

**MOVING IMAGE ARCHIVING & PRESERVATION PROGRAM  
COLLECTION MANAGEMENT, CINE-GT 3401**

*Updated 2016-02-03*

Spring 2016 – Tuesdays, 6 pm – 10 pm, 721 Broadway, Room 652  
**See adjusted times/locations for some classes.**

**Instructor:** Grace Lile

**Office hours:** Tuesdays 5 – 6pm or by appointment

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**GOALS:** Students will develop an increased understanding of the principles and practices of collection management for moving images, sound, and multimedia existing in analog or digital form. They will gain hands-on experience with collection assessment, evaluating collections in areas including purpose and policies, care and handling, organization and description, item formats and condition, storage and environment, and copyright. Students will apply current standards and best practices to identify risks to the collections and to develop action steps for improved collection care, preservation and access. Students will gain experience with preservation planning for phased projects, including fundraising. This course stresses the application of archival principles and best practices in a variety of public and private institutional settings, including organizations specializing in audiovisual preservation, those with few or no dedicated moving image specialists, and “ad hoc” collections such as those with producing entities, independent producers or artists.

**Upon completion of this course students should:**

- Understand the core components of archival collection management including appraisal, acquisition, accession, assessment, description, preservation, systems, planning, and policies;
- Be able to write an accurate, coherent and usable evaluation and risk assessment with recommendations for collection preservation for use by a collection manager;
- Be able to effectively synthesize and apply knowledge gained in Semester 1--including copyright, format identification, inspection and risk factors, cataloging and metadata--in a real-world context;
- Understand how to apply best practices and archival principles to the evaluation and management of audiovisual collections, and
- Understand the fundamentals of fundraising for preservation of moving image materials.

**ASSIGNMENTS:** Students will work together on a group project to assess a collection at the Fales Library and Special Collections that will result in an assessment report and item level inventory or other form of appropriate description. Students will then apply their learning from the group experience by conducting an individual collection assessment with a film/video/audio/digital repository, resulting in a

written report summarizing their findings and recommendations and including an inventory or other form of description at item, box, or collection level. Using a project worksheet, students will then shape all or part of the report’s short-term recommendations into a first phase plan with immediate goals and objectives, and write a letter of inquiry and budget that reflects the plan. Highlights of the assessment and funding request will also be presented in a presentation “pitch” in the final two classes of the semester. In some cases, students have preferred to use a different collection or project than the subject of their assessment; this is permitted with approval from the instructor.

The group and individual assessments are shared with the organizations. The Letter of Inquiry is not.

Assignment	Date Assigned	Draft Due	Draft returned By	Final Due
Group Assessment (a1)	Feb 2	March 14	March 22	March 29
Individual Assessment (a2)	Feb 9	April 5	April 12	April 26
LOI & Worksheet (a3)	April 5	April 12	April 19	May 3

**Please submit assessment reports in Word, and inventories in Excel.**

All course papers/projects will be submitted in electronic form by the beginning of the class period on the due date.

Attendance at all classes is expected unless excused. Notify the instructor prior to class of any absences; absences for classes where work is due or presentations are scheduled will require a doctor’s note if due to illness or injury. Deadlines for assignments are firm and any extensions on written work due to unavoidable circumstances will require prior approval.

**GRADES:** Grades will be based primarily on assignments:

- Group collection assessment (25%)
- Individual assessment (50%)
- Letter of inquiry/budget/pitch (25%)

Your level of class preparedness and participation will also impact the grade, as well as any unexcused absences or unexcused late work.

**FIELD TRIPS:**

- The class will visit the Fales Library and Special Collections, 3<sup>rd</sup> floor Bobst Library on February 2.
- The class will spend one full week at the **Library of Congress National Audiovisual Conservation Center in Culpeper, VA**. All students must attend for the full week, arriving **Sunday February 21 and departing Friday, February 26**. Details from Kathy Short will follow. Part-time students who are unable to attend during the year they are taking Collection Management are required to attend in another semester before obtaining the MIAP degree.

**MIAP DIGITAL ARCHIVE:** Your papers will be made part of the MIAP Digital Archive in a private space for faculty use, and on the MIAP web site, where appropriate. Please inform me of any papers that cannot be published on the web due to confidentiality restrictions or special circumstances. In some cases, the title of a paper will be published, but access to the paper will be restricted to selected MIAP faculty and staff. File submission format for assignments:

year semester\_class number\_ author's last name\_assignment number.ext

Example: 15s\_3401\_Smith\_a1.doc

For multiple authors, the two initials of each author will be used, separated from each other by underscores. An underscore and the assignment number will follow this. Assignment numbers are determined by the order in which the assignments are given. They begin with an 'a,' followed by a number between one and ten. For assignments with multiple files, a letter can be added after the number. Thus, one could have 'a1b,' meaning that this is the second of multiple files from one student for one particular assignment. If a student decides to withhold her work from being freely available online, she may alert the professor, as well as by adding "\_x" after the assignment number in file name. Otherwise, permission shall be implicitly granted for the student's work to be posted on the digital archive website.

Example: 15s\_3401\_smith\_a1\_x.doc

#### **TEXTS:**

- On reserve at Bobst: **Keeping Archives**, Ellis, Judith, ed.
- All other readings are available electronically via the link in this syllabus, or on NYUClasses.

There may be additional assigned readings throughout the semester.

#### **Class 1: January 26**

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Due this class:

#### **Read:**

- Conway, Martha O'Hara, and Merilee Profitt for OCLC Research. **Taking Stock and Making Hay: Archival Collections Assessment**, 2011. Accessed 2015-12-29 at <http://oclc.org/content/dam/research/publications/library/2011/2011-07.pdf>

#### **Review:**

- Smith, Anne P., Jill Swiecichowski and Beth Patkus. **Preferred Practices for Historical Repositories: A Resources Manual** on the web site of Georgia Archives, Georgia Secretary of State. 1999/2010. Accessed 2015-12-29 at [http://www.georgiaarchives.org/documents/ghrac/GHRAC Preferred Practices Manual.pdf](http://www.georgiaarchives.org/documents/ghrac/GHRAC_PREFERRED_PRACTICES_Manual.pdf)

Topics/activities in class:

- Overview of class goals and expectations; review of syllabus.
- Review of key areas of collection development and management with emphasis on archival practice.
- Purpose and components of a collection assessment.
- Purpose and examples of assessment tools.
- Exercise with online assessment tool (PSAP or AVCompass or AVCC)
- Preparation for visit to the Fales Library and Special Collections for next class.

## Class 2: February 2

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**Meet at the Fales Library and Special Collections, Bobst Library, 6:00 – 7:30 pm.** Class will resume at 8:00 at 721 Broadway.

Guest: Brent Phillips, Media Specialist and Processing Archivist, Fales Library and Special Collections, Bobst Library

Due this class:

**Read:**

- Audiovisual Preservation Solutions. **University of Ghana Audiovisual Collection Assessment & Digitization Plan.** May 2012. Commissioned by Audiovisual Preservation Exchange, MIAP Program, Department of Cinema Studies Tisch School of the Arts, New York University. Available on NYUClasses/Resources/Assigned\_Readings. [**NOTE:** Not for public dissemination or citation]
- Rutgers University Community Repository. **“Collecting Policy.”** Accessed 2015-01-07 at <https://rucore.libraries.rutgers.edu/policies/collections.php>
- From Ngā Taonga Sound & Vision (f/k/a The New Zealand Film Archive), available in Classes:
  - **“Selection and Acquisition Policy”**
  - **“Deposit Agreement”**
  - **“Taonga Maori Deposit Agreement”**

**Review:**

- The web site for the Fales Library and Special Collections, with particular attention to the “Collection Development Policy” section.  
<http://www.nyu.edu/library/bobst/research/fales/abouttest.html>
- **Archivists Toolkit.** Accessed 2016-01-21 at <http://archiviststoolkit.org/>
- **ArchivesSpace.** Accessed 2016-01-21 at <http://www.archivesspace.org/> Also:

Topics/Activities in class:

- Collection management at Fales
- Discussion of Collecting/Acquisition policies
- Introduction to Group Assessment assignment
- Introduction to Individual Assessment assignment

## Class 3: February 9

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Due this class:

**Read:**

- Chapter 3 “**Arrangement and Description**” in Ellis, Judith, ed. **Keeping Archives**. 2<sup>nd</sup> ed. Port Melbourne: Thorpe and the Australian Society of Archivists. 1993. On reserve at Bobst Library.
- Ide, Mary and Leah Weisse. “**Developing Preservation Appraisal Criteria for a Public Broadcasting Station.**” *The Moving Image*, Volume 3, Number 1, Spring 2003, pp. 146-157. In NYUClasses/Resources/Assigned\_Readings and via Bobcat.
- Society of American Archivists. “**Code of Ethics for Archivists**” in “Standards” on the web site of the Society of American Archivists. 2005, 2012. Accessed 2016-01-21 at <http://www2.archivists.org/statements/saa-core-values-statement-and-code-of-ethics>

Topics/activities in class:

- Box exercise. Practice identifying, observing and making inferences. Approaches to arrangement. Determining relationships between audiovisual items.
- Inventories. Discuss inventories. Work together to create an inventory from Box exercise media. Comparisons of collection level, box level and item level inventories.
- Finalize site assignments for Individual Assessments.

## **Class 4: February 16**

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Due this class:

**Assignments:**

- By class time each pair of students should have inspected the collection for the group project at Fales. Come prepared with observations based on your preliminary inspection and your proposed methodology for tackling the collection.
- By the end of this week, you should have made contact with the organization/producer for your individual collection assessment, should have requested descriptive information, and should have scheduled a time for your initial visit.

**Read:**

- Fleischhauer, Carl. “**Format Considerations in AudioVisual Reformatting: Snapshots from the Federal Agencies Digitization Guidelines Initiative.**” Spring 2010. *Information Standards Quarterly*. Vol. 22, Issue 2. Accessed 2015-12-29 at [http://www.digitizationguidelines.gov/audio-visual/documents/IP\\_Fleischhauer\\_AudioVisual\\_Reformatting\\_isqv22no2.pdf](http://www.digitizationguidelines.gov/audio-visual/documents/IP_Fleischhauer_AudioVisual_Reformatting_isqv22no2.pdf)

**Review:**

- Casey, Mike. “**Format Characteristics and Preservation Problems**” and “**FACET worksheets**” in the “FACET Downloads” section of *Sound Directions: Digital Preservation and Access for Global Audio Heritage*. April 15, 2008. Accessed 2016-01-12 at

[http://www.dlib.indiana.edu/projects/sounddirections/facet/facet\\_formats.pdf](http://www.dlib.indiana.edu/projects/sounddirections/facet/facet_formats.pdf)

- Columbia University Libraries. **AVDb: Columbia University Libraries Audio and Moving Image Survey Tool**. Marcos Sueiro, 2008. Accessed 2016-01-12 at <http://library.columbia.edu/services/preservation/audiosurvey.html>
- University of Illinois at Urbana-Champaign. **PSAP: Preservation Self-Assessment Program. 2015**. Accessed 2016-01-18 at <https://psap.library.illinois.edu/format-id-guide#audiovisual>

Topics/activities in class:

- Review of risk factors for AV media, inspection, problem identification, risk assessment
- Practice identifying and reporting on observed problems/risk factors.
- Discuss progress on Fales project.
- Prepare for visit to NAVCC

**[Class 5: February 21-26 at Library of Congress National Audiovisual Conservation Center in Culpeper, VA](#)**

Due this class:

**Review:**

- Website for the National Audiovisual Conservation Center. <http://www.loc.gov/avconservation/packard/>
- Lukow, Gregory. Presentation. "Planning for Digital preservation and Acquisitions at the Library of Congress National Audio-Visual Conservation Center." May 1, 2007. Accessed 2016-01-20 at <http://www.archives.gov/preservation/conferences/2007/lukow.pdf>

**[Class 6: March 1](#)**

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Guest: Joshua Ranger of AVPreserve will speak to the class about collection assessments.

Due this class:

**Read:**

- Fleischauer, Carl, Isaiah Beard and Hannah Frost. "**Wrappers and Codecs: A Survey of Selection Strategies.**" Accessed 2016-01-12 at <http://page2pixel.org/amia-iasa2010/>
- Murray, Kate. The Signal (blog): "**One Format Does not Fit All: FADGI Audiovisual Working Group's Diverse Approaches to Format Guidance.**" October 31, 2013. Accessed 2016-01-20 at <https://blogs.loc.gov/digitalpreservation/2013/10/one-format-does-not-fit-all-fadgi-audio-visual-working-groups-diverse-approaches-to-format-guidance/>
- Lacinak, Chris. "**A Primer for Codecs for Moving Image and Sound Archives: Ten Recommendations for Codec Selection.**" 2010. New York: AudioVisual Preservation Solutions. Accessed 2016-01-12 at [http://www.avpreserve.com/wp-content/uploads/2010/04/AVPS\\_Codec\\_Primer.pdf](http://www.avpreserve.com/wp-content/uploads/2010/04/AVPS_Codec_Primer.pdf)

**Review:**

- National Digital Information Infrastructure and Preservation Program. **Sustainability of Digital Formats: Planning for Library of Congress Collections**. Accessed 2016-01-12 at <http://www.digitalpreservation.gov/formats/sustain/sustain.shtml>
- Federal Agencies Digitization Guidelines Initiative. **Digital File Formats for Videotape Reformatting**. September 8, 2014. Parts 1-5. Comparison of 5 wrappers and 5 encodings against sustainability factors. Accessed 2016-01-12 at [http://www.digitizationguidelines.gov/guidelines/video\\_reformatting\\_compare.html](http://www.digitizationguidelines.gov/guidelines/video_reformatting_compare.html)

Topics/activities in class:

- Collection assessment case studies; different levels and types of assessment.
- De-brief from Culpeper. Be prepared to report back on and discuss what you learned and observed.
- Time in class to work on Group Assessment.

**Class 7: March 8**

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Guest speaker: Nicole Martin, Archive Manager from Human Rights Watch, will speak to the class about collection management of born-digital media.

Due this class:

**Assignments:**

- **Draft of Group Assessment due by March 14.**
- By the end of this week, you should have made your first visit to the organization/producer for your individual collection assessment and have scheduled the remainder of your visits.

**Read:**

- National Digital Stewardship Alliance. **The NDSA Levels of Digital Preservation: An Explanation and Uses**. Phillips, Megan et al, 2013. Accessed 2016-01-02 at [http://www.digitalpreservation.gov/ndsaworking\\_groups/documents/NDSA\\_Levels\\_Archiving\\_2013.pdf](http://www.digitalpreservation.gov/ndsaworking_groups/documents/NDSA_Levels_Archiving_2013.pdf)
- Cornell University Library; MIT. **Digital Preservation Management: Implementing Short-Term Strategies for Long-Term Solutions**. Accessed 2016-01-12 at:
  - **“Survey of Institutional Readiness”**  
<http://www.dpworkshop.org/sites/default/files/readiness.pdf>
  - **“Program Elements: Organizational Infrastructure”**: <http://dpworkshop.org/dpm-eng/program/techinf.html>
- Bishoff, Liz and Erin Rhodes. **NEDCC: Planning for Digital Preservation: A Self-Assessment Tool**. (2007) Accessed 2016-01-12 at <https://www.nedcc.org/assets/media/documents/DigitalPreservationSelfAssessmentfinal.pdf>

Topics/activities in class:

- Managing digital collections.
- Overview of digital AV basics.

- Technical specifications for target formats, including file/wrapper considerations, codec choice and options for re-use and access.

\*\*\*\*\* TUESDAY MARCH 15 - NO CLASS - SPRING BREAK\*\*\*\*\*

### Draft Group Assessment due by March 14

#### Class 8: March 22

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Guest: Martin Tzanev, Video Technology Specialist at WITNESS, will discuss digital storage principles and practicalities

Due this class:

**Assignments:**

- **Draft Group Assessment** returned with comments

**Read:**

- Minnesota Historical Society website. **“Electronic Records Management Guidelines”** Accessed 2016-01-12 at <http://www.mnhs.org/preserve/records/electronicrecords/erdigital.php> and <http://www.mnhs.org/preserve/records/electronicrecords/erstorage.php>
- Curran, Alexandra. The Signal (blog). **Plans for Assessing Preservation Storage Options and Lifecycles at MIT Libraries: An NDSR Project Update.** December 22 2015. <http://blogs.loc.gov/digitalpreservation/2015/12/plans-for-assessing-preservation-storage-options-and-lifecycles-at-mit-libraries-an-ndsr-project-update/?loclr=eadpb>

Topics/activities in class:

- Presentation on digital storage principles and approaches
- Feedback and discussion on draft Group Assessment. Time will be allocated to work in class.

#### Class 9: March 29

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Guest: Patrick Galligan, Digital Archivist at Rockefeller Archives Center, will present on and demonstrate ArchivesSpace.

Due this class:

**Assignments:**

- **Final Group Collection Assessment Report and Inventory** due by class time

**Read:**

- Barbara Goldsmith Preservation & Conservation Department, New York University Libraries. **Digitizing Video for Long-Term Preservation: An RFP Guide and Template.** 2014. Accessed 2015-12-29 at <http://library.nyu.edu/preservation/VARRFP.pdf>
- Federal Agencies Digitization Guidelines Initiative. **Digitization Activities: Project Planning and**

**Management Outline.** Version 1.0, November 2009. Accessed 2015-12-29 at

<http://www.digitizationguidelines.gov/guidelines/DigActivities-FADGI-v1-20091104.pdf>

- Corporation for Public Broadcasting. **REQUEST FOR PROPOSAL: Digitization Project Contractor.** 2011. Available in NYUClasses/Resources/Assigned\_Readings.

Topics/activities in class:

- Readiness factors for digitization and digital preservation.
- Check-in on individual assessments, with focus on creating and refining recommendations based on data collected.

## **Class 10: April 5**

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Guest Speaker: Kim Tarr, NYU Media Preservation, will speak about digital preservation projects and RFPs.

Due this class:

**Assignments:**

- **Draft Individual Collection Assessment** due
- By this class, you should be mostly done with data collection for the individual collection assessments and be in the analysis and writing phase.
- **Letter of Inquiry** assigned.

**Read:**

- Foundation Center. **“Proposal Writing Short Course”** on the web site of the Foundation Center. 2012. Accessed 2015-12-29 at <http://foundationcenter.org/getstarted/tutorials/shortcourse/>
- National Endowment for the Humanities. **“Preservation and Access: Digitizing Rare and Fragile Components of the Country Music Foundation Archive”**. Accessed 2016-12-30 at [http://www.neh.gov/files/grants/country\\_music\\_hall\\_of\\_fame\\_digitizing\\_components\\_of\\_the\\_archive.pdf](http://www.neh.gov/files/grants/country_music_hall_of_fame_digitizing_components_of_the_archive.pdf)

**Review:**

- These websites:
  - Institute for Museum and Library Services. [www.ims.gov](http://www.ims.gov)
  - National Historical Publications and Records Commission. <http://www.archives.gov/nhprc>
  - Mellon Foundation. <http://www.mellon.org>
  - Council on Library and Information Resources (CLIR). **Digitizing Hidden Special Collections and Archives: Enabling New Scholarship through Increasing Access to Unique Materials** <http://www.clir.org/hiddencollections>

Topics/activities in class:

- Undertaking digital preservation projects and RFPs.
- Key principles and elements of a funding proposal; turning a preservation work plan into a

fundable project.

- Creating a detailed work plan, with an attached timeline and budget, from a list of recommended actions.
- Introduction and assignment of Letter of Inquiry.

### Class 11: April 12

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Due this class:

**Assignments:**

- **Draft project worksheet and letter of inquiry** due
- **Draft Individual Assessment** returned with comments

Topics/activities in class:

- Continue review of sample grant proposals.
- Discussion of and practice with creating budgets for grants
- Feedback on Individual Assessments.

### Class 12: April 19

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Due this class:

Due:

- **Draft Letter of Inquiry** returned with comments.

**Read:**

- De Stefano, Paula and Mona Jimenez. **“Commercial Video Collections: A Preservation Survey of the Avery Fisher Center Collection at NYU.”** *The Moving Image*. Volume 7, Number 2, Fall 2007. pp. 55-82. Available in NYUClasses/resources/Assigned\_Readings or in Bobcat.

**Review:**

- New York University. **Video at Risk Project**. Accessed 2016-01-20 at <http://www.nyu.edu/tisch/preservation/research/video-risk/>

Topics/activities in class:

- Studies and research projects for circulating video collections in libraries.
- Feedback on Letters of Inquiry and time to work in class.

### Class 13: April 26

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Due this class:

**Assignments:**

- **Final individual assessments** due

Topics/activities in class:

- Presentations by ½ of class
- 30-minute PowerPoint presentations (20 min. plus 10 min. Q & A)

### **Class 14: May 3**

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Due this class:

**Assignments:**

- **Final project worksheet and Letter of Inquiry** due

Topics/activities in class:

- Presentations by ½ of class
- 30-minute PowerPoint presentations (20 min. plus 10 min. Q & A)