

NATIONAL ARCHIVES OF CANADA

Preservation Policy

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NATIONAL ARCHIVES OF CANADA

PRESERVATION POLICY

1. PURPOSE

The purpose of this policy is to state the principles that guide the preservation activities of the National Archives of Canada (NA) in fulfilling all aspects of its mandate. It gives direction to staff for carrying out their responsibilities regarding the preservation function and communicates to those outside the institution the principles which guide preservation in the NA.

2. CONTEXT

The fundamental purpose of the preservation activity, its nature and scope, and its relationship with other archival functions has evolved significantly since the previous Conservation Policy came into effect in 1987. Archival records themselves now include increasing numbers of technology-dependent records with special preservation challenges. The concept of both current and long-term accessibility as purposes for preservation, and the need to keep users informed of the effects that preservation actions may have on the meaning which archival records communicate, are ideas which need to be reflected. Further, certain legislative and other changes (e.g. management of government information) have altered the authorities for the policy. Consequently, this revised Preservation Policy has been developed in consultation with NA staff and the archival and preservation community.

3. AUTHORITIES

The authorities governing this policy are the *National Archives of Canada Act*, passed on December 19, 1986, which came into effect on June 11, 1987, the *Copyright Act* and the *Access to Information Act*.

Article 4.(1) of the *National Archives of Canada Act* states: “The objects and functions of the National Archives of Canada are to conserve private and public records of national significance and facilitate access thereto, to be the permanent repository of records of government institutions and of ministerial records, to facilitate the management of records of government institutions and of ministerial records, and to encourage archival activities and the archival community.”

Further relevant citations to specific articles in these Acts are provided in Appendix A.

4. DEFINITIONS

The terms used in this document are specific to this policy and are defined in Appendix B.

5. ROLES AND RESPONSIBILITIES

- 5.1 The National Archivist of Canada approves the preservation policy on the advice of the Senior Management Committee.
- 5.2 The Director General, Preservation Branch, leads in the development and implementation of the preservation policy and reports to the National Archivist and/or the Senior Management Committee as appropriate.
- 5.3 The Assistant National Archivist, the Directors General of the other NA branches, the Director of the Portrait Gallery of Canada and the Director of the Strategic Management Office implement the policy as appropriate to their areas of responsibility and provide advice to the Director General, Preservation Branch, and through Senior Management Committee, to the National Archivist concerning the impact of the preservation policy on their areas of responsibility.
- 5.4 The staff and managers of all branches of the NA assist in implementing the preservation policy as appropriate to their roles and responsibilities.

6. POLICY STATEMENTS

- 6.1 Preservation is a fundamental responsibility through which the National Archives of Canada ensures the continuing availability and authenticity of the archival records that it holds in trust for present and future generations. The NA recognizes that preservation is a pervasive function that is integral to all archives activities from acquisition through to access; every staff member plays a part. The preservation function is also implicit in NA's responsibilities to facilitate the management of records of government institutions and ministerial records and to support the archival community.
- 6.2 The NA seeks to be a centre of excellence for archival preservation nationally and internationally, including in the development of expertise, the implementation and dissemination of standards and techniques, and the promotion of the value of archival preservation in Canada and of Canadian expertise in the world.
- 6.3 All types of records, whether human-readable or technology-dependent, are to be valued based on their qualities and worth as archival records, rather than the nature or challenges of their media.

- 6.4** Further, all preservation actions (except donor or client copying) must seek to preserve the maximum number and quality of the attributes and their interrelationships for which the archival record was acquired. The physical impact of all preservation actions or changes, including copying, must be evident to users, and any impact on meaning must be conveyed to users.
- 6.5** A record, whether an archival record or a copy, always comprises both information and medium; these are interdependent in creating or affecting historical meaning through the perception of the user. The interdependence between medium and information is to be recognized equally for both archival records and copies in order to assist decisions regarding preservation and copying (e.g. in determining essential attributes of the archival or copy record or in selecting copying media for the long term).
- 6.6** Human-readable records are sufficiently distinct from technology-dependent records that separate principles or paradigms apply to the management of their preservation and the determination of their priorities (see Appendix D).

7. POLICY REQUIREMENTS

7.1 Preservation Planning and Strategy

7.1.1 An overall preservation strategy will guide plans and actions that reflect the scope of the preservation mission, identify all key results areas for development and implementation, and plan resources accordingly. Equally, all other NA functions should acknowledge the impact on their plans and resources of an inherent preservation component.

7.1.2 All preservation planning will be determined by Preservation Branch in consultation with other functions of NA; conversely, Preservation Branch will participate in planning related to NA's other functions as appropriate.

7.2 Acquisition, Selection and Disposal

7.2.1 The physical nature and condition of the records, weighed against the capacity of the NA to preserve and ensure access to them in the present and the long term, will be considered as criteria in deciding whether or not to acquire or retain records, particularly technology-dependent records.

7.2.2 Where internal resources are considered inadequate to preserve records and provide access in the long term, the NA may explore options with donors and sources of records either during the acquisition process or later, such as funding support, completion of preliminary work by records creators, or provision by the source of a duplicate for access purposes.

7.2.3 The NA may also endeavour to influence records creators to incorporate preservation measures within their workplaces, particularly for technology-dependent records; in some instances (for example, in some government departments), long-term preservation may be delegated to records creators, with NA providing advisory and monitoring functions.

7.2.4 Methodologies to assess and predict preservation requirements will be designed for both current holdings and projected acquisitions.

7.2.5 The physical nature of certain archival records may require disposal after conservation copying, subject to approval. The process to determine approval must first establish the permanently inaccessible condition of the archival record and demonstrate the attributes, longevity and archival value of the copy.

7.2.6 Records that have been approved for disposal, or other records, may be selected by the Preservation Branch for use in applied research or training on approval of the appropriate archival area.

7.3 Preservation Management of Collections

7.3.1 Preservation management of collections, including custody, proceeds in a progressive sequence, from the global to the particular and from preventive preservation (such as collection assessments, proper accommodation and handling) to increasingly intrusive measures (such as copying, treatment, restoration and migration of items). Advice and training are considered to be a use of resources at the global level.

7.3.2 A preservation strategy is recognized to be risk management of the holdings overall. It outlines plans and priorities which strike a balance between the needs of records (identified through surveys) and departmental priorities (identified through consultations with all areas which use or access archival records). The balance will be arrived at through decision-making criteria, including the ownership status of the records and the availability of resources. Priorities will be indicated in plans encompassing holdings maintenance, copying, migration and treatment and in an allowance of time for applied research.

7.3.3 The NA will apply international or widely accepted standards, where available, to ensure the preservation and accessibility of its holdings. It will use appropriate accommodation standards and tested materials and equipment to store records; it will ensure appropriate standards and guidelines are set for all records-related actions (e.g., handling, processing, transport, security, loans, exhibitions, etc.).

7.3.4 Preservation management of copies (i.e., storage, handling and use) will reflect the intended use of the copy. Archival masters, particularly for technology-dependent records, may receive the same priority as archival records, with a descending scale of rigour applied to other types of copies, with reference copies intended to be used freely and replaced as needed.

7.3.5 Information about preservation activities, such as data on preventive preservation and holdings maintenance, copying, treatments, surveys, loans, exhibitions, circulation and service requests, will be retained as appropriate and managed as an investment and an asset of value.

7.4 Accommodation, Security and Environment

7.4.1 Of all preservation measures, appropriate accommodation is the single most effective and cost-efficient for the totality of the NA's holdings. The NA will seek to ensure appropriate and secure accommodation for all its holdings, wherever they are stored, processed or used.

7.4.2 Like all preservation actions, accommodation is an active, not a passive, measure, requiring daily management to maximize effectiveness. Appropriate accommodation includes environmentally controlled and monitored space, containerization that conforms to archival standards, security, pest management, disaster-readiness and cleanliness protocols.

7.4.3 The NA recognizes that the split arrangement for accommodation of its holdings in the Gatineau Preservation Centre, Ottawa and Renfrew locations, results in lengthy and frequent transport that constitutes a risk to archival records which must be actively assessed. It also affects departmental work flow, resources and records access. The work plans and procedures of all operational areas must acknowledge the risk of this transport, and implement appropriate measures, including security measures, to reduce it and its effects wherever possible.

7.5 Disaster and Emergency Preparedness

7.5.1 The NA, in partnership with the National Library of Canada (NL) will update and maintain a Disaster Contingency Plan and Disaster Contingency Organization, consisting of procedures and trained staff, to protect their holdings by responding to emergencies (e.g., fire, flood, power failure, pest infestation, growth of mould, vandalism, accident) and by leading immediate recovery actions.

7.5.2 In a disaster or an emergency, the first priority will be the safety of people, followed by immediate action to rescue or prevent further damage to records. Depending on immediate threat, emergency response and recovery actions will take precedence over all other NA activities.

7.5.3 The assistance of the Preservation Branch will be sought immediately on discovery of a situation posing potential or actual threat to the records of the NA.

7.6 Copying

7.6.1 All copies that are kept by the NA (i.e. all except client copies) have preservation value because they reduce the movement and exposure of archival records; may be designated the archival record if an archival record is lost or damaged; may constitute proof of condition and legal ownership; and may assist in insurance purposes.

7.6.2 Copying serves many additional purposes for acquisition, conservation (including treatment) and access within the NA, as defined in Appendix B; those purposes may be concurrent. However, the need for an access copy does not justify the creation of a conservation copy at the same time; a conservation copy will only be produced where required for specific conservation purposes.

7.6.3 Copying may take different forms, both traditional analog and digital (see Appendix D), and will reproduce or translate a differing number and quality of the attributes of archival records and their interrelationships. Copying may also be considered a treatment itself when the copy version has the radical impact of replacing the archival record, (e.g. migration of physical or logical formats of electronic records).

7.6.4 Conservation copying must be in media tested for longevity and cost-effectiveness; i.e., for the foreseeable future, it must be in traditional analog media such as photographic media or, for technology-dependent records, appropriate technology-dependent copy media. Nevertheless, traditional analog media are limiting and reductive for the vast range of forms which human-readable records take (see Appendix D). In contrast, technology-dependent records are more accurately copied than human-readable records because the media used to copy them are also technology-dependent and mimic the attributes of the archival records more closely (although such copies have their own provenance and metadata).

7.6.5 Consequently, for human-readable records the first priority is to ensure preservation of the archival records themselves in preference to making conservation copies. However, for technology-dependent records, conservation copying may be the first priority in order to respond to technological change and obsolescence. For the latter, the conservation copying decision represents, in effect, a continuation of the acquisition/selection decision, since materials that are not copied may gradually become inaccessible and eventually require disposal. However, such conservation copies too, are technology-dependent, and will need to be regenerated. (One prime reason for retention of all archival records as acquired remains the varied longevity, cost and usefulness of any copies.)

7.6.6 Access copying must not endanger the archival record, while it should offer clients their desired copy formats to the extent possible, including copies in the digital medium due to the broad reach and capacity for rapid delivery of digital copies. However, except for electronic records, digital access copying results in a significant reduction in both the number and quality of the attributes of the archival records and their interrelationships. The impact of digital access copying must be communicated to users.

7.6.7 Access copying in digital form will also entail -- as for all electronic records -- preservation maintenance through repeated cycles of migration of the whole body of digitized records, together with metadata (pending new techniques for preservation of digital material).

7.6.8 For all copies kept by the NA, specific citations to the archival record must be maintained for research, access, preservation and control purposes.

7.7 Conservation Treatment

7.7.1 The first priority of conservation treatment for most human-readable records in the NA is the current and long-term protection of the records during the provision of access for consultation, copying, loans and exhibitions and during disaster recovery. Otherwise, maintenance of these records as a whole will rely on preventive preservation (e.g., accommodation, containerization and careful handling) and on stabilization techniques for larger volumes of material.

7.7.2 The first priority of conservation treatment for certain deteriorating photographic and all audio-visual records is ensuring long-term accessibility through a planned, comprehensive conservation treatment/copying program for priority items and through specific storage techniques. The planned program will establish annual priorities that take into account predictions of needs for access, and will provide reference copies among other products.

7.7.3 Electronic records may undergo standard conservation treatments (e.g., rewinding, cleaning) and/or migration. Migration as a conservation treatment is intended to ensure the continued meaningful existence of electronic records by replacing the obsolete archival record with a new digital version. Migration also entails managing the risk of error in assessing technological change and in preserving contextual information or metadata that might be lost during data migration. Migration must also include continuous maintenance of the history of migrations as part of the metadata associated with the record, which will be made available to the user.

7.7.4 Conservation treatments will be approved only after consultation among staff, including archivists, to ensure that all available historical, scientific and technological information concerning the effects of various treatment options on the nature of the archival record has been considered.

7.7.5 All conservation examinations and treatments, including treatments to prepare records for copying, will be recorded (including through photodocumentation) and a formal system established for maintaining and communicating such information.

7.7.6 For all records, conservation treatments proceed in a progressive sequence from stabilization and structural consolidation to cleaning and repair, to more intrusive methods of remedial action. In many instances, conservation treatments or changes will be visible and

apparent to the user, but in other instances, users must be informed of the effects of conservation actions on the records.

7.7.7 Treatments of human-readable records will rarely proceed to restorations where changes are rendered imperceptible and must be explained to users. Restorations of audio-visual records, which are largely performed through treatments which also create modified copies or archival masters, can be difficult to perceive and must be explained. Efforts to go further and reconstruct a record, such as a film, are archivally suspect; therefore, the NA will not alter an existing archival record in a reconstruction attempt and will give low priority to manufacturing any proposed new version.

7.7.8 Conservation treatment and/or copying of records from holdings other than those of the NA (except for those of the NL, as per 7.10.1) will be undertaken only with the approval of the Director General, Preservation Branch, or the National Archivist.

7.8 Access

7.8.1 Consultation, handling and use, transport, temporary storage, copying, exhibition, and loan of holdings will not subject the items to unacceptable levels of risk or deterioration, as determined by the NA and governed by relevant legislation (e.g. Access to Information Act), accepted standards and internal guidelines. Individual procedures (including scheduling for copying) will be put in place for items at high risk such as fragile, highly marketable or ephemeral material, material of high intrinsic value and technology-dependent records.

7.8.2 Access to audio-visual records will distinguish between processed and unprocessed material and will be governed by relevant legislation (e.g. Access to Information Act, National Archives Act). Copies of processed material will be provided on demand within agreed limits. Unprocessed material will be scheduled in a planned, comprehensive conservation treatment/copying program, one product of which will be reference (consultation) copies. However, some access requests may be served by special viewing of the original at the Gatineau Preservation Centre, if safe for the archival record.

7.8.3 In preference to the production of reference copies, the accessibility of electronic records in the holdings will be ensured through secure (e.g. watermarked and/or fingerprinted), controlled, automated means that use access protocols with the client for transfer of the data.

7.9 Preservation Research and Training

7.9.1 The NA will use tested and known methods and means. Experimental methods and materials will be limited to basic/applied and developmental research projects, until their effects and longevity are determined.

7.9.2 The NA will undertake basic/applied research projects to address preservation problems encountered or anticipated, when the research is not being undertaken elsewhere.

7.9.3 The NA will collaborate with other institutions whenever possible, and will communicate interim and final results of such research, to contribute to the body of knowledge concerning preservation.

7.9.4 The NA will undertake developmental research, singly or jointly, as resources permit and as the results of basic/applied research justify it.

7.9.5 The NA will not undertake pure research.

7.9.6 The NA will furnish training opportunities to preservation staff to maintain or enhance their expertise continuously, particularly in emerging areas of interest such as electronic records. Training opportunities include allowances for self-directed training; attendance at national and international conferences, seminars and courses; and study visits, internships and working exchanges with other institutions and professionals.

7.9.7 The NA will maintain internship and training programs on-site for external students to further archival preservation expertise in the archival community in Canada and worldwide.

7.9.8 The NA will provide in-house training in preservation issues and techniques for non-preservation NA staff to enhance understanding and application of preservation principles throughout NA.

7.9.9 The NA will provide advice and information, particularly to government departments and agencies, on the preservation requirements of the records under their control.

7.9.10 The NA will endeavour to maintain obsolete equipment and the staff expertise to use and repair it, or to reconstitute equipment capable of performing obsolete functions, as long as obsolete formats are acquired or remain in the holdings; this policy includes equipment and expertise relating to human-readable records as well as technology-dependent records.

7.10 Stakeholders, Partnerships and Professional Connections

7.10.1 The Preservation Branch of the NA provides a range of preservation services to the NL according to plans updated annually. In addition, the NA and NL participate jointly in the Disaster Control Organization, as per 7.5.

7.10.2 The NA maintains a close consultative relationship with the Canadian Conservation Institute; collaborative research projects and training are part of that relationship. The NA also maintains professional relationships with the preservation community internationally.

7.10.3 The NA maintains an active participation in and communication with the archival

community in Canada and internationally, including its preservation organizations and associations, such as the Preservation Committee of the Canadian Council of Archives and the AV Preservation Trust.ca.

7.10.4 The NA is one of a group of cultural agencies in Ottawa, including the NL, museums, galleries, crown corporations and the Canadian Parks Service, which may offer opportunities for shared partnerships in the preservation and accessibility of collections, such as joint research, training, assistance in disasters or emergencies and the sharing of information and expertise.

7.10.5 The NA welcomes comment and external peer assessment on its preservation activities, and will seek such input.

7.10.6 The NA espouses the *Code of Ethics and Guidance for Practice*, which is published jointly by the Canadian Association for Conservation of Cultural Property and the Canadian Association of Professional Conservators, notwithstanding the different definitions used in that code.

7.11 Preservation in the Federal Records Centres

7.11.1 Where the NA holds archival records permanently in a federal records centre (as, for example, in the Pacific, Prairies Northwest, Manitoba and Atlantic regions), these records will be stored, preserved and treated like all other archival records of the NA, insofar as possible. Procedures will be instituted to separate these records from the non-archival records within these centres on a case-by-case basis.

7.11.2 The NA will seek accommodation for all non-archival records in its federal records centres which incorporates appropriate non-archival records storage and handling standards. Conservation treatment of these records will be limited in scope and will be applied without charge to records anticipated for acquisition by the NA. The cost of conservation treatment of non-archival records necessitated by health and safety concerns may be recouped from the client department.

7.12 Public Awareness of Preservation

7.12.1 The NA will actively communicate to records creators and holders, to all users of archives, as well as to supporters and the public, an understanding of the nature and value of the material it holds in trust and the importance of its preservation. This message will be conveyed in NA communications and public programs, in tours of the Gatineau Preservation Centre and other NA facilities, in the security and handling methods in current use, and in reference and consultation areas.

7.12.2 The NA will also explain the nature of archives in general, in aid of the archival

community and the preservation of Canada's archival heritage.

7.12.3 The NA will also explain its own role as intermediary in affecting the meaning and perceived value of archival records through its actions to preserve records or make them accessible.

8. MONITORING

The Review Office of the NA will monitor compliance by incorporating the preservation function and programs in internal departmental audit and evaluation plans, as appropriate.

9. OTHER DEPARTMENTAL POLICIES

The preservation policy will be reflected in all departmental policies that have a direct or indirect impact on the holdings of the NA or on the resources assigned to preserve them, and to ensure their accessibility. This policy will be amended as circumstances warrant.

10. DATE OF EFFECT

The preservation policy will come into effect after approval by the National Archivist of Canada.

11. COMMUNICATION OF THE POLICY

11.1 This policy will be communicated to all managers and staff of the NA, and will be made available to the public on the NA Web site at <http://www.archives.ca>.

11.2 Further information on this policy and its implementation may be obtained from the Preservation Branch of the National Archives of Canada, Gatineau Preservation Centre, 625 Boulevard du Carrefour, Gatineau, QC, Canada J8T 8L8.

APPENDIX A

CITATIONS FROM RELEVANT ACTS

APPENDIX A: CITATIONS FROM RELEVANT ACTS

National Archives of Canada Act

Article 4.(1): “The objects and functions of the National Archives of Canada are to conserve private and public records of national significance and facilitate access thereto, to be the permanent repository of records of government institutions and of ministerial records, to facilitate the management of records of government institutions and of ministerial records, and to encourage archival activities and the archival community.”

Article 4.(2): “The Archivist may do such things as are incidental or conducive to the attainment of the objects and functions of the National Archives of Canada and, without limiting the generality of the foregoing, may:

- (a) acquire records or obtain the care, custody or control of records;
- (b) take such measures as are necessary to classify, identify, preserve and restore records;
- (c) subject to any lawful restriction that applies, provide access to the records;
- (d) provide information, consultation, research and other services related to archives;
- (e) make known information concerning archives by means such as publications, exhibitions and the lending of records;
- (f) advise government institutions concerning standards and procedures pertaining to the management of records;
- (g) provide reproduction and other services to government institutions pertaining to the management of records;
- (h) provide a central service for the care and control of records pertaining to former personnel of any government institution;
- (i) provide records storage facilities to government institutions;
- (j) provide training in archival techniques and the management of records;
- (k) cooperate with and undertake in concert with organizations interested in archival matters or the management of records by means such as exchanges and joint projects;

(l) provide professional, technical and financial support in aid of archival activities and the archival community; and

(m) carry out such other functions as the Governor in Council may specify.”

Article 4.(3): “Subject to the terms and conditions under which records have been acquired or obtained, the Archivist may destroy or dispose of any record under the control of the Archivist where the retention of the record is no longer deemed necessary.”

Article 5.(1): “No record under the control of a government institution and no ministerial record, whether or not it is surplus property of a government institution, shall be destroyed or disposed of without the consent of the Archivist.”

Article 6.(1): “The records of government institutions and ministerial records that, in the opinion of the Archivist, are of historic or archival importance shall be transferred to the care and control of the Archivist in accordance with such schedules or other agreements for the transfer of records as may be agreed on between the Archivist and the government institution or person responsible for the records.”

Article 6.(3): “Except as otherwise directed by the Governor in Council, the Archivist shall have the care and control of all records of any government institution the functions of which have ceased.”

Article 8.(1): “In this section, "recording" means anything on which sounds or images or both are fixed, regardless of form.”

Article 8.(2): “The producer or distributor of a recording shall, within six months after a request in writing is made by the Archivist, provide the Archivist with a copy of the recording in such form as may be specified in the request.”

Article 8.(3): “The Archivist shall pay to a person, other than Her Majesty in right of Canada or an agent thereof, who provides a copy under subsection (2) the actual cost of making the copy so provided.”

Article 8.(4): “Every person who fails to comply with subsection (2) is guilty of an offence punishable on summary conviction.”

Article 8.(5): “Subsection (2) does not apply in respect of

(a) a recording that is required to be sent to the National Librarian under the *National Library Act* or that has not been broadcast or made public in Canada; or

(b) any recording of a class or kind that is exempted from the application of that subsection by such regulations as the Minister may make for the purpose.”

Article 8.(6): “This section applies to Her Majesty in right of Canada or a province.”

Copyright Act

Article 30.1 (1): “It is not an infringement of copyright for a library, archive or museum or a person acting under the authority of a library, archive or museum to make, in accordance with the regulations made under subsection (4), for the maintenance or management of its permanent collection or the permanent collection of another library, archive or museum, a copy of a work or other subject-matter, whether published or unpublished, in its permanent collection

(a) if the original is rare or unpublished and is deteriorating, damaged or lost, or at risk of deterioration or becoming damaged or lost;

(b) for the purposes of on-site consultation if the original cannot be viewed, handled or listened to because of its condition or because of the atmospheric conditions in which it must be kept;

(c) in an alternative format if the original is currently in an obsolete format or the technology required to use the original is unavailable;

(d) for the purposes of internal record-keeping and cataloguing;

(e) for insurance purposes or police investigations; or

(f) if necessary for restoration.”

Article 30.1 (2): “Paragraphs (1) (a) to (c) do not apply where an appropriate copy is commercially available in a medium and of a quality that is appropriate for the purposes of subsection (1).”

Article 30.1 (3): “If a person must make an intermediate copy in order to make a copy under subsection (1), the person must destroy the intermediate copy as soon as it is no longer needed.”

Article 30.1 (4): “The Governor in Council may make regulations with respect to the procedure for making copies under subsection (1).”

Access to Information Act

Article 2 (1): “The purpose of this Act is to extend the present laws of Canada to provide a right of access to information in records under the control of a government institution in accordance with the

principles that government information should be available to the public, that necessary exceptions to the right of access should be limited and specific and that decisions on the disclosure of government information should be reviewed independently of government.

Complementary procedures

Article 2 (2): This Act is intended to complement and not replace existing procedures for access to government information and is not intended to limit in any way access to the type of government information that is normally available to the general public.”

Article 4 (1): “Subject to this Act, but notwithstanding any other Act of Parliament, every person who is

(a) a Canadian citizen, or

(b) a permanent resident within the meaning of the *Immigration Act*,

has a right to and shall, on request, be given access to any record under the control of a government institution...”

Article 4 (3): “For the purposes of this Act, any record requested under this Act that does not exist but can, subject to such limitations as may be prescribed by regulation, be produced from a machine readable record under the control of a government institution using computer hardware and software and technical expertise normally used by the government institution shall be deemed to be a record under the control of the government institution.”

Article 67.1 (1): “No person shall, with intent to deny a right of access under this Act,

A) destroy, mutilate or alter a record;

B) falsify a record or make a false record;

C) conceal a record;

D) direct, propose, counsel or cause any person in any manner to do anything mentioned in any of paragraphs A) to C).”

Article 67.1 (2): “Every person who contravenes subsection (1) is guilty of

A) an indictable offence and liable to imprisonment for a term not exceeding two years or to a fine not exceeding \$10,000 or to both, or

B) an offence punishable on summary of conviction and liable to imprisonment for a term not exceeding six months or to a fine not exceeding \$5,000, or to both.”

APPENDIX B

DEFINITIONS

APPENDIX B: DEFINITIONS

Access copying refers to the manufacture of copies reproducing a varying number and quality of the attributes of the archival record and their interrelationships; and for client copies, usually without the requirement for a high level of permanence. Access copying creates reference tools, copying masters and client copies; supplies copies for exhibition and so enhances public awareness of NA holdings; ensures automated access to automated records (e.g., electronic records); and creates digital copies for distant access.

Acquisition copying refers to the manufacture of copies to produce an object to acquire (e.g., off-air satellite recording, microfilm or other copying of records held in other institutions or locations, processing of electronic records into physical and logical formats acceptable to the NA), or to satisfy donor, vendor or source requirements as a result of acquisition or selection decisions.

Archival master refers to a copy held by or produced by the NA that has been designated as the record that most closely approximates the archival record or the original record insofar as it is known. It is usually made from an archival record. (Archival masters made from original or other records that are not held by the NA may be designated as archival records in the NA.) Archival masters may or may not have the same preservation priority as archival records (e.g., for microfilm or audio-visual records, they may sometimes be or become the archival record). However, they always have a higher priority than other copies.

Archival record refers to a record selected and acquired by the NA for permanent retention and use by Canadians. An archival record is defined as such through an archival valuation decision, not by virtue of some inherent, objective quality. It may therefore be a designated original record or a copy record, and may include metadata. Its archival status may also be subject to change.

Basic/applied research is directed toward solving a specific practical problem and uses information, analytical tools and knowledge already available.

Client copy refers to a copy made for users at their request. It is usually made from a reference copy or, for microfilm and photographic client copies, from the copying master.

Conservation (or preservation) copying refers to the manufacture of a surrogate that reproduces the maximum number and quality of the attributes of the archival record and their interrelationships (see Appendix C), in a medium with a high level of permanence or a level of permanence comparable to that of the archival record. Conservation copying makes records of archival records on loan; ensures long-term accessibility of archival records in some form when original records are inherently deteriorative or dangerous (e.g., newsprint, nitrate negatives and films), too fragile for easy access, or dependent on rare or obsolete technology (e.g., audio-visual records). Such records need highly faithful, modern copies to protect and maintain existence and accessibility.

Conservation treatment refers to changes brought about in an archival record to improve or maintain any of its attributes and their interrelationships, including physical stability, appearance or accessibility. *For human-readable records*, conservation treatment entails physical or chemical intervention and may be performed as a preventive measure or once damage has occurred. *For technology-dependent records*, conservation treatment may entail physical or chemical intervention; however, it may also entail, or be combined with, the manufacture of an archival master or, for electronic records, migration or other form of copying. It usually takes place once damage has occurred or in anticipation of damage or obsolescence (hence inaccessibility) because of the passage of time. In the case of technology-dependent records, the new record resulting from these actions may irreversibly replace the first archival record for two reasons: the archival master or migrated version may be sufficiently (although not exactly) the same to allow the replacement, while technological obsolescence may be so rapid as to require it. This radical effect on the first archival record identifies the creation of archival masters and the migration of electronic records (or re-copying to a new logical and/or physical format for the electronic record) as highly interventionist conservation treatments as much as they are copying techniques.

Copy refers to a replication of an archival record in whole or in part to preserve it and/or provide access to it.

Copying refers to all methods of manufacturing a reproduction of a record to create a second record in the same or a new medium or media with its own attributes (see Appendix C), including history of creation, metadata and requirements for control, preservation and access.

Copying master refers to a copy used to produce reference copies and sometimes client copies. It is usually made from the archival master or the archival record.

Custody refers to the guardianship and management of archival records (including electronic records and certain copies).

Developmental research is directed toward turning promising results of laboratory research into marketable or useful products.

Human-readable record refers to a record that is intelligible without the assistance or mediation of a machine, for example, a manuscript or typescript, a drawing, a print, etc. (see Appendix D).

Metadata originally referred to technical data about electronic records essential for rendering them understandable. The term has been enlarged in general archival usage to apply to data or information which may be considered part of or related to archival records in either traditional or electronic media. This data may be administrative or descriptive or may relate to a record's preservation or use. This document allows for both definitions of metadata depending on context.

Original record refers to a record designated original by the NA after consideration of its attributes and their interrelationships. The designation may change owing to circumstances, such as a new acquisition or new information.

Permanent custody is intended to ensure the physical integrity of the holdings and includes responsibility for, among other activities, relevant standards, policies, procedures and regulations; holdings assessments and surveys; ensuring proper accommodation, storage containers and handling techniques; the management of holdings in storage or other locations; environmental and pest control; secure use and access to, retrieval and loan of archival records and certain copies.

Preservation is defined as all actions that can be taken with the aim of ensuring the current and long-term survival and accessibility of the physical form, informational content and relevant metadata of archival records, including actions taken to influence records creators prior to acquisition or selection. Preservation consists of all actions described under “Policy Requirements” in this document. The term “conservation” is used in this policy to refer to treatment actions and copying for the long term. It is also sometimes used synonymously with preservation in archival communities; these terms are not synonymous in other heritage communities (e.g., museums).

Preventive preservation refers to a specific set of non-intrusive preservation actions undertaken without actual physical intervention or chemical treatment of archival records. Preventive preservation attempts to prevent or halt deterioration or retard its progress, or manufactures a potential surrogate through certain copying techniques that maintain the copied archival record unchanged. Preventive preservation is not repair, deacidification or migration, which are active interventions that affect the record. Preventive preservation is not confined to the activities of preservation staff but is an integral part of all archival activities from acquisition, selection and arrangement through to the provision of access, and all NA staff assume responsibility for preventive preservation appropriate to their roles, based on standards and guidelines. Preventive preservation includes establishing and implementing a holdings maintenance plan, proper containerization and handling techniques, storage and processing environments, packing and transport procedures, and certain copying techniques.

Pure research is directed toward the discovery of new facts or the expansion of knowledge without the condition that it must lead to a specific, useful product.

Reconstructed record refers to the product of an attempt, usually in audio-visual records, to divine the intentions of the records creators and on that basis, using copying and composite techniques, either to alter an existing archival record or to produce a proposed new version for which no complete original may exist.

Record: “A ‘record’ includes any correspondence, memorandum, book, plan, map, drawing, diagram, pictorial or graphic work, photograph, film, microform, sound recording, videotape, machine-readable record and any other documentary material, regardless of physical form or

characteristics and any copy thereof” (Article (2) of the *National Archives of Canada Act*). All records, including copies, may be described through a series of attributes (see Appendix C).

Reference (or consultation) copy refers to a copy made available to archives users to prevent frequent handling and transportation of either archival records or archival masters; it also serves to make client copies for users. It is usually made either from the copying master or, infrequently, from the archival master. A digital reference copy may be made from the original digital record or from any of its digital copies.

Technology-dependent record refers to a record that is dependent on the mediation of a machine and/or other technology such as software to be experienced or rendered intelligible; for example, audio-visual records and electronic records (see Appendix D).

Temporary custody: Records may be in the temporary custody of non-custodial NA staff or of external institutions or individuals for such purposes as acquisition, arrangement, processing, documentation, public consultation, exhibition, loan, etc. In these circumstances, they will be handled according to the custodial standards, policies, procedures and regulations of the NA.

APPENDIX C

ATTRIBUTES OF A RECORD

APPENDIX C: ATTRIBUTES OF A RECORD

1. AUTHENTICITY

What is the record's level of authenticity, and on what is this based (e.g., what is the date(s) of its creation and the types, quantity and dates of changes to it? migrations? copies?) Is its authenticity based on other attributes or their interrelationships in this list, below?

2. ACCESSIBILITY

Is it human-readable or technology-dependent? Is it an analog or a digital record, and what is its accessibility (readability or ability to be copied)?

3. CITABILITY

What is the record's level of citability? Is this a version, edition, "state" (e.g., of an engraving) or other stage of production or use that is expected to match reliably a published or unpublished citation to it as an object?

4. CONTENT

What is the content of the record? This can be understood on two levels:

- a) denotative (informational: what the record says or shows); and
- b) connotative (what the record means: what may be inferred, implied, proved).

5. CONTEXT

What is the context of the record (i.e., what are its links to other records or sequences)? Does it serve to authenticate other records, and how?

6. FUNCTIONALITY

What is the functionality or usability of the record? Does it have multiple uses (originally, subsequently or in the future), in the form in which it was acquired or in other forms? Is the use for which it was created exhausted (and only residual research or documentary uses are left)? Are there new uses engendered specifically by being in an archives (e.g., as an archival "treasure")?

7. MARKET VALUE

Does it have a current or future market value or marketability? On what basis?

8. MEDIUM

What is its medium or media of manufacture? What is its expected life span or physical stability under ordinary “office” or “home” conditions?

9. METADATA

What is its metadata, and is its metadata to be considered an integral part of the record (whether the record is in a traditional medium or electronic form)?

10. OBJECT FORM

What is the record as a discrete whole? What are its dimensions, its parts (is it a multiple or compound record, such as the parts of a pieced map, or a composite artwork)? Does its artifactual, three-dimensional nature, or its reverse, or container, frame, binding, base or attachments, add crucial information to its definition as an object? Does it have an “extent”, i.e., a sequence of interdependent states (such as the negative and positive versions of a photograph)?

11. PRESENTATION

What is the record’s presentation or appearance (e.g., its format, layout, pagination, “original look,” style, serial sequencing)?

12. PROVENANCE

What asserts the origin and chain of custody in the record (e.g., bookplates, signatures, imprints, letterheads, title page, notes, marginalia, metadata, serial position)?

PRINCIPLES DERIVED FROM THE ATTRIBUTES OF RECORDS:

- 1) All attributes and their interrelationships represent information about the record and engender historical meaning.
- 2) Every preservation activity, including copying, will affect some or all of these attributes and may even eliminate, supplement or replace them, and therefore will affect meaning.
- 3) All preservation actions (except donor or client copying) should seek to preserve the maximum number and quality of attributes and their interrelationships for which the archival record was acquired.
- 4) The impact on a record of all preservation actions or changes, including copying, must be evident to users, and any effect on meaning must be conveyed to users.

APPENDIX D

**DUAL PARADIGM OF HUMAN-READABLE
AND
TECHNOLOGY-DEPENDENT ARCHIVAL RECORDS**

**APPENDIX D: DUAL PARADIGM OF HUMAN-READABLE
AND
TECHNOLOGY-DEPENDENT ARCHIVAL RECORDS**

Paradigm 1: Human -Readable Records

<p><i>Record forms:</i></p> <ul style="list-style-type: none"> - parchment (varied) - paper (highly varied) - without a matrix (drawings and paintings, some cartography and some photography, in highly varied media) - with a matrix (prints, cartography and most photography, in highly varied media) 	<p><i>Means of first production:</i></p> <ul style="list-style-type: none"> - hand - camera - printing press - each record can be made by single, multiple or composite media within one object 	<p><i>Means of copying:</i></p> <ul style="list-style-type: none"> - photographic processes (microform, photocopies, cut film, in various sizes, in b/w and colour) - digital processes <p><i>Impact:</i></p> <ul style="list-style-type: none"> - usually only one process for each copy - highly varied original record forms are reduced to limited copy options
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Paradigm 2: Technology-Dependent Records

<p><i>Record forms:</i></p> <ul style="list-style-type: none"> - some photography (varied media) - film (highly varied media) - microform (varied media) - sound (highly varied media) - video (highly varied media) - electronic/digital (highly varied media and software); these records can be databases or can imitate products of other media (e.g., text, images, sound).* 	<p><i>Means of first production:</i></p> <ul style="list-style-type: none"> - camera - recorder - computer - each record can be made by single or multiple or composite possible media within one object, even for electronic objects (whose media are also varied) 	<p><i>Means of copying:</i></p> <ul style="list-style-type: none"> - photography - film - microform - sound - video - electronic/digital <p><i>Impact:</i></p> <ul style="list-style-type: none"> - these copies can mimic more closely the attributes of the records they copy, as they use similar, though not identical, means of production
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* However, the imitative products (whether copies or not) are largely understandable because they communicate meaning the way the media they imitate do, despite being electronic (although there are exceptions); i.e., their denotative and connotative structures mostly derive from those other media.