to assess a maturing element. Maturity models have been designed to assess the maturity of a selected domain based on a more or less comprehensive set of criteria. The maturity assessment may be descriptive, prescriptive or comparative in nature. A model can evolve from descriptive to prescriptive and then to a comparative phase. The generic framework for the models includes six phases, which are scope, design, populate, test, deploy and maintain.¹³

The tool presented in this article was designed to be a prescriptive model which, according to de Bruin, 'provides emphasis on the domain relationships to business performance and indicates how to approach maturity improvement in order to positively affect business value'.¹⁴ Currently, it has implemented the three initial phases of a maturity model: the documentation of scope, the design and the content (identification of what needs to be measured and how it can be measured), and is into the test phase. Its scope is to improve the ability of Hellenic libraries and archives to formulate and implement preservation policies for their collections, targeted at institutions' administrators.

Based on the survey's results and tools already used in other countries, as previously presented, P2M2 aims to provide institutions with the opportunity of self-assessment and to help them improve their services regarding the preservation of their collections.

The main objectives of the tool in relation to the user-institutions are:

- (1) raising awareness of the preservation of their collections;
- (2) organizational evaluation;
- (3) comprehension and recognition of problems, prioritization of needs and setting priorities;
- (4) integration of collections' conservation actions into the life cycle, management and operations of the institution;
- (5) development of a preservation policy through the management and promotion of the activities already underway, or those that should be organized in the future; and
- (6) further training of employees by providing literature and scientific sources.

Moreover, some long-term objectives are to present a credible and rigorously sound methodology that could be reused, and to introduce a starting

point and become a good practice for other tools that might be developed in the field.

P2M2 is addressed to all Hellenic libraries and archives, regardless of their size and resources. In order for the tool to be functional and have a positive response from the user-institutions, it was designed to be easily understood and simple to use, brief but comprehensive, realistic and adaptable to the needs of the institution. These features are considered to be of high importance for the tool's future use and preference by the institutions. For its development an open, widespread and easily accessible software was used. Google Drive can be used by all institutions and does not require any sort of investment in specific software.

P2M2 focuses on the preservation services, as supported and provided by institutions, and not on the condition assessment of their collections. It was decided from the beginning that it should not involve the sampling of the collections, given the generally small number of specialized staff (conservators) employed by institutions, as the nationwide survey results revealed. In contrast, it focuses on the overall picture of collection care and the way institutions support preservation actions operationally. In this way, P2M2 has no requirements for specialized knowledge and/or training of employees as a pre-condition for use.

Designing P2M2 for scalability and applicability

There were two main areas of focus in order to design and develop P2M2, namely the formulation of its background for its function; and its user interface (introductory part, diagnostic questions and institutions' feedback). In the following paragraphs the methodology for developing the functional part of the tool will be described. This mainly refers to the tool's calibrations, the formulation of well-defined groups that stand as benchmarks for an institution's classification. The functional part was completed in three steps that analysed and managed the data provided by the national survey.

1 Formulating cluster groups

Initially, it was necessary to create groups to classify institutions through a process of diagnostic questions. These groups do not intend to judge or rank the performance of the institution, but to serve as a basis for achieving a subsequent step, by providing guidance and references.

The survey's data were analysed using SPSS. In particular, cluster analysis was performed using the K-means method over three clusters.¹⁵ The reason for initially setting three clusters was the formation of an equal number of groups, according to which institutions will be classified into three levels: 'Basic', 'Fair' and 'Good'. A small number of variables was selected, derived from the questionnaire, in order to perform cluster analysis. This selection was necessary to produce clearly differentiated groups. Table 2 presents the variables used for cluster analysis with examples.

An important criterion for the selection of these variables was their significance and influence on the implementation of preservation actions. In particular, the analysis showed that employment of specialized conservators affects the performance of preservation actions and the type of action carried out (for example preventive and/or remedial conservation). External partners assist institutions on their preservation needs and modulate the services provided to their collections. Finally, the employment of trained personnel has a positive influence on forming partnerships for preservation, but also on implementing preventive measures.

16th Triennial Conference, Lisbon, Portugal, September 19–23, 2011.

10 For example, RESOURCE proposes the use of *Benchmarks in Collection Care*, in conjunction with the British Standards, as set from 1983 up to 2002. See RESOURCE, *Benchmarks in Collection Care*.

11 The response rates for each group of institutions were 74.2% in GSAs, 72.3% in public libraries, 27.5% in municipal libraries, 45.9% in academic libraries and 44.4% in financial institution libraries.

12 Michael Kohlegger, Ronald Maier and Stefan Thalman, 'Understanding Maturity Models, Results of a Structured Content Analysis', in *Proceedings of I-KNOW '09 and I-SEMANTICS '09*, Graz, Austria, September 2–4, 2009, Graz, Austria, 51–61, http://mature-ip.eu/files/papers/iknow09/understanding_maturity_models.pdf (assessed November 11, 2012).

13 Tonia de Bruin and Michael Rosemann, 'Understanding the Main Phases of Developing a Maturity Assessment Model', in *16th Australasian Conference on Information Systems Maturity Assessment Model*, Sydney, November 29–December 2, 2005 (Sydney: Association for Information Systems), http://www.followscience.com/library_uploads/ceba558bded879ccc0b45cd2c657e870/123/understanding_the_main_phases_of_developing_a_maturity_assessment_model.pdf (assessed November 21, 2012).

14 The description of maturity assessment models is further presented in de Bruin and Rosemann, 'Understanding the Main Phases'.

15 Cluster analysis is essentially about discovering groups in data, and clustering methods should not be confused with discrimination and assignment methods, where the groups are known *a priori* and the aim of the analysis is to construct rules for classifying new individuals into one or other of the known groups. The general problem which cluster analysis addresses appears in many disciplines: biology, botany, medicine, psychology, geography, marketing, image processing, psychiatry, archaeology, etc. Cluster analysis techniques are concerned with exploring datasets to assess whether or not they can be summarized meaningfully in terms of a relatively small number of groups or clusters of objects or individuals which resemble each other and which are different in some respects

Table 2 The variables used for cluster analysis with examples of how the variables may be achieved by an institution.

Variables	Examples
Employment of specialized conservators	Institutions have a conservation unit and employ conservators with long-term contracts
Conservation actions	Institutions perform actions for the protection and maintenance of their collections
Type of conservation actions	Preventive or remedial conservation actions, such as storage cleaning or re-binding
Collaborations for preservation	Collaborations with other institutions or individuals from public or private sector
Trained/skilled staff	Employees are trained in preservation through courses, seminars, conferences, etc.

from individuals in other clusters. Algorithms, involving the calculation of the mean (centroid) of each cluster, are often referred to as k-means algorithms. See Brian S. Everitt, Sabine Landau, Morven Leese and Daniel Stahl, *Cluster Analysis* (London: King's College, 2011). In the k-means algorithm, the number of clusters k is assumed to be fixed. It proceeds, for a given initial k clusters, by allocating the remaining data to the nearest clusters and then repeatedly changing the membership of the clusters according to the error function until the error function does not change significantly or the membership of the clusters no longer changes. See Guojun Gan, Chaoqun Ma and Jianhong Wu, *Data Clustering: Theory, Algorithms, and Applications*, ASA-SIAM Series on Statistics and Applied Probability (Philadelphia, ASA, Alexandria, VA: SIAM, 2007).

2 Analysing clusters and configuration of the classification

This involved the attribution of specific features to each of the clusters (groups). Initially, a number of cross tabulations of variables was performed between each cluster group and a range of important variables. The selected variables included those already used in cluster analysis and others used in the diagnostic part of the tool, such as size of an institution, collection's age, annual budget for conservation, acquisition/deaccession policy, assessing collection preservation needs, control of environmental conditions, guidance on collection handling, disinfection of buildings, frequency of collection's use and surrogates, disaster response planning.

The management of the results from the correlations then followed. Each cluster appeared to have specific characteristics, corresponding to different levels of achievement. Thereafter clusters, according to their profile, were linked to three ranking groups—'Basic', 'Fair' and 'Good'—which correspond to the preservation policy maturity level of the institutions. The profile of these groups is presented in Table 3. It is particularly important that institutions are classified according to a scale that is realistically modelled on the current situation ('as is') of Hellenic institutions. This categorization provides for the first time a documented and methodologically sound approach to benchmarks.

In Greece there are neither national standards for conservation and preservation actions in libraries and archives, nor a standard typology for preservation assessment. Furthermore, there is no available assessment tool for libraries and archives that could assist them in defining and recording their preservation needs. P2M2 could lead to the establishment of an organic and self-governed benchmark scheme for use by libraries and archives with historical data. However, it is not among its objectives and capabilities to act as

Table 3 The profile of the groups 'Basic', 'Fair' and 'Good'.

Groups	Description
Basic	Usually small institutions that do not employ conservators, rarely apply preservation actions, and rarely collaborate with other institutions or the private sector for the preservation of their collections. The prospects and possibilities for supporting preservation actions is limited, based on potential employment of trained/qualified staff
Fair	Limited chances of employment of conservators or collaborations regarding preservation actions. However, trained/qualified staff are employed and preventive conservation actions are usually performed
Good	Implementation of preservation actions is usually found, mainly applying both remedial and preventive conservation. Specialized staff, such as book and paper conservators and/or external partners, are responsible for the implementation of such actions. Moreover, staff trained in preservation support conservation actions consistently

Table 4 The variables used by P2M2 for the classification of the user-institutions into one of the three groups 'Basic', 'Fair' and 'Good'.

Variables	Basic	Fair	Good
Employment of conservators		✓	✓
Conservation actions		✓	✓
Type of conservation action: remedial			✓
Type of conservation action: preventive and remedial			✓
Institution's size: small (up to seven employees)	✓	✓	✓
Institution's size: medium (8–18 employees)	✓	✓	✓
Institution's size: large (over 18 employees)		✓	✓

a substitute for any national benchmarks, which should be set and tested in the near future.¹⁶

3 Classifying user-institutions of the tool

The previous step helped to identify those unique features and boundaries of each group for this classification. This was achieved through mutually exclusive answers to the corresponding diagnostic questions. Table 4 presents the variables used by P2M2 for the classification of user-institutions in relation to the features of groups. For example, the 'Basic' group is the only one with institutions that do not employ specialized conservators or implement any preservation actions. Therefore any institution that answers negatively in the corresponding questions is automatically ranked in this group.

The mechanics and structure of P2M2

The interface of P2M2 includes the introductory, diagnostic and advisory sections. The first part welcomes users and provides a brief explanation of terms, so that the diagnostic part is comprehensible (Fig. 1). The diagnostic part includes sections on organization and resources, collection management, preservation actions, training of employees, buildings and infrastructure, collection use and handling, and disaster management.

The diagnostic questions were based on the survey's questionnaire but also other diagnostic tools such as *Benchmarks in Collections Care* and *Assessing Preservation Needs: A Self-Survey Guide*.¹⁷ The questions aim to identify

16 Zoitsa Gkinni and Gerasimos Pavlogeorgatos, 'Preservation Performance Assessment in Greek Libraries and Archives; A Practical Tool to Enable Excellence' (paper presented at the 2nd Qualitative and Quantitative Methods in Libraries International Conference, Chania, Greece, May 25–28, 2010).

17 RESOURCE, *Benchmarks in Collection Care*; Patkus, *Assessing Preservation Needs*.

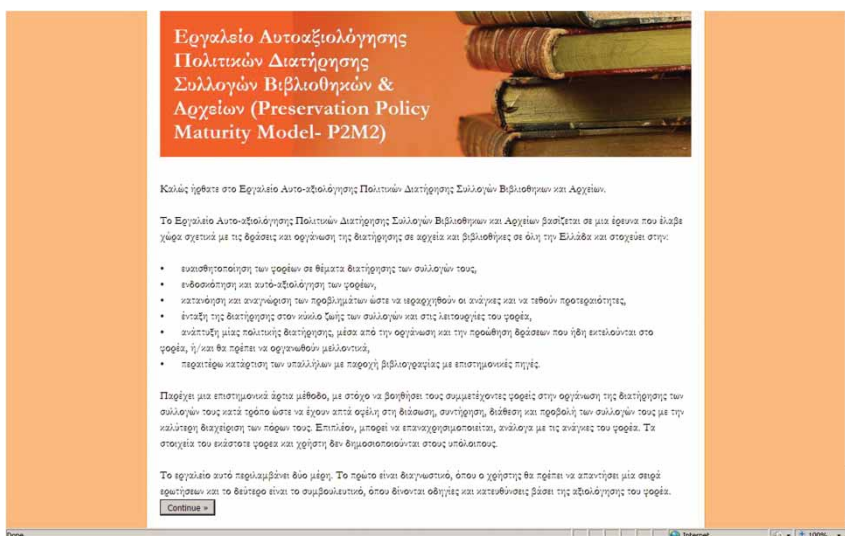


Fig. 1 Screen shot of the home page (introductory part) of the tool.

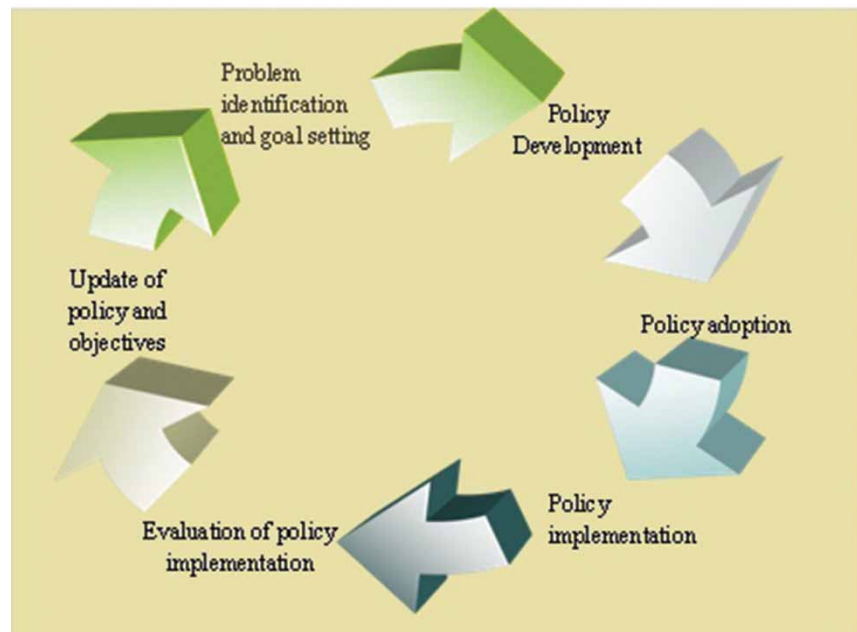


Fig. 2 The preservation policy cycle.

existing activities and resources in order to classify institutions according to their characteristics to one of the three groups of 'Basic', 'Fair' or 'Good'. The questions that are required by the tool in order to classify institutions are marked with an asterisk as a mandatory field.

User-institutions submit their answers online and the data gathered are then processed in order to present to them their classification in one of the three groups, 'Basic', 'Fair' and 'Good', as already described. User-institutions receive their classification status and recommendations via email. The information recommends that the institution identifies its deficiencies, based on the negative responses to the diagnostic questions; and provides a review of the recommendations for preservation actions based on the classification/ranking status. Institutions are provided with specific improvement proposals based on their classification. These proposals are arranged into three sections relating to organization, knowledge and action. The information also recommends that the institution recognizes its maturity in the preservation policy cycle. Institutions are placed into a stage of the preservation policy cycle (Fig. 2) which proposes a course of action in order to establish a preservation policy. Institutions classified at the Basic level are advised to begin the cycle from the problem identification and goal setting stage. Institutions at the Fair level are advised to start from the policy development stage, and institutions at the Good level are advised to start from the update of policy and objectives stage.

Finally, the tool provides a number of references and sources of information for users (employees of institutions) to further research preservation issues.

Conclusions

In the past, a number of self-assessment tools have been presented to libraries and archives in order to help them acknowledge, assess and finally manage their preservation needs. This article presents a brief overview of well-known digital tools and describes the conditions, necessity and emergence of a new openly accessible self-assessment tool, well

grounded in theory, namely the *Preservation Policies Maturity Model* (P2M2) addressed to Hellenic libraries and archives.

This tool has a notable contribution to the organization of both libraries and archives, covering important needs for the preservation of their collections. The significance of this tool lies in its rigorously researched background. It is based on a national survey that provided all the necessary data for the analysis conducted in order to design it and calibrate it according to a realistic benchmark model. The tool is therefore realistic, since institutions can actually identify themselves in one of the designated groups. Although P2M2 is aimed at Hellenic institutions, its methodology can be used as a model by future tools, both in Greece and internationally.

The widespread use of this new tool is underway, as it was dispatched (via email) to all general state archives and all Librarian and Archivist Associations in March 2013.¹⁸ During the next stage of the process, the performance of the tool will be tested extensively and assessed and all necessary changes will be made, in order to improve it.

18 P2M2 can be accessed through the following web address: <http://tinyurl.com/khazwzd>

Acknowledgements

I would like to thank the State Scholarship Foundation in Greece for financially supporting the research carried out during my PhD thesis, the institutions and individuals that participated in the survey, and Professors Alexandra Bounia and Gerasimos Pavlogeorgatos for their support and supervision.

Abstract

In 2011 in Greece, a nationwide survey into the preservation status of collections of public, municipal, academic and bank libraries, including the General State Archives, was completed. The survey was part of a larger research project. This survey aimed to clarify the institutions' current preservation actions, policies and overall approach towards preservation. Based on the results of this nationwide research, the author developed a self-assessment preservation performance tool for libraries and archives, called the *Preservation Policy Maturity Model*. It is essentially a practical yet well-grounded preservation policy maturity model, which helps institutions to formulate a consistent preservation policy by roadmapping their actions, according to current best practice and embedded peer comparison. It is addressed to all Greek libraries and archives. Its innovative nature lies in that the level of preservation maturity that an organization is initially attributed emerges through the analysis of data deriving from the nationwide survey.

Résumé

«Un modèle de maturité pour une politique de conservation : un outil pratique pour les bibliothèques et archives de Grèce»

En 2011, en Grèce, fut achevée une étude nationale sur l'état de conservation des collections de bibliothèques publiques, municipales, académiques et des banques de données, incluant les Archives générales de l'Etat. L'enquête faisait partie d'un projet de recherche plus vaste. Elle avait pour but de clarifier les actions de préservation actuelles, les politiques et l'approche globale des institutions vis-à-vis de la préservation. Sur la base des résultats de cette étude nationale, l'auteur a développé un outil d'auto-évaluation de la performance de la conservation pour les bibliothèques et les archives, appelé *Preservation Policy Maturity Model*. Il s'agit d'un modèle de maturité pour une politique de conservation, essentiellement pratique mais cependant bien fondé, destiné à aider les institutions à formuler une politique de conservation cohérente en dressant une feuille de route de leurs actions, conformes aux meilleures pratiques actuelles et comparables à un groupe de référence. Il s'adresse à toutes les bibliothèques et archives grecques. Son caractère innovant réside dans le fait que le niveau de maturité en con-

servation attribué initialement à une organisation émane de l'analyse des données provenant de l'enquête nationale.

Zusammenfassung

„Ein Reifemodell für die Bestandserhaltung: ein praktisches Werkzeug für griechische Bibliotheken und Archive“

Eine nationale Datenerhebung zum Erhaltungszustand der Sammlungen in öffentlichen, städtischen, akademischen und bankverbundenen Bibliotheken, sowie dem Staatsarchiv in Griechenland wurde 2011 abgeschlossen. Die Erhebung war Teil eines größeren Forschungsprojektes. Das Ziel der Untersuchung war es, die Bestandserhaltungsmaßnahmen, die allgemeine Einstellung zur Bestandserhaltung, sowie die Bestandserhaltungsstrategie zu erhellen. Basierend auf den Resultaten dieses landesweiten Forschungsprojektes entwickelte der Autor ein Selbsteinschätzungswerkzeug für die Bestandserhaltungsfomance für Bibliotheken und Archive, genannt „Reifemodell für Bestandserhaltung“. Es ist ein praktisches, aber bodenständiges Modell zur Einschätzung der Reife der Bestandserhaltungsstrategie, das den Institutionen dabei hilft, ihre Maßnahmen zu formulieren und dadurch eine ebene Strategie zu formen. Dabei orientieren sie sich an der jetzigen „best practice“ und Vergleichen mit der Peer group. Es wendet sich an alle griechischen Bibliotheken und Archive. Seine innovative Natur liegt darin, daß der Grad an Reife in der Bestandserhaltung, die eine Institution zuerst zugeteilt bekommt, durch die Datenanalyse aus der nationalen Erhebung zum Vorschein kommt.

Resumen

“Un modelo sensato de normas de preservación : una herramienta práctica para las bibliotecas y archivos griegos”

En 2011 en Grecia se completó un sondeo sobre el estado de preservación de las colecciones públicas, municipales, de bibliotecas académicas y de bancos, incluyendo la del Archivo General del Estado. El objetivo de este sondeo era clarificar las acciones, normas y estrategias de preservación que se están llevando a cabo en las distintas instituciones hoy en día. Basándose en los resultados de esta investigación a nivel nacional, el autor desarrolla una herramienta de auto-evaluación de preservación para bibliotecas y archivos llamada 'Preservation Policy Maturity Model'. En esencia es un modelo práctico y bien fundamentado con normas sensatas de preservación, que ayuda a las instituciones a desarrollar unas normas de preservación consistentes, proveyendo una síntesis de acciones basada en las mejores prácticas actuales e integrando comparaciones entre colegas. Esta dirigido a todas las bibliotecas y archivos griegos.

Su naturaleza innovadora se encuentra en que el nivel de preservación que se atribuye inicialmente a una organización emerge a través de la información obtenida del sondeo nacional.

Biography

Zoitsa Gkinni graduated from the Department of Conservation of Antiquities and Works of Art, Technological Educational Institute of Athens in 1999. She continued her studies at Camberwell

College of Arts, London, where she was awarded a Master of Arts in Conservation in 2000. Today she holds a PhD from the University of the Aegean, Department of Cultural Technology and Communication researching the preservation status and policies in Greek libraries and archives. Her research was supported by the State Scholarships Foundation. Since 2001, she has worked at the Directorate of Conservation for Ancient and Modern Monuments, Hellenic Ministry of Culture.

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