

# **Guidelines for** **ARCHIVES** **in** **NEW** **BRUNSWICK**

Third edition



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The mandate of CANB is to promote, and assist with, the preservation and accessibility of New Brunswick's documentary heritage.

## Guidelines to Archives in New Brunswick

### Introduction

The Council of Archives New Brunswick (CANB) developed this publication to provide a consistent framework of operational objectives and best practices for public and private archival organizations across New Brunswick. These guidelines are designed to assist archives in planning, developing, and achieving their full potential through logical and progressive steps. They aim to serve as a foundational resource from which archival institutions can build and grow.

For additional guidance or support in any area, please contact the CANB Archives Advisor ([archives.advisor@gnb.ca](mailto:archives.advisor@gnb.ca)), who will be pleased to assist you.

### What are Archival Records?

Archival records are inactive records identified as having administrative, legal, historical, or cultural significance. Typically, they are original, unique, and unpublished. These records exist in various formats, including textual documents, maps, architectural drawings, photographs, films, microfilms, sound recordings, and digital files.

### Purpose of the Guidelines

These guidelines aim to:

- Demonstrate to clients, donors, and the general public that the institution provides equitable access to its holdings while respecting restrictions, conditions, copyright, and privacy considerations.
- Highlight the institution's commitment to meaningful preservation responsibilities.
- Encourage the professional development and training of board members, staff, and volunteers.
- Advocate for the adoption of specialized policies and procedures unique to archival work, such as arrangement and description, within parent organizations.
- Strengthen applications for funding by showcasing adherence to archival standards and best practices.

### Application of the Guidelines

This resource is also intended to help staff and volunteers responsible for archival records understand and implement core archival principles. By doing so, institutions can ensure the consistent and appropriate management of archival materials, reinforcing their significance and safeguarding them for future generations.

## Museums and Archives: Shared Purpose, Distinct Roles

Museums and archives share similar goals: both acquire materials of enduring historical value for public use and preserve them for future generations. However, their purposes and functions diverge in key ways, particularly in the areas of interpretation and accountability.

Museums focus on collecting objects for research, education, exhibition, interpretation, and preservation. Through exhibitions, public programming, research, and other activities, museums interpret their collections to engage and inform their audiences.

Archives, by contrast, collect records to provide evidence of actions and decisions, holding individuals and institutions accountable. The primary purpose of archival records is to document and preserve evidence, rather than to interpret it. Unlike museums, archives rarely focus on interpretation for visitors. While some archives—particularly those affiliated with museums—may present exhibitions, their role is more often to provide context and support for the stories and artifacts that museums seek to interpret.

Ultimately, museums and archives complement one another, with museums focusing on storytelling and public engagement, and archives serving as stewards of accountability and evidence.

## Definitions

The following is a list of key definitions used throughout this guide:

### **Accession**

An item, fonds, or collection acquired at one time from a single source. The term “acquisition” may also be used interchangeably with “accession.”

### **Accessioning**

The process of formally bringing an item, fonds, or collection into the legal custody of an archive.

### **ArchivesCANB**

ArchivesCANB is the Council of Archives New Brunswick’s archival database, included in the institutional CANB membership.

### **Arrangement**

1. The organization of archival materials according to the principles of provenance and original order.
2. Physical arrangement involves tasks such as numbering, placing materials in folders, labeling, and shelving archival materials.

### **Appraisal**

The process of determining the monetary value of archival materials for tax or insurance purposes. This is also referred to as monetary appraisal.



**Collection**

An artificial grouping of records gathered by an individual, family, or organization from a variety of sources, rather than records organically created by the collector (see **fonds**). For example, a person with an interest in the First World War may compile related records into a collection.

**Conservation**

Invasive treatments applied to a record to stabilize it for long-term preservation. Conservation treatments are designed to be reversible and non-damaging to the original object. Such treatments should only be performed by a trained conservator specializing in archival materials.

**File List**

A tool used by archives to locate and retrieve materials efficiently. File lists typically include a description of the records, the boxes they are stored in, and their specific locations. File lists may be standalone or integrated with a finding aid.

**Finding Aids**

Documents that describe and preserve the intellectual arrangement of a fonds or collection, created using the **Rules of Archival Description (RAD)**.

The physical creation of Finding Aids may be done manually in-house, or can be auto-generated in ArchivesCANB after inputting into the database.

**Fonds**

The entirety of records, regardless of form or medium, organically created or accumulated by a specific individual, family, or organization in the course of their activities or functions.

**Mandate**

1. An official document granting authority for the institution to operate, such as legislation, founding documents, incorporation papers, or letters patent.
2. A statement issued by the institution's governing body outlining its activities and the scope of materials it collects.

**Obsolescence**

Obsolescence in digital archival material occurs when hardware, software, or file formats become outdated, rendering digital content inaccessible or unusable.

**Original Order**

A core archival principle that requires archivists to preserve the arrangement of a fonds as established by its creator.

**Parent Organization**

The entity responsible for establishing an archive to house its records. For example, the **New Brunswick Girl Guides** serves as the parent organization of the **Girl Guides of New Brunswick Archive** in Saint John.

**Policy**

A high-level document developed by an institution's leadership to guide decisions and actions on

specific topics. Common archival policies include access, preservation, communication, and collections policies.

**Preservation**

Non-invasive actions aimed at maintaining the environment in which archival materials are stored to ensure their long-term stability. Preservation efforts can be undertaken by staff, volunteers, or other individuals.

**Procedure**

Detailed instructions outlining how staff and volunteers should complete specific tasks. Unlike policies, procedures are developed by staff and volunteers and do not require approval from the governing body.

**Processing**

The overarching term used to describe the actions involved in preparing archival materials for use, including their arrangement and description.

**Provenance**

In archives, provenance refers to the individual, family, or organization that created or accumulated a fonds or collection. In a museum context, provenance refers to the ownership history of an object. Provenance is a fundamental archival principle.

**Respect des Fonds**

A foundational archival principle comprising two elements:

1. Maintaining the records of a single creator together.
2. Preserving the original order of the records as they were organized and used by the creator.

**Rules of Archival Description (RAD)**

The national standard for describing archival materials in Canada, commonly referred to by the acronym “RAD.”

**Selection**

The process of deciding which records in a fonds or collection the archive will retain. In this guide, “selection” is used to refer to the retention process, while “appraisal” refers specifically to determining the monetary value of archival materials.

## 1 - Governance in Archives

Governance plays a vital role in guiding archival institutions toward long-term viability, effectiveness, and stability. It involves the development and clear articulation of the institution's mandate and ensures adherence to it. Effective governance promotes responsible stewardship of finances and resources, as well as the establishment of consistent policies for governing bodies, paid staff, and volunteers.

Governance encompasses all leadership activities, including the work of the governing body, the organization of annual general meetings, the creation and enforcement of policies, and the oversight of fundraising efforts. These actions collectively ensure that the archives remain sustainable and continue to serve their mission effectively over time.

### 1.1 Mandate and Authority

Effective governance begins with a clear, written mandate that outlines the purpose, objectives, and operational authority of a heritage institution. This mandate typically reflects geographical, temporal, and/or cultural factors. For example, an archive may focus on acquiring materials from a specific town, community group, time period, or a combination of these elements. The mandate should be concise and encapsulate the institution's mission.

If an archive operates as part of a museum, it does not require a separate mandate, as it follows the museum's overarching mandate. However, the archive must develop its own distinct policies and procedures. A well-defined mandate is crucial as it forms the foundation for key decisions, including acquisitions, deaccessioning, and programming.

#### Authority and Legal Establishment

Archives are constituted based on established legal authority, such as municipal by-laws, corporate charters, letters patent, or other documents that provide evidence of their legal existence. These foundational documents should also outline provisions for the archive's dissolution and the responsible dispersal of its fonds or collections.

In cases where an archive functions as a unit within a parent organization, there must be clear administrative and communication channels to ensure the flow of information, resources, and records. For example, the **UNB Archives & Special Collections** operates as a department within the University of New Brunswick. It is funded by the university and acquires documentary heritage related to UNB, including materials from prominent alumni, professors, and New Brunswick authors. The UNB Archivist liaises with other university departments to secure materials, funding, and staff.

#### The Governing Body

All heritage institutions require a governing body responsible for high-level leadership and decision-making. This body should meet regularly and maintain relevant documentation, such as meeting minutes and incorporation records. While the governing body is accountable for policy decisions, day-to-day operations should be handled by a designated individual separate from the governing body.

Members of the governing body must remain vigilant about potential conflicts of interest and take appropriate steps to recuse themselves or prevent such situations.

### Terms of Reference for Governing Bodies

A **Terms of Reference** document provides essential structure and clarity for governing bodies. It should include:

- A regular schedule of meetings.
- Written descriptions of trustee roles and responsibilities.
- An orientation program for new board members.
- Terms for member renewals.
- Endorsement of a Code of Ethics, such as those of the **Association of Canadian Archivists** or the **Association des archivistes du Québec**.
- Approval responsibilities for all deaccessioning recommendations, as this is a governance duty.

Diverse membership is essential for effective governance. The governing body should include individuals from varied backgrounds with expertise in areas such as finance and law. When possible, at least one member should have archival experience or formal training. If this is not feasible, the governing body should seek advice from experts, such as the CANB Archives Advisor, to make informed decisions about archival materials.

Maintaining an up-to-date manual documenting the board's structure, functions, and member roles will facilitate smoother transitions and help new members acclimate to their responsibilities.

## 1.2 Administration

The daily operations and administration of an archive should be overseen by a designated administrator who does not sit on the governing body. This individual is responsible for implementing the governing body's vision, managing operations, and ensuring compliance with established policies and procedures.

To effectively fulfill their role, the administrator should have opportunities for appropriate training and ongoing professional development. They should report directly to the governing body, keeping them informed about archive activities and developments. Their responsibilities typically include:

- Enforcing policies and procedures.
- Hiring and managing personnel.
- Overseeing the budget.
- Handling general administration tasks.

### Policies and Procedures

Policies are high-level documents created by the governing body to guide the archive's operations. Each policy should focus on a specific area and remain broad in scope to provide general guidance without delving into operational specifics. Overly detailed policies can become cumbersome and may not align with day-to-day realities, requiring frequent updates that consume the governing body's time and resources.

For detailed instructions on completing specific tasks, procedures should be developed and implemented. Procedures complement policies by offering step-by-step guidance for staff and volunteers.

### Key Policies and Procedures

Archives should maintain written policies and procedures for all aspects of their operation and update them regularly. Below are some essential policies to consider:

- **Mandate**
- **Acquisitions Policy**
- **Deaccessioning Policy**
- **Preservation Policy**
- **Communications Policy**
- **Human Resources Policy**
- **Volunteer Policy**
- **Inquiries Policy**
- **Loans Policy**

This list serves as a starting point and is not exhaustive. Policies should be tailored to the specific needs and operational context of the archive, ensuring they address its unique challenges and goals.

## 1.3 Procedures

Procedures work in tandem with policies by outlining the specific steps staff and volunteers must follow to implement a policy or complete a task within the archive. While policies provide high-level guidance, procedures offer detailed, actionable instructions.

For example, an **Accessioning Procedure** would outline each step required to properly integrate a new donation into the archive's holdings, ensuring consistency and compliance with archival standards.

Since procedures are operational tools created by staff or volunteers, they do not require formal approval from the governing body to be enacted or revised. This allows for flexibility and adaptability, enabling procedural updates as operational needs evolve.

## 1.4 Finances

Effective financial management is essential for the sustainable operation of an archive. Each year, the archive should develop an annual budget that aligns with its operational goals and long-term plans. If the archive operates as part of a larger institution, it should maintain its own distinct budget or a dedicated budget line that it controls.

### Financial Oversight

The archive must designate a specific individual responsible for financial oversight, such as a board member serving as Treasurer or a dedicated staff member. This individual should be free from conflicts

of interest to ensure objective financial management. Their responsibilities typically include monitoring expenses, preparing financial reports, and ensuring adherence to financial policies.

### Financial Planning and Fundraising

Financial planning should account for both immediate operational needs and long-term goals. When appropriate, fundraising efforts may be undertaken to support specific projects. In such cases, any funds raised for a designated purpose (e.g., a new roof) must be allocated exclusively to that project.

### Charitable Status and Tax Receipts

To issue income tax receipts for donations, the archive must be registered as a charity with the Canada Revenue Agency or possess an equivalent status that permits the issuance of such receipts.

(The process for conducting monetary appraisals will be discussed later in this guide.)

## 1.5 Risk Management

Risk management involves “the systematic control of losses or damages, including the analysis of threats, implementation of measures to minimize such risks, and the development of recovery programs” (Yukon Council of Archives). Archives commonly face risks such as water damage, pest infestations, and fire. The goal of risk management is to prevent these issues, mitigate their impact, and ensure a response plan is in place.

Leadership for risk management should come from the governing body, as it encompasses all aspects of archive operations. By prioritizing risk management, the governing body sets a proactive and responsible tone for the entire institution.

### Identifying and Managing Risks

The Canadian Conservation Institute (CCI) has developed [The ABC Method: A Risk Management Approach to the Preservation of Cultural Heritage](#). This guide, available online at no cost, helps heritage institutions assess risks, prioritize their severity, and develop preventive strategies. Although time-consuming, the risk management process is essential to safeguarding the archive's holdings.

Key elements of a comprehensive risk management program include:

- **Program Review:** Establish how frequently the program will be reviewed and updated.
- **Incident Log:** Maintain a log to document incidents such as floods or building damage, which helps identify recurring threats.
- **Building Inspections:** Conduct regular inspections by staff or volunteers to identify risks such as leaks or security breaches. Incorporate these inspections into routine procedures.
- **System Inspections:** Ensure that qualified professionals regularly inspect plumbing, heating, electrical, structural, fire detection, and security systems.
- **Environmental Monitoring:** Track pest populations, temperature, humidity levels, and air quality.

- **Emergency Drills:** Schedule regular evacuation and emergency drills to familiarize staff and volunteers with response procedures.
- **Construction Safeguards:** Implement special measures to protect collections and the building during renovations or construction projects.

## Insurance and Health & Safety

### *Insurance Coverage*

Heritage institutions generally carry insurance for their buildings, staff, and volunteers. Some may also obtain liability insurance for the governing body in case of legal actions.

Due to the unique and irreplaceable nature of archival collections, insuring them can be challenging or cost-prohibitive. However, insurance can be obtained for temporary situations, such as transporting items to another institution, covering the period from departure to arrival.

### *Health and Safety*

The archive must comply with federal and provincial health and safety regulations, including:

- Public health and safety standards
- Provincial accessibility regulations
- Workplace Hazardous Materials Information System (WHMIS) requirements
- WorkSafeNB regulations

At least one staff member or volunteer per shift should be trained in first aid. If necessary, establish a Health and Safety Committee.

### *Facility Inspections*

The building must be regularly inspected for potential health and safety hazards, which should be addressed promptly. Annual fire inspections are required to ensure compliance with fire codes, and all fire extinguishers must be maintained in working condition.

## Emergency Planning

Develop evacuation plans for fire and other emergencies. Assign an Emergency Officer responsible for ensuring everyone evacuates the building safely. Regular drills should be conducted, including procedures for evacuating visitors.

(Disaster planning, including priority lists for record evacuation, will be discussed later in this guide.)

Post-emergency procedures and schematic plans in key areas, clearly showing:

- Exit locations
- Fire alarm stations
- Evacuation routes

- Fire extinguishing equipment

Always prioritize the preservation of life during emergencies.

## 1.6 Ethics

CANB strongly recommends that archives endorse a professional code of ethics as outlined by either the *Association of Canadian Archivists* or the *Association des archivistes du Québec*. These codes provide guiding principles for ethical conduct in appraisal, acquisition, preservation, access, and the advancement of archival knowledge. (See [Appendix A: Codes of Ethics](#) for full details.)

### *Commitment to Truth and Reconciliation*

Archives play a vital role in acknowledging and supporting reconciliation efforts. CANB recommends that all archives adopt and implement the Truth and Reconciliation Commission's [94 Calls to Action](#), with particular focus on:

- **Calls 67 to 70:** These calls specifically address museums and archives, urging them to contribute to the accurate representation and preservation of Indigenous histories.

Additionally, archives are encouraged to engage with the recommendations outlined in the [Association of Canadian Archivists' A Reconciliation Framework for Canadian Archives](#). This framework provides actionable steps to foster respectful, inclusive, and accountable archival practices.

By adopting ethical guidelines and reconciliation principles, archives can ensure they operate responsibly while advancing a more inclusive and truthful historical narrative.

## 1.7 Role in Collecting

The governing body plays an essential role in shaping the institution's collecting efforts. This responsibility includes:

- **Setting the Institution's Mandate:** Establishing the scope and purpose of the collections.
- **Creating and Maintaining the Acquisitions Policy:** Providing clear guidelines on what materials align with the institution's objectives.

### *Building Relationships*

The governing body can support collection development by fostering relationships with potential donors and connecting with organizations and communities underrepresented in the collections. This strategic involvement can help broaden the scope and diversity of the archive's holdings.

### *Decision-Making Process*

Traditionally, archives staff and volunteers assess and decide whether to accept material donations. However, if the archive is part of a museum, the process may require additional oversight:



- **Collections Committee:** A subcommittee of the governing body may be responsible for reviewing potential donations and deciding whether to accept them.

If archival materials are subject to review by a collections committee, it is essential that archival principles such as provenance and appraisal are respected. While the committee can approve a donation in general, archives staff and volunteers should retain the authority to determine which specific items from the donation are accessioned into the collection.

## 2 - Acquisitions

Acquiring material is a core function of an archive, and it should be conducted in a deliberate and strategic manner. To maintain this focus, archives must establish clear policies and procedures for acquisitions. These guidelines ensure that acquisitions are consistent with the archive's mandate and contribute to the development of its holdings in a proactive and planned way.

### *Purpose of Acquisition Guidelines*

Acquisition guidelines serve several important functions:

- **Alignment with Mandate:** Ensuring that materials acquired are relevant to the archive's scope and purpose.
- **Ethical Standards:** Maintaining ethical practices in acquiring records, including respecting donor rights and ensuring transparent processes.
- **Strategic Development:** Building collections in a thoughtful, proactive manner rather than opportunistically.
- **Consistency:** Establishing standardized processes for accessioning and de-accessioning records.

### *Key Elements of Acquisition Policies and Procedures*

1. **Means of Acquiring Records:** Outlining acceptable methods of acquisition, such as donations, transfers, and purchases.
2. **Accessioning:** Defining the steps for formally adding materials to the archive's holdings, including documentation and cataloging.
3. **De-accessioning:** Establishing criteria and processes for responsibly removing materials from the collection, ensuring ethical and legal considerations are met.

By adhering to these guidelines, archives can build meaningful, well-organized collections that serve researchers, communities, and future generations.

### 2.1 Acquisition Policy and Appraisal

A written acquisition policy, formally approved by the governing body, is essential for all heritage institutions, including archives.

#### *Purpose of an Acquisition Policy*

A well-developed acquisition policy serves to:

- Reduce personal bias in decisions on what to accept into the collection.
- Provide consistent and clear collecting guidelines for staff, volunteers, board members, and potential donors.
- Enable systematic and strategic collecting, leading to the development of integrated holdings.
- Ensure collection continuity over time.
- Reduce competition for holdings among institutions.

- Help donors understand why their materials were accepted or declined.
- Justify expenses and minimize resource wastage on processing materials that fall outside the archive's mandate.

### *Components of an Acquisition Policy*

An acquisition policy should address the following:

1. **Criteria for Acquisition:**
  - Define the types of records the archive will accept, such as records from a parent body, geographic locations, or specific themes.
  - Clearly state what types of records will not be accepted (e.g., books or newspapers).
  - Provide basic criteria to help staff and volunteers quickly assess potential acquisitions.
2. **Preservation Assessment:**
  - Evaluate whether the archive can care for the material over time.
  - Consider costs and resource requirements for maintaining specialized formats (e.g., magnetic wire records).
3. **Sources of Acquisition:**
  - Specify whether the archive will accept only donations and transfers or whether purchases are also an option.
4. **Terms of Acquisition:**
  - Outline any donor-imposed restrictions and assess their feasibility.
  - Ensure that restrictions are reasonable and manageable.
5. **De-accessioning Procedures:**
  - Establish a process for responsibly removing items from the collection.
6. **Acquisition Strategy:**
  - Provide a forward-looking plan for actively seeking records to fill gaps in the collection.

### *Documenting Acquisition Decisions*

Each acquisition decision must be documented, including selection decisions made during the process. For instance, an archive might accept records but decline accompanying magazines that do not fit its mandate.

### *Legal and Ethical Considerations*

- Records acquired unlawfully or in violation of domestic or international laws should never be accepted. If offered, contact the appropriate authorities.
- Ownership of records must be legally transferred to the archive through appropriate documentation:
  - **Donations:** Deed of Gift
  - **Transfers:** Transfer Form
  - **Purchases:** Bill of Sale or Receipt
  - **Loan-to-Copy:** Written Agreement

Donors should be informed that once records are donated, they relinquish control over them.

### *Selection Process and Donor Communication*

Donors must be made aware of the selection process and its rationale. Explain why selection is necessary and how decisions are made. This should be handled with care and sensitivity, offering donors the choice to have unselected records returned or disposed of by the archive.

In cases where donors cannot be contacted or refuse to retrieve their records, the archive should have a policy detailing how long the records will be kept and what constitutes due diligence in attempting to contact donors. This policy must be clearly communicated to donors.

### *Restrictions on Records*

- Restrictions should be applied to records containing personally identifiable information or data that may cause harm to living individuals.
- Donor-imposed restrictions should be considered if reasonable, including those based on cultural sensitivities.

## 2.2 Methods of Acquisition

Archives can acquire records through a variety of methods. Below are the most common ways records can enter an archive:

### *Transfers from the Parent Organization*

For archives that house and process the records of a parent institution, the archive serves as the repository for records selected for permanent retention.

#### **Life Cycle of Records:**

- **Active:** Needed for daily tasks or frequent access.
- **Semi-Active:** Still needed by staff but accessed less frequently.
- **Final Disposition:** Records are either destroyed or transferred to the archive.

#### **Selection for Archives:**

Records selected for archival retention should provide evidence of the parent body's decisions and actions or possess enduring historical value. Records selected for destruction typically include duplicates or records where the information is preserved elsewhere.

The [Guideline: Developing Records Retention and Disposal Schedules for Operational Records](#) from the Office of the Chief Information Officer for Newfoundland and Labrador can assist in managing records from both the parent institution and the archive/museum itself.

### *Donations/Bequests*

Donations, whether solicited or unsolicited, are a primary method of acquiring records.

**Key Considerations:**

- A strong acquisitions policy and mandate should guide decisions, and these should be publicly available.
- Donors must be informed that the archive may accept only part or none of the records offered.
- Donors should indicate on the donation form what they would like done with rejected records.
- If records are declined but have archival value, staff should help the donor find a suitable archive.

**Ownership and Legal Requirements:**

- Ensure the donor legally owns the records.
- Legal ownership and copyright should be transferred to the archive.
- If a donor does not hold copyright, the legal copyright holder must be contacted.

**Tax Receipts:**

- Archives that are registered charities may issue tax receipts.
- Donations valued under \$1,000 CAD can be appraised by staff or volunteers.
- Donations valued over \$1,000 CAD require third-party appraisal by a certified archival appraiser.

The [National Archival Appraisal Board \(NAAB\)](#) provides a database of certified appraisers.

*Purchases*

Archives may purchase records when appropriate.

**Best Practices:**

- Conduct research on the records and their market value to ensure fair pricing.
- Ensure a bill of sale or receipt accompanies the purchase.

*Loans*

There are two types of loans:

1. **Loan-to-Copy:**
  - The owner permits the archive to copy the record while retaining the original.
  - Proper documentation should be completed, including ownership history and contact information.
2. **Loans Among Institutions:**
  - Records may be loaned between institutions for display purposes.

**Loan Requirements:**

- Define a set loan period.
- Ensure both institutions can properly care for the records.

- Arrange for secure shipping and appropriate insurance.
- Document all loans thoroughly, including condition reports.

**Condition Reports:**

- Describe damage precisely and objectively (e.g., "1.2 cm tear, 4 cm from the top right of the page").
- Avoid subjective terms like "good" or "fair."

*Records Creation Programs*

Occasionally, archives may engage in the creation of records, such as oral history projects.

**Considerations for Records Creation:**

- These programs should not overshadow the archive's core functions.
- Copyright for created records must be assigned to the archive.
- Participants must agree to public access to the records.
- The medium used should be one that the archive can preserve.

## 2.3 Restrictions

Occasionally, donors may request restrictions on the records they donate. These requests can stem from various reasons, and any restrictions that are reasonable, specific, and clear should be considered.

*Examples of Acceptable Restrictions:*

- Closing a fonds or specific records within a collection for a set period, such as ten years from the date of donation, or until a specific date.
- Restrictions based on cultural reasons, particularly in cases where community values must be respected.
- Restrictions to prevent harm or protect the privacy of individuals.

The [Library and Archives Canada Act](#) provides guidelines for managing personal identifiable information and is an excellent resource when reviewing and discussing restrictions.

*Restrictions to Avoid:*

- **Indefinite Restrictions:** Permanent closures limit the archive's ability to fulfill its mission of providing access to records for future generations.
- **Donor-Approval Requirements:** Situations where donors must approve access to records are problematic and should be avoided.

*Addressing Existing Problematic Restrictions:*

If indefinite restrictions or donor-approval requirements are already in place, archives should:

- Engage in respectful discussions with the donor or their family (if the donor is deceased) to renegotiate the terms.
- Emphasize the importance of balancing donor concerns with public access and archival integrity.

This approach ensures that archives can responsibly steward collections while maintaining respectful relationships with donors and upholding ethical and legal considerations.

## 2.4 Physical Transfer of Records

To ensure the preservation of original order and maintain accurate documentation, staff or volunteers should, whenever possible, oversee the packing of records being transferred to the archive.

### *Packing Guidelines:*

- Supervised packing helps prevent disruption of the original order and allows for the creation of a detailed container or file list.
- If on-site supervision is not possible, provide the donor with clear instructions on how to pack the records and request a container or file list.
- Records should be neatly packed into sturdy boxes, maintaining their original order.

### *Documentation Requirements:*

Upon receipt of the records, a [Deed of Gift](#) or **Transfer Form** must be completed and signed by both the archive and the donor.

The documentation should capture the following details:

- **Donor Information:** Name and contact details of the donor or department.
- **Description of Records:** A detailed list or summary of the records being transferred.
- **Provenance:** An explanation of how the donor or department came to possess the records.
- **Disposition of Unwanted Records:** The donor's preferences for handling any records not retained by the archive (return or disposal).
- **Additional Information:** Any other relevant details about the records, such as historical context or storage conditions.

This process ensures legal clarity, proper documentation, and adherence to archival best practices.

## 2.5 Objects

Occasionally, archives may be offered or receive objects as part of a donation. This can occur when:

- A donor includes an object along with the records, or
- The archive needs to accept the object as a condition for acquiring valuable records.

*Decision-Making Guidelines:*

- **Archives Associated with Museums:** If the archive is part of a museum, the object may be accepted if it meets the museum's acquisition criteria.
- **Independent Archives:** For archives without an affiliated museum, staff or volunteers should:
  - Contact local museums to explore whether they would accept the object into their collection, or;
  - Inform the donor that they should offer the object to a museum directly.
  - If necessary, accept the object temporarily with the intention of transferring it to a museum.

*Best Practices:*

- **Rarity of Object Acceptance:** Archives typically do not collect objects. Accepting objects should only occur under rare and justified circumstances.
- **Potential Partnerships:** If the archive anticipates frequent offers of objects, it should consider establishing a formal partnership with a museum or, in exceptional cases, exploring the creation of a museum division.

This approach ensures archives remain focused on their core mandate while providing flexibility to manage donations holistically and respectfully.

## 2.6 Accessioning

Accessioning is the process of formally bringing donated material under the archive's legal and physical control. Each new acquisition is assigned a unique **accession number** to connect it to its original documentation, such as deeds of gift and donor information.

*Purpose of Accessioning:*

- Ensures clear legal ownership of the materials.
- Establishes a link between the acquisition and its fonds/collection number, supporting proper documentation and future reference.
- Provides accountability in case of ownership disputes.

*Creating Accession Numbers:*

Accession numbers follow a simple format: **[Year].[Sequence Number]**

- The **year** refers to the calendar year of acquisition.
- The **sequence number** indicates the order of accessions for that year.
- For example, **2018.23** denotes the 23rd accession of 2018.

At the beginning of a new calendar year, the sequence resets to **1**, so the first accession of 2019 would be **2019.1**.



### *Important Considerations:*

- To avoid numbering conflicts, ensure that multiple staff or volunteers do not assign overlapping numbers.
- Fonds/collections may consist of multiple donations, each with its own accession number. In such cases, record the corresponding fonds/collection number in the accession file to maintain a clear connection.

## 2.7 De-Accessioning

De-accessioning is the formal process of removing materials from an archive's holdings. This process is carefully considered and typically occurs when:

- Materials no longer fit the archive's mandate.
- Items were improperly accepted.
- Initial selection was incomplete or poorly executed.

Frequent de-accessioning can undermine public trust and the integrity of collections, so it should be carried out only under well-defined circumstances.

### *Policy and Decision-Making*

An archive should have a comprehensive **De-Accessioning Policy** that outlines:

- Circumstances warranting de-accessioning.
- Decision-making authority and approval processes.
- Procedures for documenting de-accessioning decisions.
- Methods for disposing of de-accessioned materials.

### *Donor Communication*

Before de-accessioning, the archive must make every effort to contact the original donor or their representative to:

- Explain why the materials are being considered for removal.
- Seek input on the preferred disposition of the records.

Conversations should be handled with sensitivity, as donors may feel offended or disheartened by the decision.

### *Disposition Options*

If donors cannot be reached or offer no guidance, the archive should:

1. **Offer materials to other public archives or similar institutions.**
2. **Consider secure destruction** if no suitable institution accepts the materials.

Secure destruction can be achieved through a certified shredding service or controlled burning to ensure the materials are permanently and irreversibly destroyed.

#### *Documentation and Accountability*

All de-accessioning activities must be thoroughly documented, including:

- Justifications for de-accessioning.
- Efforts made to contact donors.
- Disposition decisions and their execution.

Proper documentation ensures transparency, accountability, and a record of institutional decision-making for future reference.

## 3 - Arrangement

**Arrangement** is the process of organizing a fonds or collection into a logical structure to facilitate access and use. This essential archival function ensures that records are presented coherently while preserving their historical context and provenance.

Two key principles guide the arrangement process:

1. **Respect des fonds:** This principle maintains the integrity of a fonds by ensuring that records from a single source are kept together and not intermingled with records from other sources.
2. **Original Order:** This principle ensures that records are maintained in the order established by their creator, as this arrangement often reflects the operational functions and context in which the records were created.

Arrangement occurs in two interconnected forms:

- **Intellectual Arrangement:** This involves categorizing and describing the records conceptually, often through the creation of hierarchical series and sub-series that reflect their functional or subject-based relationships.
- **Physical Arrangement:** This refers to the actual organization of the records in storage to ensure their preservation, accessibility, and proper housing.

Both forms work together to provide a structured and user-friendly framework for accessing the fonds or collection while respecting the records' historical and functional context.

### 3.1 Respect des fonds and Original order

The arrangement of records follows two fundamental archival principles: **respect des fonds** and **original order**.

#### *Respect des fonds*

This principle requires that records created or received by a person, family, or organization are kept together as a single unit. For instance, all records created or received by John Smith must remain grouped and not mixed with records from other creators.

Archives do not organize records based on themes, communities, formats, or other arbitrary criteria. Keeping records of a single creator intact preserves their **integrity, context**, and offers a comprehensive view of the individual or organization's activities. Mixing records from different creators can lead to confusion, hinder researchers from finding complete sets of records, and complicate staff organization and reference services.

### *Original Order*

This principle ensures that records are maintained in the order established by their creator. Keeping the original arrangement can reveal valuable connections between records, provide insights into the events that created the records, and shed light on the creator's processes.

Original order is more commonly seen in records from organizations such as businesses, associations, or government bodies. It may be less apparent in personal or family records, as these may:

- Have no discernible original order,
- Be rearranged by family members after the creator's death, or
- Lose their original order during the donor's custodianship or preparation for transfer to the archive.

Even if the arrangement does not seem logical to you as an archivist, it must be maintained to honor the context in which the records were created and used.

### *When No Original Order Exists*

If no discernible original order exists, archivists must impose an arrangement to facilitate access and research. This process involves analyzing the records' content and context to create a logical and meaningful structure.

## 3.2 Intellectual Arrangement

Intellectual arrangement refers to how records are structured to maintain relationships among them. This grouping of records ensures that their context and connections are preserved, facilitating research and understanding.

If a fonds already has a discernible original order, much of the intellectual arrangement may already be in place. However, when no clear order exists, archivists must create a logical structure.

### *Hierarchical Arrangement*

Archives are arranged and described hierarchically, moving from the broadest grouping to more specific levels. This system, originating from government archives to efficiently manage large volumes of records, follows accepted levels of description:

- **Fonds:** Represents all records created or collected by an individual, family, or organization, described as one unit.
  - **Series:** A subset within a fonds consisting of records that share a common theme or function. Common series may include meeting minutes, photographs, or correspondence. For family fonds, it is common to create a series for each family member.
    - **File:** A smaller subset of related records within a series. A file may contain records related to a specific meeting, event, or topic.

- **Item:** The smallest intellectual unit of arrangement. An item can be a single record, such as a letter (which may comprise multiple pages), a poster, photograph, or map.

### *Preserving Intellectual Arrangement*

The intellectual arrangement is documented in a **finding aid**, a critical tool created by archivists. The finding aid describes the records and illustrates their arrangement, providing essential information for researchers.

(The process of creating and writing finding aids will be discussed in detail later.)

(Let the CANB Archives Advisor know if you need additional examples for each level of description or further elaboration on creating hierarchical structures.)

## 3.3 Physical Arrangement

Once records are intellectually arranged, they can be physically arranged. Physical arrangement refers to how records are stored—whether in boxes, on shelves, or in drawers. Given the diverse nature of archival records, which can range from standard letter sizes to oversized maps and ledgers, physical arrangement is essential for efficient storage and preservation.

### *Preserving Intellectual Arrangement*

The intellectual arrangement documented in the **finding aid** is crucial for reconstructing the records' original relationships. This is particularly important when physical storage requires grouping records by size or type for practical reasons.

For example, if a fonds contains letters and oversized maps, it would be inefficient to store them together. Instead, letters can be stored in boxes on shelves, and maps in a map cabinet. The **finding aid** and **box list** (discussed later) ensure that records can be located and reconnected as needed.

### *Practical Tips for Physical Arrangement*

- Clearly label the outside of each box with the fonds number.
- Write identifying information on file folders in pencil to avoid permanent markings.
- For restricted records, mark the file folders or boxes to prevent accidental access by researchers.

### *Removing Potentially Damaging Materials*

Before storing records, remove items that could cause damage, such as:

- **Metal fasteners:** Paper clips, staples, and rubber bands should be replaced with plastic or inert paper clips. Metal rusts and weakens paper, while aging rubber bands stain paper.

- **Acidic materials:** Newspaper clippings and unstable photographic reproductions can transfer acids to other records. Use acid-free paper to separate these materials or store them separately.

### Storage Guidelines by Record Type

1. **Maps, Plans, and Oversized Records:**
  - Store flat in acid-free folders within map cabinets.
  - Limit folders to 10-15 items each.
2. **Microfilm:**
  - Store vertically in labeled boxes.
  - Use master versions sparingly; provide access copies instead.
3. **Motion Picture Film:**
  - Wind film onto a plastic core.
  - Store in archival film canisters or inert plastic bags, flat.
4. **Photographs:**
  - Separate color film, black-and-white stock, acetate, nitrate, polyester materials, and prints from negatives.
  - Avoid bending, folding, or attaching fasteners.
5. **Plastic, Glass, and Metal-Based Records:**
  - Store plastic items upright in acid-free envelopes and rigid containers.
  - Store glass-based items vertically in rigid containers.
  - House ambrotypes, daguerreotypes, and ferrotypes separately in acid-free materials, as they are highly susceptible to damage.
6. **Videotapes and Magnetic Tapes:**
  - Store reels and cassettes vertically, ideally suspended by the core.
  - Label and identify tapes properly.
  - Consider migrating content to newer formats, as playback equipment is becoming obsolete.
7. **CDs, DVDs, and Other Discs:**
  - Handle by the edge and center hole.
  - Store upright in plastic cases designed for discs.
  - Avoid adhesive labels or ballpoint pens for labeling; use water or alcohol-based markers instead.
  - Use an air puffer to remove dust.

### Creating a Box List

After records are stored, their locations should be documented in a **box list**.

- Ensure that each storage shelf and box has a unique identifier.
- The box list allows staff and volunteers to efficiently locate and retrieve records when needed.

This structured approach to physical arrangement ensures both preservation and ease of access for archival materials.

## 4 - Description

Describing archival material involves detailing the arrangement of records, their contents, creators, and the context in which they were created. These descriptions help researchers determine whether the records will be useful for their work.

Archival description serves as a bridge between the archival material and the people seeking information. By providing clear, accurate, and detailed descriptions, archives enable better discovery and access to their collections.

### Standards for Archival Description

To maintain consistency and clarity in archival descriptions, various standards have been developed globally.

In **Canada**, the accepted and widely used standard is the [Rules for Archival Description \(RAD\)](#). RAD provides guidelines for creating descriptions that capture the essential information about records, ensuring they can be easily understood and accessed by researchers, archivists, and other users.

### 4.1 Rules of Archival Description (RAD)

The **Rules for Archival Description (RAD)** were developed in the 1980s, with the first official version released in **1990**. RAD provides comprehensive guidelines for describing archival records in a **hierarchical manner**, outlining the essential information required for a RAD-compliant **finding aid**.

#### *Hierarchical Description*

RAD follows the same hierarchical levels used to arrange records. These levels, from broad to specific, ensure that relationships between records are maintained:

- **Fonds:** The highest level of description, representing all records created or received by a person or organization. This is the **minimum level of description** required for a RAD-compliant finding aid.
- **Series:** Many archives choose to describe records at the series level, which offers a balance between providing meaningful access and managing staff time efficiently.

#### *Flexible Presentation*

RAD does not dictate the appearance of a finding aid but specifies the **information that must be included**. This flexibility allows archives to adapt the presentation of descriptions to meet their specific needs while remaining compliant.

## *Learning RAD*

For those new to RAD, [Basic RAD: An Introduction to the Preparation of Fonds- and Series-Level Descriptions Using the Rules for Archival Description](#) by **Jeff O'Brien** offers an excellent overview with practical examples.

## *CANB Grant Program Requirement*

All projects funded by the **CANB Grant Program** are required to describe archival records using RAD to ensure consistency and best practices across the province.

## 4.2 Levels of Description

Unlike museums, which describe every item individually, archives typically describe records in **groups**. This approach originates from government record archives, where managing and describing vast volumes of records required a practical solution. By grouping records together, archivists can efficiently make large collections accessible to researchers.

The same hierarchical structure used for **arranging** records is also used for **describing** them, with fonds potentially containing multiple series, files, and items depending on their arrangement.

## *Item-Level Description*

While records are generally described as groups, certain materials are commonly described at the **item level** to provide more detailed access. These include:

- **Photographs**
- **Maps**
- **Graphic materials**
- **Audio-visual records**
- **Plans**

For example, describing a collection as "10 photographs of Moncton" offers limited information. In contrast, describing an individual item as "1 black and white image of Main Street, Moncton, circa 1943" provides much richer context and value.

## *When to Use Item-Level Description*

Although any record type can be described at the item level, it is advisable to be **selective** due to the time-consuming nature of this process. Archives often prioritize item-level descriptions for:

- **Frequently requested materials**
- **Items of particular historical or research significance**



### *Selective Description*

When describing material at the item level, it is not necessary to describe every hierarchical level. For instance, if describing a photograph within a series, the description can directly connect the **fonds** and **series** to the **item** without referencing a file level if one does not exist.

This flexible approach ensures efficient and meaningful descriptions that facilitate both internal operations and public access.

## 4.3 Information Needed for a RAD Compliant Description

The Rules for Archival Description (RAD) are structured to accommodate a wide range of information about archival materials. However, not all information requested by RAD will be available or necessary for a compliant finding aid. Below are the **essential fields required** for creating a RAD-compliant description:

### *Essential Fields for RAD Compliance*

- **Title:**  
A descriptive name for the records.
- **Dates:**  
The time period covered by the records.
- **Extent:**  
The volume or size of the records:
  - **Textual records:** Measured in centimeters, meters, or kilometers.
  - **Photographs, maps, and graphic materials:** Measured by the number of images.
  - **Audio-visual material:** Measured in run time.
  - When describing **photographs** or **audio-visual materials**, it's common to specify the medium (e.g., black and white, negative, 16mm film).
- **Biographical Sketch/Administrative History:**  
Provide context about the entity that created, accumulated, or collected the records.
  - Focus on aspects of the entity's history that are well-represented in the records.
  - Avoid spending excessive time on areas of history not present in the records, as this may create false expectations for researchers.
- **Custodial History:**  
Describe how the records transitioned from the creator to the archive. This field helps establish the **authenticity** of the records and traces their chain of custody.
- **Scope and Content:**  
Outline the structure and subject matter of the records, detailing what they cover and how they are organized.
- **Listing of Lower Levels:**  
Include information on any lower levels of arrangement (series, files, or items) when applicable.

### *Optional but Useful Fields*

RAD provides additional fields that can enhance record descriptions. One particularly valuable field is **Notes**, which can capture information not included elsewhere, such as:

- **Physical condition of records**
- **Accruals** (anticipated additional records)
- **Location of originals**
- **General Notes** (miscellaneous information)

By focusing on these essential fields, archivists can ensure that their descriptions meet RAD standards while maintaining clarity and usefulness for researchers.

#### 4.4 Describing Lower Levels of Description with RAD

The Rules for Archival Description (RAD) accommodate descriptions at all levels of archival arrangement, from the fonds level down to individual items. The requirements for describing lower levels mirror those at the fonds or collection level.

##### *Key Principles for Lower-Level Descriptions:*

1. **Same Information Structure:**  
The same descriptive elements (e.g., title, dates, extent, scope, and content) apply to lower levels of description, such as series, files, and items.
2. **No Redundancy of Information:**  
RAD emphasizes efficiency by allowing information at higher levels to apply to lower levels without repetition. For instance:
  - If the custodial history applies uniformly to all records in a fonds, it only needs to be stated at the fonds level.
  - The same principle applies to the administrative history or biographical sketch.
3. **Linking Elements:**  
RAD requires a clear linking element between lower-level descriptions and the higher-level description above them.
  - RAD does not prescribe a specific format or placement for this linking element, allowing archivists the flexibility to adopt practices suited to their finding aids.

By adhering to these principles, archivists can ensure that lower-level descriptions remain meaningful, interconnected, and compliant with RAD, while avoiding unnecessary duplication of information.

Read CANB's **Guide to ArchivesCANB** for further information on how to remain RAD-compliant while using CANB's online database, [ArchivesCANB](#).

## 5 - Locations and Locating Records

One critical aspect that RAD does not address is the connection between the finding aid (the description) and the physical location of records in the archival storage space. Efficiently locating and retrieving records is essential for the effective operation of any archive and can be achieved through a system of box numbers, fonds/collection identifiers, and shelf numbering.

### *Fonds/Collection Identifiers*

- Archives may choose to refer to fonds/collections by title alone (e.g., *John Smith fonds*) or combine the title with a unique identifying number (e.g., *Smith Fonds 001*).
- Consistency is key—whatever system is chosen should be applied uniformly.

### *Box and Folder Identification*

- Write the identifying name or number of the fonds/collection on:
  - All file folders
  - The outside of each box
- Some archives assign each box a unique number for additional tracking. If this is done, ensure that no two boxes are given the same number.

### *Storage Security and Organization*

- Archival storage areas should be secure to protect records from theft and unauthorized handling. Secure areas might include:
  - Locked rooms
  - Floors separate from public areas
  - Vaults
- If multiple storage areas are used, each should have a unique identifier. Use the names already familiar to staff and volunteers for clarity and consistency.

### *Shelf and Drawer Numbering*

- Each shelf and drawer should have a unique identifier.
- Numbering systems can be simple (e.g., 1, 2, 3), or more detailed, using combinations such as:
  - Bay A, Shelf 4
  - Bay B, Shelf 1
- Once a numbering system is established, maintain it consistently to avoid confusion.

By establishing a clear and consistent system for record locations, archives can ensure that records remain secure, organized, and easily accessible for staff, volunteers, and researchers.

### 5.1 Connecting Shelf Numbers to Records

Effectively connecting physical storage locations to finding aids is crucial for efficient record retrieval. Archives use various methods to achieve this, depending on their size and resources.

### *Location Tracking Methods*

#### **1. Databases**

- Some archives maintain databases that include both descriptive information and storage locations for records. For instance, ArchivesCANB, included with CANB institutional membership, functions as New Brunswick's archival database.

#### **2. Box Lists**

- A simple and effective method involves creating a box list, which outlines the series, files, and items along with their respective box and shelf locations.

#### **Example:**

Correspondence    Box 58    Shelf 5

Financial Records    Box 59    Shelf 6

- Box lists can be maintained as separate documents or included at the end of finding aids.

#### **3. Embedded Locations**

- Some archives choose to embed location information directly within the finding aid, placing it beside each record description.

### *Ensuring Record Security*

- To safeguard archival records, many archives separate location information from the finding aids provided to clients. This prevents unauthorized browsing or tampering with records.

### *Tailoring Systems to Fit Your Archive*

- Every archive has unique needs and space configurations, so there is no one-size-fits-all solution for location systems.
- If your archive faces challenges in developing or refining a location system, please contact the CANB Archives Advisor for assistance in creating a customized solution.

## 6 - Preservation Management

Preservation management is a systematic, planned approach aimed at ensuring the long-term survival of a heritage institution's holdings. It encompasses two primary components: **preventive conservation** and **conservation treatments**.

### *Preventive Conservation*

Preventive conservation involves all actions taken to mitigate the deterioration and damage to cultural property by controlling the conditions in which items are stored, used, and exhibited. This approach focuses on:

- **Lighting**
- **Environmental conditions** (temperature, humidity)
- **Air quality**
- **Integrated pest management**
- **Handling, packing, and transport**
- **Exhibition and storage practices**
- **Maintenance and security**
- **Fire protection**
- **Emergency preparedness and response**

By implementing thoughtful policies and procedures in these areas, institutions can significantly extend the lifespan of their collections.

### *Conservation Treatments*

Conservation treatments involve studying, recording, retaining, and restoring the culturally significant qualities of heritage items. These treatments aim to stabilize items with minimal intervention to preserve their physical and chemical nature.

Because conservation treatments are invasive, they should only be conducted by a trained conservator who is a member of the [Canadian Association of Professional Conservators \(CAPC\)](#).

### *Focus on Preventive Conservation*

These guidelines will address **preventive conservation only**, as it can be carried out by anyone following best practices and proper training.

### 6.1 What is Preservation

Preservation encompasses a series of policies, actions, and approaches designed to ensure the long-term survival of archival records. While preservation can take many forms, the most important principle to remember is... **doing something is always better than doing nothing**.

### *Key Elements of Preservation*

- **Environmental Controls**
  - Regulating and stabilizing temperature and relative humidity to prevent material degradation.
- **Storage Enclosures**
  - Selecting appropriate archival-quality storage materials to extend the lifespan of records.
- **Pollutant Control**
  - Reducing or eliminating harmful gases and particulates in the archive to protect materials.
- **Pest Management**
  - Preventing the intrusion of insects and rodents while effectively addressing infestations when they occur.
- **Disaster Planning**
  - Preparing for emergencies such as fire, water damage, hurricanes, and security breaches through a comprehensive disaster response plan.
- **Digital Preservation**
  - Implementing technologies, programs, and best practices to protect both born-digital records and digitized materials.

Preservation strategies should be regularly reviewed and adapted to evolving needs and technological advancements to ensure the ongoing protection of archival collections.

## 6.2 General Strategies

When initiating a preservation program, it is beneficial to begin with a risk assessment and education on preservation practices. This approach allows archives to identify and prioritize risks to both their buildings and collections. Learning about preservation enables staff and volunteers to understand how archival records deteriorate, the factors that accelerate this process, and preventive measures to mitigate damage. A valuable resource for learning about preservation is the [Canadian Conservation Institute \(CCI\)](#), which offers extensive online information free of charge.

### Preservation Planning

Once the risk assessment is completed and preservation knowledge is acquired, archives can develop a preservation plan along with supporting policies and procedures. Although some recommendations may require significant investment (e.g., heating and cooling systems, roofing, and security systems), it is essential not to be discouraged by high-cost items. Focus on easily implementable solutions such as monitoring temperature and humidity, using acid-free file folders and boxes, and sealing building cracks and holes. High-cost items can be planned for future fundraising.

## Types of Deterioration and Prevention Strategies

### *Water Damage*

Water damage is a common threat to heritage collections and can result from leaking pipes, roof leaks, or floods.

- Avoid storing records below water, sewer, and steam pipes. Cover shelving with plastic sheeting if this is unavoidable.
- Keep the bottom shelf of shelving units at least 10 cm off the floor.
- Do not store records directly on the floor.
- Store records above ground level when possible to avoid flooding and high humidity risks.

### *Fire Damage*

Archival materials are inherently flammable.

- Install and maintain effective fire detection and suppression systems.
- Store hazardous materials, such as solvents and cleaning agents, properly.
- Remove nitrate film stock and store it safely.
- Establish a relationship with the local fire department, including building tours to familiarize firefighters with the layout and storage areas.
- Train staff and volunteers in fire extinguisher use and conduct evacuation drills.

### *Security Risks*

Security measures should be cost-effective and within the institution's budget.

- Restrict public access to non-public areas.
- Supervise the on-site use of records.
- Display copies instead of originals when possible.
- Secure original records in locked display cases when on exhibit.

### *Pests*

Pests, including insects and rodents, pose significant threats to archival collections.

- Seal all cracks and holes and install window and door screens.
- Prohibit food and drink in storage areas, remove garbage daily, and maintain cleanliness.
- Conduct regular pest inspections and report sightings.
- Isolate new records in clear plastic bags to monitor for pests before integration.

### *Temperature and Relative Humidity*

Incorrect temperature and humidity can cause severe damage to archival materials.

- High temperatures accelerate deterioration, while low temperatures can make materials brittle.

- High humidity promotes mold growth; low humidity weakens materials.
- Rapid fluctuations in temperature and humidity are particularly damaging.
- Refer to [CCI's environmental classification system for guidance on managing seasonal fluctuations](#).

### *Pollutants*

Pollutants, including gases and dust, can chemically interact with archival materials, causing degradation.

- Use chemically inert building materials and storage furniture.
- Seal wood and drywall with standard interior paint.
- Allow new furniture to off-gas in a ventilated area.
- Keep photocopiers away from storage areas.
- Minimize dust accumulation and keep cleaning materials away from holdings.

### *Physical Forces*

Physical forces, such as shock, impact, vibration, and abrasion, can damage both archival materials and infrastructure.

- Use ladders or step stools for high shelves.
- Maintain clear, wide aisles.
- Use carts to move multiple boxes.
- Ensure shelving is braced to prevent tipping.
- Store similarly sized records together.
- Ensure boxes are full to prevent sagging and use fillers when necessary.

### *Light Exposure*

Light, particularly ultraviolet (UV) light, causes fading, discoloration, and brittleness.

- Display copies instead of originals whenever possible.
- Limit exposure time and reduce light levels for original displays.
- Ensure UV light levels are below 75 microwatts per lumen by using filters.

### *Incorrect Handling*

Weakened archival materials are prone to damage through handling.

- Minimize handling by creating physical or digital copies for researchers.
- Use acid-free file folders and archival boxes to protect records from various threats, including temperature fluctuations, dust, pests, light, and pollutants.
- Archival boxes facilitate easier handling and transportation during emergencies.

By implementing these strategies, archives can safeguard their collections against various risks and ensure their longevity for future generations.



## 6.3 Digital Preservation

The long-term preservation of digital records is an evolving and critical area within archives and conservation. As technological advancements render storage formats and media obsolete, digital information faces the risk of being lost – this is known as obsolescence. This has prompted the development of specialized methods and best practices to ensure the longevity and accessibility of digital records.

### *Data Migration and Accessibility*

Records stored on outdated media, such as floppy disks or legacy computer systems, should be migrated to current and accessible storage formats as soon as possible. This proactive step ensures that valuable information remains readable and usable. Migration should be part of an ongoing strategy to keep pace with technological changes.

### *Authenticity and Data Integrity*

Maintaining the authenticity of digital records is crucial. Records should be safeguarded against unauthorized alterations to preserve their evidential value. Implementing systems that generate fixity checks (e.g., using checksums) can help ensure data integrity over time.

### *Redundancy and Backup Strategies*

Robust backup strategies are essential to protect digital records from accidental deletion, corruption, or other data loss events. Best practices include maintaining multiple copies of records stored across different physical and digital environments (e.g., cloud storage and local servers). These backups should follow the **3-2-1 rule**:

- **Three** copies of your data
- Stored on **two** different types of media
- With **one** copy stored offsite

Backup solutions should also encompass both born-digital materials and digitized versions of physical records, as well as essential operational records for the archive.

### *Guidelines and Resources*

For detailed guidance on digital preservation, archivists are encouraged to consult authoritative resources such as the [Canadian Heritage Information Network \(CHIN\) Digital Preservation Toolkit](#) and the [NDSA Levels of Digital Preservation](#). These frameworks provide practical strategies for institutions at all stages of digital preservation.

### *Practicality and Budget Considerations*

Digital preservation can be resource-intensive. However, institutions should focus on incremental improvements within their available budget and technical expertise. Any level of digital preservation

effort is better than none. Establishing basic practices—such as routine backups, format migration, and metadata documentation—can significantly enhance the long-term sustainability of digital collections.

By staying informed and taking proactive measures, archives can protect digital records and ensure they remain valuable assets for future generations.

## 7 - Access

Access guidelines are essential for balancing the public's right to access archival records with the need to respect donor agreements, protect privacy, and safeguard records from deterioration. Establishing clear and transparent access policies fosters trust between the archive and the community it serves.

### *Balancing Open Access and Restrictions*

- **Donor Agreements:** Honor any conditions set by donors regarding the use and accessibility of their contributions. Where possible, encourage donors to set reasonable access terms to promote public research and engagement.
- **Privacy Protection:** Adhere to privacy legislation and best practices, particularly for records containing sensitive personal information. Restrictions may be necessary for a defined period to protect individuals' rights.
- **Preservation Needs:** Limit access to fragile or at-risk records to reduce the potential for damage. Provide digital surrogates or photocopies whenever possible to minimize handling of original materials.

### *Fostering Community Trust*

Transparency in access policies helps prevent misunderstandings and builds community trust. When restrictions are necessary, provide clear explanations and timelines for when access may be reconsidered or restored.

### *Flexible and Evolving Policies*

Access guidelines should be dynamic and subject to regular review. This ensures they remain relevant and responsive to evolving legal, technological, and social considerations.

By maintaining a thoughtful balance between openness and responsible stewardship, archives can better serve their communities and fulfill their role as guardians of cultural heritage.

## 7.1 Reference Services

One of the core functions of an archive is to provide access to records while balancing open access with donor restrictions, privacy considerations, and preservation needs. Effective reference services promote transparency and ensure the community's archival needs are met.

### *Access and Client Engagement*

- **Minimizing Barriers:** Barriers to access should be minimized to encourage broad use of archival resources.
- **Transparency:** If clients question certain policies or restrictions, staff and volunteers should provide clear, reasoned explanations to foster understanding and trust.
- **Appointment Scheduling:** Ideally, archives should maintain regular hours for public access. If regular hours are not possible, clearly communicate how clients can schedule appointments.

### *Visitor Registration and Statistics*

Upon arrival, clients should be asked to register by providing their name, contact information, and research purpose. This helps staff provide tailored assistance and supports the collection of visitor statistics, which are valuable for demonstrating usage to funders and stakeholders.

### *Orientation and Record-Handling Guidelines*

During a client's initial visit, they should be informed of the archive's rules for handling records to ensure their preservation. Common guidelines include:

- **Bag Restrictions:** Large bags should be stored in a secure area to prevent potential theft. Accommodations should be made for clients requiring bags for medical or other valid reasons.
- **No Food or Drink:** This protects records from spills and helps prevent pest infestations.
- **Pencils Only:** Pencils are recommended to avoid permanent marking; ink cannot be erased if accidental contact occurs.
- **Clean Hands:** Clients should handle records with clean hands. If dirt is noticed, staff should politely request that hands be washed.
- **Maintaining File Order:** Clients should not remove records from their file folders. Instead, they should turn pages like reading a book to maintain proper order.

These guidelines should be applied equitably and without creating undue barriers for clients.

### *Reproduction of Records*

Clients may request copies of records, which may be permitted depending on the intended use:

- **Research Purposes:** No copyright clearance is typically required for personal research.
- **Publication:** If records will be published, copyright clearance must be obtained.

### **Copying Fees:**

- Clients should not be charged for taking photographs with their own equipment.
- If a scanner or photocopier is available, fees should cover only the cost of operation.
- Additional charges may apply if staff or volunteers make the copies.
- Postage costs may be passed on for mailed copies.

### *Ethics and Privacy*

Archivists have an ethical obligation to protect users' privacy regarding information sought or records consulted. Users should only be informed about related research by others with prior consent.

### *Remote Inquiries and Research Assistance*

Not all clients can visit the archive in person. To accommodate remote researchers:

- Establish a policy for responding to inquiries within a reasonable timeframe.
- Define the level of research staff and volunteers are willing to provide for free.
- For broad or resource-intensive inquiries, consider setting research fees or suggesting that the client engage a researcher.
- Exceptions should be made to provide additional research assistance for individuals unable to conduct their own research due to age, disability, or other valid reasons.

With requests steadily increasing for online research, inputting descriptions into an online archival database is highly recommended.

## 8 - Awareness and Advocacy

To ensure long-term sustainability, archives must actively build and maintain goodwill with clients, donors, patrons, and the broader community. Fostering relationships and promoting the archive's value are essential to gaining continued support and increasing engagement.

### *Building Community Awareness*

- **Educational Outreach:** Offer workshops, talks, and tours to educate the public about the role of archives and the importance of preserving local history.
- **Collaborations:** Partner with schools, historical societies, libraries, and community groups to broaden the archive's reach.
- **Online Presence:** Maintain a user-friendly website, an updated database on ArchivesCANB, and engage on social media to share stories, updates, and historical insights. Highlight unique collections and the archive's role in preserving community heritage.

### *Engaging Donors and Patrons*

- **Recognition:** Acknowledge and celebrate contributions from donors and patrons through public events, newsletters, or a donor recognition wall.
- **Clear Value Proposition:** Communicate how donations directly support preservation efforts, digitization, or public programs.

### *Advocacy for Archival Importance*

- **Storytelling:** Share compelling narratives that demonstrate the impact of archival records on community identity and historical understanding.
- **Policy Engagement:** Advocate for funding and policy support at local, provincial, and national levels to ensure archival preservation remains a priority. Consider joining in on advocacy initiatives with CANB and other member institutions.
- **Annual Events:** Host or participate in initiatives like Provincial Archives Week to raise awareness of the archive's role and contributions.

### *Measuring and Communicating Impact*

- **Usage Metrics:** Collect data on visitation, inquiries, and program attendance to demonstrate the archive's relevance.
- **Success Stories:** Share how archival research has contributed to publications, documentaries, or historical research projects.

By fostering a strong connection with the community and advocating for its essential role, the archive can secure ongoing support, enhance public engagement, and ensure the preservation of history for future generations.

## 8.1 Awareness and Advocacy Strategy

A comprehensive awareness and advocacy strategy is essential for promoting the value of archives, engaging stakeholders, and building long-term support. The strategy should focus on education, outreach, and communication to foster relationships with donors, researchers, parent institutions, and the broader community.

### Strategic Objectives

1. **Donor Engagement:**
  - Educate prospective donors on the types of materials sought and the benefits of donating, such as preserving community heritage and ensuring historical legacies.
  - Clarify the legal and logistical implications of donations, including tax incentives where applicable.
2. **User Education:**
  - Inform researchers about available research tools, access policies, and the range of holdings.
  - Highlight research opportunities and the archive's unique collections for specific user groups, such as academics, genealogists, and local historians.
3. **Parent Institution Support:**
  - Educate the parent institution on archival requirements, including:
    - The importance of records management and scheduling.
    - Best practices for preparing records for transfer.
    - The public relations value and strategic benefits of maintaining an archive.
  - Reassure institutional stakeholders by communicating archival progress and achievements.

### Key Elements of the Strategy

1. **Media and Communication:**
  - Build relationships with local and regional media outlets and information officers to promote archival activities and achievements.
  - Issue press releases highlighting recent acquisitions, significant research outcomes, and events.
2. **Outreach Programs:**
  - Collaborate with institutions and interest groups for joint ventures.
  - Host special programs that align with community events, such as Heritage Week or Provincial Archives Week.
  - Develop an active membership program to engage supporters and sustain community interest.
3. **Educational Resources:**
  - Create brochures and leaflets on topics such as:
    - The archive's mission, organization, and services.
    - Archival management practices and research tips.
  - Maintain a strong online presence through digital content, blogs, and social media posts.
4. **Public Education Programs:**

- Mount exhibits showcasing the archive's collections.
  - Sponsor workshops and seminars on archival research and preservation techniques.
  - Offer guided tours of the archive to schools, community groups, and the public.
5. **Usage Metrics:**
- Collect and analyze usage statistics to demonstrate the archive's impact and support advocacy efforts.
  - Share metrics with stakeholders and use them to guide strategic decisions.
6. **Staff Engagement:**
- Train staff on the importance of public relations in daily interactions.
  - Encourage staff to share archival stories and promote the archive's value during engagements with clients and stakeholders.

By adopting a thoughtful and proactive awareness and advocacy strategy, archives can strengthen community ties, enhance donor and user engagement, and secure ongoing support for their preservation and public access efforts.



## Appendix A: Codes of Ethics



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Association canadienne  
des archivistes

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### Association of Canadian Archivists Code of Ethics and Professional Conduct

The Association of Canadian Archivists' Code of Ethics and Professional Conduct ("the Code") is intended as a guide for all people who participate in archival work—the management, care, custody, preservation, and accessing of records—regardless of their title, employment status, education, or membership in a professional association. The Code is aspirational in intent; it seeks to represent an ideal to work toward. For these reasons, the principles set out below use an inclusive "we."

The Code guides individuals where decisions relating to the management of records and archives are not clear cut. This can emerge when there are conflicting priorities or values, or when new situations arise. The Code provides both a structure for defining an issue, e.g., is the issue practical or professional in nature, and a means to evaluate what is behind the issue and guide how to move forward.

The Code supports work with both public and private materials in the Canadian context and strives to provide a balance between the needs of an open and democratic society and those of the communities represented in records or archival holdings so as to ensure the ethical management of culturally sensitive materials.

Underpinning the Code is the understanding that making records available and protecting them for future use is a societal good. The principles in the Code aim to guide our decisions toward outcomes that preserve the records' context over time and respects values specific to the Canadian context.

Some of the terms used in the Code may be unfamiliar. Readers are encouraged to seek clarification from records and archives specialists, including archivists, records managers, information and privacy officers, conservators, and records management and archival science educators.

The Code is structured in two parts. The first five principles address what we do and the remaining four address who we are.

**1. CONTEXT:** We gather, maintain and communicate knowledge about the context in which records are created, used, and preserved.

- a. We exercise due caution and diligence in documenting and preserving the relationships between records and the activities that created them, as well as between records and the aggregations in which they belong, recognizing that these relationships are a necessary component of the records themselves.



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- b. Recognizing that records originate in and are influenced by a complex interplay of legal, administrative, informational, and cultural factors over time, we strive to continuously improve our preservation and representation of these contexts.
- c. We draw guidance for gathering, maintaining and communicating records' context from:
  - i. established principles of archival theory, such as *respect des fonds* and respect for original order;
  - ii. institutional policies and guidelines governing records and our responsibilities to them;
  - iii. laws and regulations, particularly with regard to privacy and data protection;
  - iv. discourses adjacent to—or distinct from—traditional archival ideas but still relevant to archival work (see also principle 6.a); and
  - v. the communities from which the records originate, or that they represent.
- d. We recognise that discrimination, trauma or violence may be inherent in the circumstances of records creation and transmission, and that these considerations may have a bearing on how the records are described, preserved, and accessed.

**2. PRESERVATION:** We preserve the identity and integrity of records for which we have responsibility—in relation to the activities set out in principle 4—and have a fundamental duty to ensure they are capable of being preserved through time in a usable and understandable manner.

- a. Recognizing that preservation is the first condition of access, we strive to maintain an appropriate balance between preserving records and providing access to them.
- b. We collaborate with those having specialized knowledge on how best to preserve records and maintain the ability to reproduce them.
- c. Where the integrity of records cannot be preserved, we accurately record the changes consequent to each preservation action. In such cases, we also document the elements of a record that have been lost or changed and the likely effects on the reliability, accuracy and authenticity of the records.
- d. If it is not possible for our institution to preserve the integrity of records, we seek to transfer custody of the records—and, as appropriate, responsibility for them—to other organizations that have the means and the mandate to preserve the records.
- e. We document all decisions to deaccession or destroy records, in keeping with principles 1.a and 7.b.

**3. ACCESS:** We make records available to the widest possible audience in a manner consistent with their content, source, and the statutory obligations that govern the jurisdiction in which we work.



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- a. We respect the privacy of the individuals who created or are the subjects of records, especially persons and communities who had no voice in the creation, transmission, disposition, or preservation of the records.
- b. In providing and managing access to records, we are sensitive to the evolving contexts of individuals (living or dead), organizations, or communities that are the subjects of the records, reconsidering access conditions as necessary in light of that sensitivity. As set out in principles 1.a and 7.b, we document all such decisions.
- c. We respect the social, cultural, historical, and linguistic contexts of records for which we have responsibility. This might mean, for example, using Indigenous demonyms in describing and making accessible materials pertaining to Indigenous communities (see also principle 5), or using terminology specific to marginalized or minority groups.

**4. VALUE:** We have a duty of care in the selection, acquisition, description, deaccessioning, destruction, and provision of access to records.

- a. We document our decisions regarding the selection, acquisition, description deaccessioning, destruction, and provision of access to records, as set out by principle 7.b below, detailing in particular:
  - i. the evidentiary nature of the records, including their regulatory context (juridical, administrative, institutional, etc.) and any changes to that context over time; and
  - ii. the meaning conferred on the records by the circumstances of their creation, use, and transmission (see also principle 1.a).
- b. We ensure, to the extent that it is within our power, that records authorized for destruction are destroyed promptly and in a way consistent with their significance and sensitivity so that they cannot be recovered without resort to extraordinary measures.

**5. SOVEREIGNTY:** Twenty-first-century Canada recognizes not only the sovereignty of the Crown but also that of the Indigenous Peoples of Canada. Records and information relating to Indigenous Peoples is administered in a way that is consistent with guidance provided by and in consultation with Indigenous communities.

- a. We are familiar with, and stay apprised of developments in contemporary published guidance on information governance as it pertains to Indigenous communities, including, but not limited to:
  - i. The [final report and calls to action](#) of the Truth and Reconciliation Commission of Canada
  - ii. The principles of [Ownership, Control, Access, and Possession](#) (OCAP) articulated by the First Nations Information Governance Centre
  - iii. The [Considerations and Templates for Ethical Research Practices](#) articulated by the National Aboriginal Health Organization



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- iv. The [Protocols for Libraries, Archives, and Information Services](#) articulated by the Aboriginal and Torres Strait Islander Library, Information, and Resource Network

**6. KNOWLEDGE:** We continually seek to increase our knowledge of records—their creation, maintenance, use, and preservation—and the individuals, societies, communities, and organizations they document.

- a. We share our expertise and experience and are open to new insights into records and archival work, regardless of their source.
- b. We recognize and respect non-documentary approaches to maintaining cultural and organizational evidence and memory.

**7. RISK MANAGEMENT:** We consider, analyze and evaluate the processes, methods, and technologies used to create, use and manage records with the intent of balancing our responsibility to optimize the value of records—and users' access to them—against any risks and costs associated with doing so.

- a. We actively support openness, transparency, and information sharing initiatives.
- b. We promote and contribute to the establishment of documentation policies and practices supporting accountability—including documentation of our own processes and decisions, both in the organizations for which we work and in society as a whole.
- c. We are mindful of, and document wherever possible, the biases inherent in records and information processing systems.
- d. We strive to ensure that the resources needed to maintain and provide access to records and archives are sustainable over the long term. (See also principle 2.d).

**8. SOCIETAL BENEFIT:** We use our specialized knowledge and experience for the benefit of society as a whole.

- a. We communicate and emphasize ethical considerations to law- and policy-makers where laws and policies affect or relate to the creation, transmission, use, maintenance, preservation, and accessibility of records.
- b. We proactively engage with colleagues in other fields, particularly those related to information technology, in order to increase mutual understanding and consideration of the medium- to long-term consequences inherent in innovation and technological change, particularly as they relate to the obsolescence of existing technologies.

**9. PERSONAL INTEGRITY:** We conduct our work in a way that does not discriminate against, harass, or take advantage of others.

- a. We conduct ourselves in a collegial manner in professional interactions.

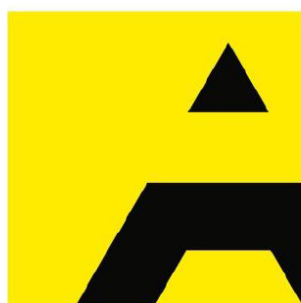


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- b. We actively support plurality, diversity, and inclusion.
- c. We do not inappropriately reveal or profit from information gained through our privileged access to records.
- d. We do not use or disclose our privileged knowledge of individuals' research interests or findings without their consent.



ASSOCIATION  
DES ARCHIVISTES  
DU QUÉBEC

## **CODE DE DÉONTOLOGIE**

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## PRÉAMBULE



Le code de déontologie de l'Association des archivistes du Québec (AAQ) constitue une affirmation de la mission sociale et professionnelle des archivistes ainsi que de la déontologie collective et personnelle qui en découle. Le texte comporte quatre (4) parties : les définitions, l'énoncé de la mission sociale, l'énoncé de la mission professionnelle et des éléments de déontologie.



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## DÉFINITIONS

Dans le présent préambule, à moins que le contexte n'indique un sens différent, on entend par :



- archiviste : toute personne qui œuvre dans le domaine de la gestion de l'information, organique et consignée<sup>1</sup> ;
- client ou cliente : une personne avec qui l'archiviste est en interaction dans l'exercice de ses fonctions ;
- déontologie : l'éthique spécifique dans des professions dont les tâches transcendent les règles du jeu fonctionnel de la société de production et d'échange<sup>2</sup> ;
- information organique et consignée : l'information produite ou reçue par une personne physique ou morale dans l'exercice de ses activités et se présentant sur un support quel qu'il soit ;
- gestion de l'information organique et consignée : la création et l'acquisition, l'évaluation, l'organisation et le traitement, la conservation et l'élimination ainsi que l'accès et la diffusion, à quelques stades de vie qu'elle soit.

<sup>1</sup> Statuts de l'Association des archivistes du Québec

<sup>2</sup> O. Höffe, Dictionnaire de morale, Paris, Éditions universitaires/Éditions du Cerf, 1983, cité dans Pierre Gaudette, "Éthique, morale, déontologie : une question de mots?", Cahiers de recherche éthique, no 13, 1989, p.27.



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## MISSION SOCIALE

La mission sociale de l'archiviste est de :

- contribuer au maintien et au développement de la démocratie en s'assurant que les droits des citoyens et citoyennes soient protégés ;
- contribuer à la constitution de la mémoire collective ;
- s'assurer que cette mémoire collective devienne partie intégrante de la culture de la société.



## MISSION PROFESSIONNELLE

La mission professionnelle de l'archiviste est de :

- gérer cette information dans le respect des principes, normes et méthodes reconnus ;
- s'assurer que l'information organique et consignée soit reconnue comme une ressource qui contribue à la réalisation de l'activité humaine ;
- s'impliquer dans la formation et la recherche et favoriser les mesures d'éducation et d'information ;
- faire preuve d'ouverture aux autres professions favorisant ainsi l'atteinte de la multidisciplinarité et de l'interdisciplinarité.

En adhérant à cette profession, l'archiviste s'engage à adopter des comportements susceptibles de favoriser l'accomplissement de ses missions. La déontologie est de deux ordres, collectif et personnel.

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## Pour ce faire, l'archiviste exerce son travail :

### Avec équité, impartialité, objectivité et intégrité en :

- recevant tout client ou cliente avec respect et sans aucune forme de discrimination ;
- sauvegardant en tout temps son autonomie et son indépendance professionnelle ;
- évitant de se placer en conflit d'intérêts ;
- évitant de recevoir ou solliciter tout avantage indu pour ses interventions ;
- évitant d'inciter indument un client ou une cliente de façon pressante à recourir à ses services professionnels ;
- évitant d'abandonner volontairement et sans raison suffisante un client ou une cliente sans s'assurer de la continuité de son intervention.



### Avec efficience et efficacité en :

- respectant les exigences professionnelles ;
- posant des actes appropriés et proportionnels aux besoins de son client ou sa cliente.

### Avec solidarité en :

- développant le sentiment d'appartenance avec les autres membres de la profession ;
- ☐ partageant avec les autres membres de la profession son expertise et ses connaissances.

### Avec professionnalisme en :

- respectant dans l'exercice de ses activités les principes, normes et méthodes professionnels généralement reconnus au sein de la profession ;
- tenant à jour ses connaissances par le perfectionnement et la recherche ;
- remplissant les obligations de sa profession avec discrétion et dans le respect du secret professionnel.

## Appendix B: Examples of Policies and Forms

\*The example of Example Harbour Archives (EHA) is fictional and created for the purpose of these Guidelines\*

### *Mandate*

The Example Harbour Archives (EHA) collects, preserves, and makes accessible the physical and documentary heritage of Example Harbour and the surrounding communities of Blackberry Ridge, St. Anthony, and Scotties.

### *Acquisitions Policy*

#### *1.0 Purpose*

Describes the scope of materials acquired by EHA and the criteria for preservation.

#### *2.0 Scope*

Applies to all staff involved in record acquisitions.

#### *3.0 Acquisitions Mandate*

EHA collects, preserves, and makes accessible documentary heritage related to businesses, organizations, and individuals in Example Harbour, Blackberry Ridge, St. Anthony, and Scotties.

#### **Evaluation Criteria:**

- Records creator's connection to Example Harbour and surrounding areas.
- Evidence provided by the records on local activities.
- Unique and valuable information.
- Capacity to care for records.

**Exclusions:** Records unrelated to the area will not be acquired. Staff will assist donors in finding suitable institutions for these materials.

#### *4.0 Donation Receipts*

- Donation receipts are issued upon request.
- Donations valued under \$1,000 CAD are appraised in-house; those over \$1,000 CAD require a third-party appraisal.
- Donors may need to cover third-party appraisal costs.

### *5.0 Selection*

EHA reserves the right to retain selected records. Non-retained materials may be returned to donors or securely disposed of. If donors cannot be contacted within six months, materials will be destroyed.

### *6.0 Disposition*

Non-retained materials will be returned to the donor or permanently destroyed.

### *7.0 De-accessioning*

Materials may be de-accessioned if they no longer meet the mandate, were improperly selected, or have deteriorated. Options include transfer to other institutions, educational use, or secure disposal.

## **Preservation Policy**

### *1.0 Introduction*

Govern preservation actions to ensure long-term viability and accessibility of collections and building.

### *2.0 Scope*

Covers preservation tasks related to the building and archival holdings, excluding digital assets.

### *3.0 Definitions*

- **Preservation:** Actions to maintain conditions for long-term access.
- **Conservation:** Treatments by conservators to stabilize items.

### *4.0 Building Maintenance*

- Conduct bi-annual inspections.
- Address issues promptly within budget constraints.

### *5.0 Environmental Controls*

- Follow Canadian Conservation Institute guidelines for Class B control.
- Monitor and maintain temperature, humidity, and UV light levels.

### *6.0 Pest Management*

- Isolate and monitor new acquisitions for pests.
- Implement pest elimination plans when necessary.

### *7.0 Handling*

- Staff and volunteers handle materials carefully and follow procedures.
- Visitors receive handling instructions.

### *8.0 Storage*

- Store records in designated archival areas with archival-quality materials.

### *9.0 Security*

- Limit access to storage areas.
- Use reproductions for exhibits when possible.

## Communications Policy

### *1.0 Introduction*

Defines a framework for effective external communication.

### *2.0 Scope*

Covers all formal communications, including donor, media, and promotional interactions.

### *3.0 Policy Statement*

Communication will be open, honest, and transparent, providing timely and accurate information.

### *4.0 Policy Requirements*

- Foster interactions between staff, volunteers, and the community.
- Promote the EHA through events, social media, newsletters, and press releases.
- Designate an official spokesperson.
- Develop and maintain a consistent EHA brand.

### *5.0 Branding*

- Maintain a consistent design for EHA communications.
- Document brand elements and promote consistent use.

### *6.0 Governing Body*

- The President serves as the official spokesperson.
- Other governing body members may be assigned communication roles.

- Ensure consistent use of the EHA brand.

## *7.0 Media*

- Engage with media through press releases and event promotions.
- Designate a media liaison and social media manager.

## Volunteer Policy

### *1.0 Purpose*

Defines volunteer roles, selection, assignment, and expectations.

### *2.0 Definitions*

A volunteer is an individual who offers service without obligation or remuneration.

### *3.0 Volunteer Selection*

- Potential volunteers contact the Volunteer Coordinator.
- Volunteers are screened and matched to positions.
- Maintain a list of potential future volunteers.

### *4.0 Volunteer Positions*

Maintain a list of volunteer roles to support EHA activities.

## Deed of Gift

### *Example Harbour Archives*

#### *Deed of Gift*

**Donor Name:**

**Donor Contact Information:**

**Preferred Method of Contact:**

**Description of Donated Materials:**

**Custodial History of Donated Materials:**

#### *Terms and Conditions of the Donation:*

1. I, the donor, am authorized to dispose of the materials listed above and willfully give them to the Example Harbour Archives.
2. I, the donor, hereby transfer all rights, titles, and interests of the materials described above to the Example Harbour Archives.
3. The materials described above will be administered within established archival practice. I grant the Example Harbour Archives the right to archive, copy, migrate, display, lend, preserve, and provide access to the material described above.
4. I, the donor, transfer any copyright I possess over the materials described above to the Example Harbour Archives. This includes moral rights, display rights, etc.
5. I, the donor, wish to have the following agreed-upon restrictions placed over all or a part of the records described above:

**Any material that will not be kept by the Example Harbour Archives will be:**

Returned to donor\*: \_\_\_\_\_ or Disposed of by the Example Harbour Archives: \_\_\_\_\_

(\*Reasonable efforts will be made to contact the donor regarding the return of materials. If no contact is made, the materials will be disposed of by the Example Harbour Archives.)

**For born-digital records (e-mail, digital photographs, electronic documents, etc.) within this donation, I agree that the Example Harbour Archives will be the only institution I will give these materials to:**

\_\_\_\_\_

**Date of Donation:**

**Donor's Signature: Date:**

**Accepted by: Date:**

## Accession Form

*Example Harbour Museum  
Accession Form*

**Accession Number:**

**Fonds Number:**

**Title of Fonds:**

**Date:**

**Extent (in metric):**

**Name of Donor:**

**Rights Transferred:**

**Restrictions:**

**Description of Records (Scope and Content):**

**Formats of Records within the Fonds/Collection:**

**Condition of Materials:**

**Custodial History:**

**Container Numbers and/or Location of Records:**

**Materials Not Kept:**

**Other Notes:**