

PROVINCIAL
ARCHIVES
OF ALBERTA

Operations Manual

December 2013

CONTENTS

| | |
|---|----|
| 1. INTRODUCTION | 5 |
| Updating | 5 |
| Distribution | 5 |
| 2. OVERVIEW | 6 |
| Mission and Vision | 6 |
| Values Charter | 6 |
| Organizational Outline..... | 6 |
| Summary of Archival Records Holdings..... | 7 |
| Clients, Stakeholders and Support..... | 7 |
| Governing Authorities for Operation, Access and Privacy | 8 |
| Facility | 9 |
| 3. ADMINISTRATION | 10 |
| General Policy | 10 |
| Planning..... | 10 |
| Human Resources..... | 10 |
| Financial Resources..... | 10 |
| Supplies and Services..... | 11 |
| Records Management..... | 11 |
| Facility Management | 11 |
| Reception Services | 12 |
| 4. ACQUISITION | 13 |
| General Policy | 13 |
| Acquisition Process – General | 13 |
| Acquisition Process – Government Records..... | 14 |
| Acquisition Process – Private Records | 15 |
| 5. REFERENCE LIBRARY ACQUISITION | 17 |
| General Policy | 17 |
| Reference Library Acquisition Criteria..... | 17 |
| Reference Library Acquisition Process | 18 |
| Reference Library Deaccessioning | 19 |
| 6. ARRANGEMENT AND DESCRIPTION | 20 |
| General Policy | 20 |
| Arrangement and Description Process | 20 |
| Levels of Arrangement and Description | 20 |
| Finding Aids/Inventories | 23 |
| 7. REFERENCE LIBRARY CLASSIFICATION | 24 |
| General Policy | 24 |
| Cataloguing | 24 |
| Government of Alberta Items | 24 |
| 8. RECORDS PROCESSING | 26 |
| General Policy | 26 |
| Accessioning | 26 |
| Deaccessioning | 27 |
| Federal Tax Receipts and Cultural Property Certification..... | 27 |
| Physical Processing | 28 |

| | |
|---|----|
| 9. PRESERVATION | 29 |
| General Policy | 29 |
| Hazard Identification..... | 30 |
| Environmental Control and Monitoring..... | 31 |
| 10. ACCESS | 32 |
| General Policy | 32 |
| Reference Area | 32 |
| Registration | 32 |
| Record Retrieval..... | 32 |
| Restricted Records..... | 33 |
| Legislated Access Restrictions | 33 |
| Donor Restrictions..... | 35 |
| Conservation Restrictions | 35 |
| Unprocessed Records..... | 36 |
| File Lists and Accession Files | 36 |
| 11. REFERENCE SERVICES | 37 |
| General Policy | 37 |
| Reference Area | 37 |
| Inquiries | 37 |
| On-site and Electronically Accessible Reference Resources | 38 |
| Client Computer Use and Wireless Access | 38 |
| Reference Library | 38 |
| Service Requisition Form | 38 |
| Contract Research Services | 39 |
| Inter-institutional Loan | 39 |
| Homestead Search..... | 39 |
| Brand Search | 40 |
| Transcripts..... | 40 |
| Certification | 40 |
| 12. RECORD REPRODUCTION | 41 |
| General Policy | 41 |
| Reproduction Requests..... | 41 |
| Reproduction Conditions | 41 |
| Photocopies..... | 41 |
| Audiovisual Reproduction..... | 42 |
| Fee Exceptions and Coupons | 43 |
| 13. OUTREACH | 44 |
| General Policy | 44 |
| Online Resources..... | 44 |
| Events..... | 44 |
| Facility Tours | 45 |
| Exhibits..... | 45 |
| Loan of Archival Material..... | 46 |
| Conservation and Reproduction Services..... | 47 |
| The Archives Store | 48 |
| Volunteer Program | 48 |
| 14. WORKPLACE HEALTH AND SAFETY | 49 |

CONTENTS

| | |
|--|-----------|
| General Policy | 49 |
| Occupational Health and Safety Program | 49 |
| Worksite Inspections | 50 |
| Health and Safety Orientation | 50 |
| Health and Safety Responsibility | 50 |
| Emergency Situations | 51 |
| 15. GLOSSARY OF TERMS | 52 |
| 16. FORMS AND TEMPLATES | 55 |
| 17. APPENDIX | 56 |

1. INTRODUCTION

This manual contains operational policies and processes of the Provincial Archives of Alberta. It documents the rules and procedures that guide operations and the associated management of archival records holdings.

This manual is a reference guide for current and new employees. It supports the importance of consistency, clarity and adherence to standards. It ensures that the activities of the Archives comply with governing authorities for operation, access and privacy.

While unique to the Archives, the policies and procedures included in this manual are aligned and complementary to the broader divisional Collections Management Policy of the Heritage Division, Alberta Culture. For more information, please refer to the *Heritage Division Collections Management Policy*, available in the [Appendix](#).

Updating

This manual is a dynamic document and a master copy is updated as required. It is reviewed annually in its entirety and critical updates are incorporated on an ongoing basis. Changes are written in the same style as the original text to preserve uniformity of presentation and clarity of content. Users are advised that components of this manual may be under review at any given time.

Several types of changes can be expected: the revision of existing content, the addition of new information or subjects, and the deletion of obsolete information. Modifications to the manual may come from changes in legislation and/or Government of Alberta policies and procedures, including the Collections Management Policy of the Heritage Division. Changes in the organization and responsibilities of staff may require that updates be made. Staff use of the manual will identify the need for expansion or removal of information.

The Executive Director/Provincial Archivist is responsible for the master copy of this manual and for coordinating its maintenance. The Archives management team is responsible for approving changes and assessing their urgency. The management team reviews the complete manual annually and produces a fresh master version. A copy of each former annual version is retained.

To ensure orderly and logical updating, changes to content and/or appendices are controlled and recorded as follows:

- staff initiated changes are first discussed with a supervisor
- revised draft content is distributed to Archives staff for review and comment
- final assessment of a request for change is conducted by the management team
- the management team, or its delegate, revises the master copy immediately or during the annual review
- when immediate revisions are made to a page, the revision date is indicated adjacent to the revision (e.g. "Revised dd/mm/yyyy")
- revision details and decisions are recorded in branch management committee meeting minutes

Distribution

This manual is routinely available to staff and the public on the [Archives' website](#).

The management team advises staff of interim changes and updated annual versions.

2. OVERVIEW

The Provincial Archives of Alberta acquires, preserves and makes available for research private and government records of enduring value relating to the history and culture of Alberta. It is the repository for records of permanent value of the Government of Alberta.

The Government of Alberta works to ensure Alberta's rich heritage is valued and historic resources are preserved and accessible to Albertans. With roots reaching back to 1906, the Provincial Archives of Alberta is an integral component of this commitment. The Archives was officially established in 1962 to serve the province and its citizens, and operates in accordance with the [Historical Resources Act \(RSA 2000 cH-9\)](#) and the [Government Organization Act \(RSA 2000 cG-10\)/Records Management Regulation \(AR 224/2001\)](#).

Mission and Vision

The Provincial Archives of Alberta preserves the collective memory of Alberta and contributes to the protection of Albertans' rights and sense of identity. The Archives seeks to be the source of enduring knowledge that documents the Alberta experience, accessible to all and integral to the historical foundation and cultural, social and economic advancement of the province.

Values Charter

The Provincial Archives of Alberta espouses and takes pride in operating in accordance with the four Alberta Public Service values of respect, integrity, accountability and excellence.

For additional information, please refer to the *Provincial Archives of Alberta Values Charter*, available in the [Appendix](#).

Organizational Outline

The Archives operates as a branch of the Heritage Division within the Ministry of Culture of the Government of Alberta. An Executive Director/Provincial Archivist oversees the stewardship of the Archives and is responsible for overall vision, leadership and direction concerning staff, archival holdings and programming. The Executive Director/Provincial Archivist is supported by a management team, two program sections (Collections Management, and Access and Preservation Services) and an administrative unit. These areas work collaboratively to fulfill the Archives' mission and administer its programs.

Administration

Administration supports the ongoing and daily operation of the Archives. It supports branch planning, human resource management, and budgetary planning and control. The administrative unit coordinates the purchasing and receipt of supplies and services and provides reception services. It coordinates the management of current administrative and operational records. Staff members include an Office Administrator and a Receptionist/Administrative Support.

Collections Management

The Collections Management section acquires and preserves records in a manner consistent with professional archival principles and practices, and within the legislative, regulatory and policy framework of the Government of Alberta. The Collections Management section is responsible for obtaining and preserving archival holdings within the Government and Private Records Programs.

The Director of Collections Management is responsible for overseeing the section, and provides vision, leadership and direction. Section staff members include Team Leads, Archivists and Archival Technicians.

Access and Preservation Services

Access and Preservation Services provides programs and services that support the goal of providing access to archival holdings. The section maintains a balance between making records available, essential preservation activities, and complying with donor restrictions and federal and provincial legislation concerning access and privacy. Preservation programming undertaken by this section is complemented by reference, research and reproduction services and a Reference Library. Outreach, volunteer coordination and promotional programming also fall within this section.

The Director of Access and Preservation Services is responsible for overseeing the section, and provides vision, leadership and direction. Section staff members include Reference Archivists, a Reference Archivist/Librarian, a FOIP Officer/Archivist, a Retrieval Aide/Archival Technician, Conservators (textual records and audiovisual), a Program/Volunteer Coordinator, a Public Receptionist, Technicians (photographic and audiovisual media) and a Business Manager.

For additional information, please refer to the *Organizational Chart*, available in the [Appendix](#).

Summary of Archival Records Holdings

The Archives is the official repository for records created by the Government of Alberta, its corporations, agencies, boards, commissions and courts. These records hold evidentiary and informational value for the institutions and citizens of the province. They document decisions, policies and actions of Government of Alberta bodies. Records are primarily textual in nature, but may also include maps, plans, photographs, micrographics, and audiovisual and digital material.

The Archives acquires and preserves records of provincial significance from individuals, communities, businesses, non-governmental organizations, and local public bodies. These records support research on Alberta's past and present, including economic, religious, artistic, organizational, community, sport and cultural life. Records include correspondence, diaries, journals, operational records and other written materials, such as maps and blueprints. Holdings include photographs, negatives and audiovisual recordings.

Access to government and private records is provided in accordance with Archives [access conditions](#).

Clients, Stakeholders and Support

The Archives provides services to the Government of Alberta and the public. Clients represent scholarly and general interest. Individuals, groups and organizations that use the Archives include:

- academics
- archives and museums community
- businesses and organizations
- community and arts groups
- the Alberta Francophonie
- First Nations peoples
- genealogists
- Government of Alberta employees
- historians

OVERVIEW

- legal organizations
- media

Representative stakeholder groups include:

- [Archives Society of Alberta](#)
- [Friends of the Provincial Archives of Alberta Society](#)
- [Alberta Genealogical Society](#)

The Provincial Archives of Alberta supports and works with the following groups and organizations:

- faith groups:
 - Anglican Church of Canada
 - Evangelical Lutheran Church
 - Missionary Oblates of Mary Immaculate
 - Presbyterian Church, Unitarian Church
 - United Church of Canada
- Alberta Francophone Secretariat
- Société historique francophone de l'Alberta (SHFA)
- Alberta Pioneer Railway Association
- Athabasca University
- Canadian Broadcasting Corporation (CBC)
- Film and Video Arts Society Alberta (FAVA)
- University of Calgary

Governing Authorities for Operation, Access and Privacy

The Archives operates according to the [Historical Resources Act \(RSA 2000 cH-9\)](#) and [Government Organization Act \(RSA 2000 cG-10\)/Records Management Regulation \(AR 224/2001\)](#).

Under the *Historical Resources Act*, the Archives is responsible for the acquisition, description, preservation and provision to all interested users the permanently valuable records of the Province of Alberta. The *Historical Resources Act* identifies the Archives as the official repository for government records of enduring value.

The Archives has responsibilities under provincial and federal legislation as they relate to privacy, and information, including:

- [Alberta Evidence Act \(RSA 2000 cA-18\)](#)
- [Child, Youth and Family Enhancement Act \(RSA 2000 cC-12\)](#)
- [Copyright Act \(Canada\) \(RS 1985 cC-42\)](#)
- [Criminal Code \(Canada\) \(RS 1985 cC-46\)](#)
- [Criminal Records Act \(Canada\) \(RS 1985 cC-47\)](#)
- [Financial Administration Act \(RSA 2000 cF-12\)](#)
- [Freedom of Information and Protection of Privacy Act \(FOIP\) \(RSA 2000 cF-25\)](#)
- [Freedom of Information and Protection of Privacy Regulation \(AR 186/2008\)](#)
- [Limitations Act \(RSA 2000 cL-12\)](#)
- [Personal Information Protection Act \(PIPA\) \(SA 2003 cP-6.5\)](#)
- [Vital Statistics Act \(RSA 2000 cV-4.1\)](#)
- [Youth Criminal Justice Act \(Canada\) \(SC 2002 c-1\)](#)

- [Copyright Act \(Canada\) \(RS 1985 cC-42\)](#)

Facility

The Provincial Archives of Alberta is located in southeast Edmonton, Alberta, at:

8555 Roper Road
Edmonton, Alberta
T6E 5W1

Phone: 780-427-1750

Fax: 780-427-4646

Email: paa@gov.ab.ca

Web: <http://provincialarchives.alberta.ca>

The facility is an 11,000 square metre building situated on a six hectare (14.8 acre) site. The two-storey facility includes:

- front foyer
- public lounge
- exhibit gallery
- public reception
- Archives Store and Client Services
- Sandra Thomson Reading Room, with Reference Library and FOIP Reading Room
- staff offices
- boardroom
- lecture room
- staff meeting room
- photocopy/supply room
- administrative file room
- shipping/receiving
- records holding areas
- processing rooms
- a textual records conservation lab
- audiovisual records conservation labs
- 20 state-of-the-art environmentally controlled storage vaults

For additional information on the layout of Archives, please refer to the *Facility Plans*, available in the [Appendix](#).

3. ADMINISTRATION

General Policy

The Provincial Archives of Alberta is provided with human and financial resources to facilitate the acquisition, preservation and making available of archival records. Administrative operations oversee ongoing and day-to-day concerns such as planning, staffing and finance. This includes the acquisition and receipt of supplies and services, current administrative and operational records management, facility management and reception services. Staff work in liaison with Government of Alberta units and in accordance with associated policies and requirements, and provide consistent and accurate reporting on the activities and finances of the Archives.

Planning

The administrative unit supports aspects of branch planning. This includes:

- coordinating branch information as part of the division submission to the Ministry business plan
- supporting the development of an annual branch-level operational plan that highlights goals, priority initiatives and performance measures
- maintaining individual staff performance plans that highlight initiatives, activities and deliverables

Human Resources

The administrative unit supports human resource planning and management to ensure client demand is proactively addressed, especially concerning the effective and efficient provision of archival records access to the public. This process is undertaken in adherence to [Corporate Human Resources](#) and [Ministry Human Resources](#) requirements, and includes:

- confirming human resource requirements and communicating the same to the division's assistant deputy minister, in part via "spending pressure" documents
- serving as the main contact for personnel matters and providing staff with current human resource regulations and policies
- time and payroll management and ensuring that online time-reporting requirements, including the data input of staff absences and overtime, are actively observed
- contract management

For more information, please refer to *Administrative Procedures - Human Resources*, available in the [Appendix](#).

Financial Resources

The administrative unit supports budgetary planning, coordination and control. This includes:

- preparing documents outlining Archives spending pressures and capital expenditure and/or accommodation requirements
- coordination of information for budget planning
- monitoring and review of budget expenditures
- grant and contract administration

- development and analysis of internal, Ministry and Government of Alberta financial reports
- provision of information in response to internal, Ministry and Government of Alberta financial inquiries

The administrative unit coordinates all financial transactions. It provides information to staff and suppliers on related processes and purchasing conditions.

All financial processes are undertaken in accordance with legal requirements and Government of Alberta policies and ensure that expenditures conform to [budgetary allocations](#).

For more information, please refer to *Administrative Procedures – Finance and Reporting*, available in the [Appendix](#).

Supplies and Services

The administrative unit coordinates the ordering, purchase and receipt of supplies, equipment and services. This includes working with Archives staff to obtain necessary information and approvals, and liaising with suppliers and service providers. All purchasing is recorded and is in compliance with [ordering, tracking and reporting procedures](#) of the Government of Alberta.

Administration maintains an inventory of supplies and capital assets. It monitors, organizes and controls supplies as needed.

For more information, please refer to *Administrative Procedures – Supplies and Services*, available in the [Appendix](#).

Records Management

The administrative unit carries out steps to manage the administrative and operational records of the Archives in accordance with the Government of Alberta Information Management Framework and [Corporate Records Management Program](#). It ensures proper maintenance of file classification systems and the lifecycle management of administrative and operational records according to Government of Alberta records retention schedules.

For more information, please refer to *Administrative Procedures – Records Management*, available in the [Appendix](#).

Facility Management

The administrative unit assists in the coordination of the use of its facility by staff, volunteers and visitors. This involves:

- provision of facility access cards
- handling of special event bookings
- keeping a maintenance binder
- alerting the facility operator of minor maintenance concerns
- coordinating equipment and facility service calls
- allocating and coordinating parking
- formally liaising with the Facility Manager (Alberta Infrastructure) and Operator (EDON) regarding building operations

ADMINISTRATION

For more information, please refer to *Administrative Procedures – Facility Management*, available in the [Appendix](#).

Reception Services

Administrative staff are an informed point of contact for visitors who access the Archives. Staff answer and redirect enquires, and provide back-up support for Public Receptionist absences and breaks. As such, they ensure that clients are familiar with the resources, services and conditions of the Archives. Administrative staff handle shipping and receiving of mail and courier deliveries. They process larger textual reproduction orders and coordinate [record reproduction certification](#).

4. ACQUISITION

General Policy

The Provincial Archives of Alberta acquires and collects textual, audiovisual and electronic records of enduring value on behalf of the Government of Alberta and in support of the history and culture of the province. The Archives assumes custody and control of these records through the transfer and/or donation process or through purchase. It obtains records in accordance with the [Historical Resources Act \(RSA 2000 cH-9\)](#), and [Government Organization Act \(RSA 2000 cG-10\)/Records Management Regulation \(AR 224/2001\)](#), and in support of its mission to preserve the collective memory of Alberta and contribute to the protection of Albertans' rights and sense of identity.

Acquisition Process – General

Appraisal

Archival appraisal is the process of determining and assigning value(s) to records in an effort to determine whether material, in its entirety or in part, should be acquired and permanently preserved. Archivists carry out the appraisal process in adherence to established professional archival practices.

There are two phases to the appraisal process:

- **Appraisal for Acquisition.** This involves the assessment of records for their archival value to determine whether the body of material will be accepted into the Archives.
- **Appraisal for Selection.** This involves the assessment of material that has already gone through the aforementioned appraisal for acquisition phase and has been accepted into the Archives. It involves the selection from an entire body of records those items, if any, that are to be preserved and permanently retained.

Each incoming body of records is appraised for acquisition and/or selection based on individual considerations and requirements. Each circumstance relies on the professional expertise of the Archivist.

In addition to evaluating records for their archival value, incoming records are assessed for:

- the physical condition of records and probability of being able to preserve them for a reasonable period
- the availability of appropriate storage facilities
- the resources required to make the material available for research purposes in a reasonable period
- the records' strengths and weaknesses relative to existing Archives holdings
- the extent and terms of any restrictions, legal rights and/or requests of a donor
- the authorized mandates of other archival institutions
- the ability of another locale to keep its records in a suitable repository and publically accessible

The authority and responsibility for acquisitions is established and documented in the Acquisition Guidelines of the Heritage Division Collections Management Policy (Section 2.C.8). For more information, please refer to the *Heritage Division Collections Management Policy*, available in the [Appendix](#).

Acquisition Process – Government Records

The Archives is the official repository for records of the Government of Alberta, its corporations, agencies, boards, commissions and courts. Government records are acquired in adherence to the [government-wide records management program](#). Accordingly, some records of the Government of Alberta are transferred to the Archives after they have met their final disposition.

Appraisal of Government Records

Following the requirements set out in the [Government Organization Act \(RSA 2000 cG-10\)/Records Management Regulation \(AR 224/2001\)](#) the Archives conducts an archival appraisal of each item on a Records Retention and Disposition Schedule, which is submitted in the form of an Appraisal Report to the [Alberta Records Management Committee \(ARMC\)](#). This process determines which records series/items the Archives will acquire.

The Government Records Archivist evaluates records for their archival value and considers factors such as:

- the origins and/or organization of a public body
- the public body's structures, functions, policies, programs and activities
- the process by which laws, regulations and procedures governing the functions, programs and activities of the corporate body are administered
- the corporate body's business operations relating to:
 - the administration of legislated authority
 - internal and external administrative and operational relationships

The Government Records Archivist selects records that:

- contain evidence or information required to protect civil, financial, legal and other rights of individuals, communities, institutions and the Government of Alberta
- measure the impact or effectiveness of the corporate body's programs and activities
- are original records created before 1905
- significantly add to the information contained in other Provincial Archives of Alberta holdings

The Government Records Archivist:

- enters their appraisal rationale and final disposition recommendation directly into the Records Scheduling System (RSS) database, choosing either:
 - “Archives” – records will be transferred in their entirety
 - “Destroy” – records will be destroyed in their entirety
- submits the recommendation and rationale to the Director of Collections Management for review, who then forwards the recommendation to the Executive Director/Provincial Archivist for formal recommendation to the Alberta Records Management Committee
- guides the appraisal through the review and approval process
- documents the appraisal process and associated communications

Government Records Appraisal for Selection

The Government Records Archivist may undertake an Appraisal for Selection if an item contains the final disposition of "Selective Retention." In 1997 the use of Selective Retention as a final disposition was formally discouraged by the Archives. In 2006, it developed an Appraisal for Selection process in which scheduled items with the final disposition of Selective Retention are systematically appraised for permanent retention or destruction.

Acquisition Process – Private Records

The Archives acquires records from individuals, businesses, non-governmental organizations and local public bodies. The Private Records Archivist obtains records through negotiation with the individual or body donating the records.

Appraisal of Private Records

The Private Records Archivist evaluates records for their archival value and considers factors such as:

- completeness
- authenticity
- uniqueness of the record and/or information
- volume
- time-span covered
- format, usability and accessibility
- research needs of present and future clients
- access restrictions

Additional considerations for audiovisual materials include:

- format (originals, duplicates or versions)
- uniqueness and fragility of format
- availability of copies in other institutions
- availability of donor copies
- equipment required to access material
- applicable licensing fees
- specific age of audiovisual material, generally retaining:
 - pre-1930s film productions
 - pre-1970s television broadcasts
 - pre-1950s radio broadcasts

Based on the appraisal, the Private Records Archivist:

- completes a Private Records Appraisal Report that includes the rationale and final disposition recommendation:
 - "Archives" – records will be acquired in their entirety
 - "Selection" – acquisition of only a portion of the donation
 - "Destroy" – records will be securely destroyed
 - "Return" – records will be returned to the donor
- completes a Private Records Preservation Assessment Report

ACQUISITION

- submits the appraisal report to the Executive Director/Provincial Archivist for approval
- documents the appraisal process and associated communications

An Archival Technician prepares a [Certificate of Gift](#), which transfers ownership of the donation to the Archives and details any special conditions relating to access

For more information on the above process, please refer to the *Private Records Acquisition Work Flow*, available in the [Appendix](#).

5. REFERENCE LIBRARY ACQUISITION

General Policy

The Provincial Archives of Alberta Reference Library acquires and provides for public use unpublished and published non-archival material that documents and provides context for the history of Alberta, its people and culture. The library collects textual and audiovisual items to support and complement the Archives records holdings. It is a [Government of Alberta Full Depository Library](#) and as such, acquires printed provincial ministry material. The library provides access to professional genealogical and reference materials for the use of Archives staff and clients.

Reference Library Acquisition Criteria

The Reference Library acquires:

- publications and audiovisual material that relate to the history and culture of Alberta, including its people, government, organizations and communities
- Government of Alberta printed material in accordance with Full Depository Library criteria
- professional development materials requested by Archives staff
- rare books
- manuscripts and play scripts
- to a limited extent, standard reference works and material concerning Canadian and western Canadian history and culture
- audiovisual material whose content is based on research from Archives records holdings
- literature by Alberta authors whose records are represented in the Archives records holdings
- non-English material that supports and supplements the Archives records holdings
- published and unpublished material of an ephemeral nature that has informational value. Items are gathered by the Reference Archivist/Librarian or Archives staff, or may be transferred from archival holdings. It is Reference Librarian/Archivist's decision whether to include these items in its Information Files or in the library collection proper. Ephemeral material may concern:
 - Alberta politicians
 - provincial and federal political parties
 - tourism related materials
 - communities otherwise underrepresented in the Archives records holdings

Items typically include:

- newspaper clippings
- obituaries
- brochures
- pamphlets
- photocopies/reproductions of original records not held by the Archives

The Reference Library generally does not collect:

- more than two copies of an item; exceptions are made for local histories
- family histories unless they support and supplement the Archives records holdings
- scientific or technical publications, apart from professional development materials required by Archives staff

Reference Library Acquisition Process

The Reference Library acquires material through donation, purchase and transfer. The Archives assumes the right to determine the location, cataloguing, retention and conditions of use of accepted donations.

Acquisition by Donation

Donations are accepted through consultation with the Reference Librarian/Archivist who provides the donor with information and guides the donation process.

- The Reference Librarian/Archivist obtains a complete list of bibliographic citations for the proposed donation and assesses the donation in accordance with the Reference Library acquisition criteria to determine final disposition.
- Upon acceptance of material, the Reference Librarian/Archivist lists the Library Acquisitions spreadsheet for the current fiscal year.
- At this time, a Library Accession File is created using the [Book Donor Accession File](#) to capture a list of all material donated regardless of the final disposition of the donation.
- When material is deemed to comply with Reference Library acquisition criteria, the Reference Librarian/Archivist creates a Library Accession File, which contains copies of associated documentation.
- When material does not meet Reference Library acquisition criteria, in accordance with the donor's wishes the material is either:
 - returned to the donor
 - offered to the University of Alberta Libraries
 - in the case of family histories, offered to the Alberta Genealogical Society
- After cataloguing the material, the Reference Librarian/Archivist sends the donor a Letter of Acknowledgement outlining the acquisition decision and, when necessary, a Return [Library Donations Receipt](#), relocation details or conditions of acceptance.
- When requested by a donor, the Reference Librarian/Archivist facilitates the issuing of an official tax receipt in accordance with defined Ministry criteria and processes.

Acquisition by Purchase

The Reference Librarian/Archivist identifies items for purchase based on recommendations and requests from Archives staff. Purchases are prioritized in consideration of the scope and nature of donated materials, existing library holdings and item availability. Material is not purchased for the sole purpose of inclusion in the Information Files.

In addition to meeting acquisition criteria, Reference Library purchases typically focus on:

- professional development materials requested by Archives staff, including general reference works
- current and past periodicals

The Reference Librarian/Archivist orders materials. Processing, payment and receipt of library purchases are handled by Administration.

Acquisition by Transfer from Provincial Archives of Alberta Records Holdings

Publications that are accessioned as part of a fonds may be transferred to the Reference Library. Typically this occurs when more than two copies of a publication exist within a specific acquisition.

Acquisition by Transfer from Government of Alberta Units

Occasionally, publications are transferred to the Reference Library from Government of Alberta libraries and resource units that are deaccessioning their collections. The Reference Librarian/Archivist evaluates the transfer of publications in accordance with acquisition criteria, determines final disposition and acknowledges the transfer accordingly through correspondence with the transferring body.

Reference Library Deaccessioning

Reference Library items presently are not deaccessioned.

6. ARRANGEMENT AND DESCRIPTION

General Policy

The Provincial Archives of Alberta arranges and describes records, regardless of format or medium, using established archival principles and descriptive standards. This process is based on the principles of provenance and original order, and the [Rules for Archival Description \(RAD\)](#). These measures support the goal of preservation by fostering intellectual and physical control of records, and facilitate access by providing mechanisms that allow researchers to find relevant holdings.

Arrangement and Description Process

Archivists arrange and describe records by familiarizing themselves with the material. This involves:

- identifying biographical, administrative or historical information about the creator or source of the records
- identifying the reason, timeframe, extent and purpose for which records were created
- describing the physical arrangement and characteristics of the material
- identifying relationships of records to other Provincial Archives of Alberta holdings

The Archivist uses *RAD* as the institutional standard for description at all levels of arrangement. They also follow the [Provincial Archives of Alberta Required Fields for Archival Descriptions](#), and incorporate subject headings derived from the [Provincial Archives of Alberta Subject Headings \(PAASH\)](#). Description may be in English and/or French.

The Archivist submits completed descriptions to the Descriptive Standards Officer, who reviews descriptions and ensures they adhere to *RAD* and institutional requirements.

The Archivist revises descriptions as required and enters them into the collections management database, The Museum System (TMS), and makes them publicly available. Descriptions are also entered by the Archivist into the [Archives Network of Alberta \(ANA\) database](#) in adherence to ANA submission rules. A paper copy of the description is provided to reference staff.

The Archivist regularly reviews and updates any existing descriptions, including those submitted to ANA, to account for any changes such as administrative modifications in government, accruals or any other revised circumstances that merit amendment. The Archivist adds new or revised descriptions to the Accession File, and/or marks the file with a *RAD* stamp. Previous versions of the description remain in associated accession files to document the evolution of the fonds, sous-fonds, series, collection or discrete item.

Levels of Arrangement and Description

In accordance with *RAD*, Archivists arrange and describe records using hierarchical levels of arrangement, as applicable. Intellectual arrangement precedes description. Intellectual arrangement and description start at the fonds level.

Fonds. A fonds consists of the whole of documents, regardless of form or medium, automatically and organically created and/or accumulated and used by a particular individual, family or corporate body in the course of that creator's activities or functions.

- A government records fonds consists of records generated by a corporate body possessing the following characteristics:
 - legislation creating the corporate body
 - legislation giving the corporate body functional authority
 - the corporate body reports to and submits a budget to the Legislative Assembly, or transmits reports and budgets through the Select Standing Committee on Legislative Office to the Legislative Assembly
- A private records fonds is comprised of records of one creator. When an accession consists of records created and/or accumulated and used by multiple creators, the records are intellectually separated, and arranged and described by individual creators unless the records:
 - are inextricably mixed, or
 - have been created and/or accumulated and used by members of the same family in the context of familial relations or as a result of their relational ties

Under the above conditions the records are described as either one fonds with multiple creators or as a family fonds.

The creator of a private records fonds where records have been transferred from one entity to another is determined as follows:

- if the records have been transferred from one entity to another entity and are integrated or inextricably mixed with the second entity's records, the second entity must be considered the creator of the records
- if the records have passed from one entity to one or several other entities, but the records have not been used or added to by the other entities, the first entity must be considered the creator of the records

Sous-fonds. A sous-fonds is a subdivision of a fonds based on the structure of the creator or the organization of its activity.

- A government records sous-fonds consists of records generated by a corporate body possessing the following characteristics:
 - legislation creating the corporate body
 - legislation giving the corporate body functional authority
 - the corporate body reports to and submits a budget to a Member of the Executive Council

A government records sous-sous fonds consists of records generated by a corporate body possessing the following characteristics:

- legislation creating the corporate body
 - legislation giving the corporate body functional authority
 - the corporate body reports to and submits a budget to a corporate body that has met the criteria of a sous-fonds- generating corporate body
- A private records sous-fonds consists of the records of an autonomous, financially independent corporate body, which establishes its own operations and/or policies, outside of that of the creating organization.

Series. A series consists of file units or records within a fonds arranged systematically or maintained as a unit because they are related to a particular function or subject, result from the same activity, have a particular form or because of some other relationship arising out of their creation or out of their receipt and use.

- A government records series includes an administrative history when the records generated by a corporate body have met the following criteria:
 - the corporate body has the characteristics of a sous-fonds- or sous-sous fonds-producing entity
 - legislation rescinds the previous act that created the corporate body
 - the same legislation states that anything relating to the name of the corporate body will now relate to the name of the newly created corporate body
 - the legislation transfers all assets and liabilities of the corporate body to the new corporate body
 - the records from the first corporate body are incorporated into the record keeping system of the newly created corporate body
 - the functional responsibility and administration are not continued in the new corporate body

Under the above conditions, the records generated by the first corporate body are described as a series with an administrative history within the body of records generated by the newly created corporate body.

- A private records series includes an administrative history when the creator of the series is different from the creator of the fonds as a whole.

File. A file is both a level of description and an organized unit of documents, usually within a series brought together because they relate to the same subject, activity or transaction.

A file list is a list of file titles and related identifiers. File numbers are numbered consecutively through all accessions in the series. Box numbers are numbered consecutively through all accessions in the series.

Item. An item is the lowest level of description and the smallest intellectual entity within a fonds that is useful for descriptive purposes.

Collection. A collection is a grouping of documents of any provenance intentionally assembled on the basis of some common characteristic.

Records, other than commercially mass produced records, that are artificially accumulated, purchased or found by a collector are considered that collector's collection unless:

- all the records originated from a single, identifiable creator other than the collector
- the collector has not imposed any significant alteration or addition to the records

Under the above conditions the records should be described as the original creator's fonds.

Where the name of the collector is given in the title, information that indicates the theme, content, subject, etc. of the collection should also be included if appropriate. A rationale for creating a collection instead of a fonds is recorded and kept in the Accession File.

Discrete Item. A discrete item is an individual item that is without context and is not part of a fonds. A discrete item level description may be modified to become a fonds level description if the fonds to which it relates is acquired at a later date.

Finding Aids/Inventories

The Archives no longer produces finding aids/inventories as it did in the past. Adherence to *RAD* and the arrangement and description process outlined above yield archival descriptions in formats that constitute descriptive finding aids. During processing, entries are created for individual files and sometimes items. These file and item entries constitute the finding aid/inventory for that accession.

7. REFERENCE LIBRARY CLASSIFICATION

General Policy

The Provincial Archives of Alberta organizes materials in the Reference Library, regardless of format or medium, in a consistent manner using established classification and storage standards. These measures help to preserve Reference Library materials and enable clients to locate and access resources relevant to their research needs.

Cataloguing

The Reference Librarian/Archivist catalogues library holdings using the Dewey Decimal Classification (DDC) system. Subject headings are assigned using the [Provincial Archives of Alberta Subject Heading Standards \(PAASH\)](#). The style used is Anglo-American Cataloguing Rules (AACR2). Catalogue records are produced in English, irrespective of the language of the publication. Catalogued items are searchable through the Heritage Resources Management Information System (HeRMIS).

Whenever possible, the Reference Librarian/Archivist uses copy cataloguing, a process that uses and builds upon the original bibliographic cataloguing of another library. This capitalizes on external resources and maintains consistency with the other libraries. The Archives uses the following sources for copy cataloguing:

- [TAL Online](#), a catalogue of public, government and academic libraries in Alberta
- [University of Alberta Libraries](#)
- [Edmonton Public Libraries](#)
- [Vancouver Public Library](#)
- [University of Toronto Libraries](#)

Catalogued local histories are also provided through the Local History Print Catalogue.

Government of Alberta Items

The Reference Library is a [Government of Alberta Full Depository Library](#) and as such, acquires printed provincial ministry material. Government publications are not physically integrated into the regular library holdings and are stored on designated library shelving or in an archival vault. Government publications presently are not classified using DDC and are not searchable through HeRMIS.

Government of Alberta annual reports are housed in a designated area in the Reference Library and recorded in an itemized inventory spreadsheet. The inventory includes the following headings:

- grouping
- publication title
- date
- creator/department
- remarks/physical condition
- location

Other Government of Alberta material is housed in an archival vault. It is, however, still a holding of the Reference Library. Inventories of this material are developed on an ongoing basis and as feasible. Inventories include the following headings:

- department
- division/branch
- date
- publication title
- item
- box no
- location

8. RECORDS PROCESSING

General Policy

The Provincial Archives of Alberta processes records in a timely and consistent manner. It acknowledges and documents the acceptance of records into its custody and control. It provides services associated with the monetary appraisal for the purposes of federal government tax incentive requirements. It physically re-houses records using recognized practices, materials and containers that meet archival standards for permanent storage.

Accessioning

Accessioning is the activity of acknowledging and documenting the acceptance of records into the custody and control of the Archives.

Accessioning of Government Records

An accession of government records is a single transfer of records from a government agency of common provenance.

- **Accession Number.** When records are received, an accession number is assigned. Each accession number begins with the letters “GR” to indicate that the accession is a government record, the year the accession is received, and the next sequential number available (e.g. GR2000.0001).
- **Accession Control Form.** A detailed, electronic version of an Accession Register is completed.
- **Accession File.** An Accession File is created and stamped with the accession number. The Accession File contains the completed Accession Control Form and associated documentation such as transmittal notices and file lists. The Accession File is reviewed, and the appropriate database(s) updated.
- **Location.** Records are placed in the appropriate location and recorded. The Archives tracks and records locations in vault location registers and The Museum Systems (TMS).
- **Schedule and Accession Number Database (SAND).** SAND is updated to provide an electronic link between the accession number assigned by the Archives and the Records Retention and Disposition Schedule number.

Accessioning of Private Records

- **Acknowledgement of Receipt.** A Temporary Receipt is issued to the donor when records are received.
- **Accession Number.** An accession number is assigned. Each accession number begins with the letters “PR” to indicate that the accession is a private record, the year the accession is received, and the next sequential number available from the Accession Register (e.g. PR2000.0001).
- **Accession Control Form.** A detailed, electronic version of an Accession Register is completed.

- **Accession File.** An Accession File is created and stamped with the accession number. The Accession File contains the completed Accession Control Form and associated documentation including donor information and the location of records and is updated when required.
- **Location.** Records are placed in the appropriate location and recorded. The Archives uses two systems to track and record locations: specific vault location registers and TMS.

For more information on the above process, please refer to *the [Private Records Acquisition Work Flow](#)*, available in the Appendix.

Deaccessioning

Deaccessioning is the process of removing records from the care, custody and control of the Archives. Deaccessioning may be initiated by:

- the Provincial Archives of Alberta
- the Government of Alberta
- a private donor
- a third party

The decision to deaccession records involves careful consideration. Individual reasons are considered and based on numerous factors, the Archives and/or the Minister may deny a request to deaccession material.

Deaccessioning and the authority and responsibility for deaccessioning is established and documented in the Heritage Division Collections Management Policy (Section 3.C.5). For more information, please refer to the *Heritage Division Collections Management Policy*, available in the [Appendix](#).

Federal Tax Receipts and Cultural Property Certification

Upon request the Archives provides eligible donors with a federal tax receipt commensurate with the fair market value of donated material. It provides this service in accordance with Government of Canada tax regulations concerning in-kind donations, and in conjunction with the [National Archival Appraisal Board \(NAAB\)](#).

NAAB is an independent organization that provides appraisal services for archival record donations to Canadian cultural institutions. At the request of the Archives, NAAB appointed appraisal committees examine donated material and provide an appraisal report. NAAB appraisal committees determine the fair market value of a donations submitted by the Archives. The Archives issues the donor a receipt for the value stated in the NAAB appraisal report.

The [Cultural Property Export and Import Act \(R.S., 1985, c. C-51\)](#) of the Government of Canada provides further tax incentives to eligible Canadians donating items of significance and national importance to public institutions in Canada. Under the Act, the Provincial Archives of Alberta has “[Category A](#)” standing and is designated for the cultural property category of textual records, graphic records and sound recordings. The Archives is, therefore, eligible to present items to the Canadian [Cultural Property Export Review Board \(CCPERB\)](#) for certification.

The donor works in consultation with an Archivist to request certification of records. Based on these consultations, the Archives submits an application to the CCPERB. The CCPERB is solely responsible for determining whether a submission is eligible for certification.

For more information, please refer to *Procedures for Federal Tax Receipts and Cultural Property Certification*, and Section 8.B.iii of the *Heritage Division Collections Management Policy*, available in the [Appendix](#).

Physical Processing

Physical processing of acquired records is handled by authorized staff and/or volunteers. Conservators, Conservation Technicians, Archival Technicians and volunteers use approved materials, equipment and techniques. To maintain the standard of care required, storage materials are required to be of acid-free, lignin-free, PVC-free and/or inert composition to minimize the introduction of contaminants into the storage environment. Supplies and equipment are used under the direction of a Conservator, and in adherence to health and safety standards.

Processing of textual records may include the removal of paperclips, unfolding and flattening of papers, and photocopying. Audiovisual preservation processing may involve removal of fasteners, dismantling of framed photographs and albums, and reproduction onto more stable media.

For more information, please refer to *Procedures for Processing Textual Records and Procedures for Processing Audiovisual Records*, available in the [Appendix](#).

9. PRESERVATION

General Policy

The Provincial Archives of Alberta preserves records, regardless of format or medium to extend the usable lifespan of material. An integrated preservation management program is the most effective cost-efficient and proactive means of preserving its archival materials. Conservation treatment for individual items is sometimes necessary, and records may be subject to interventive conservation treatments to stabilize or restore the object to a usable condition and prevent further deterioration.

Preservation Management

Preservation management involves all of the measures taken to prevent or retard the deterioration of collections, thereby ensuring long-term accessibility to archival and library materials. This includes:

- maintaining ongoing assessment of facilities and collections
- developing and evaluating policies and procedures to ensure the proper care of collections
- providing a safe environment for collections by monitoring, recording and maintaining standards for temperature, relative humidity, lighting and air quality control
- protecting collections from pests, poor handling, fire, flood, vandalism and theft
- ensuring that all records are housed in materials that meet national and international standards, including:
 - CAN/CGSB-9.7-2000 Permanence of Paper for Records, Books and Other Documents, Ottawa, Canadian General Standards Board
 - ISO 9706: 1994 Information and documentation – Paper for documents – Requirements for permanence
 - ISO 11108:1996 Information and documentation – Archival paper – Requirements for permanence and durability
 - ISO 18916:2007. Photographic Activity Test
 - ANSI/NISO Z39.48-1992 (R2009) Permanence for Publications and Documents in Libraries and Archives
 - ANSI/NISO Z39.77-2001 Guidelines for Information about Preservation Products ensuring that staff understand their responsibilities for the preservation of collections, including training in preservation principles and methods
- allocating funds for projects which will extend the usable life as well as enhance accessibility of the collections held in the Archives
- maintaining the principle of minimal intervention during the conservation treatment of select items, procedures that are to be carried out only by or under the supervision of a Conservator

Archival Functions and Preservation

Administration

The Provincial Archivist approves preservation and conservation treatment policies and procedures and ensures that dedicated funds are in place to support the ongoing preservation the collections. Directors are responsible for ensuring that staff members adhere to institutional preservation management policies, procedures and best practices, and for overseeing the integration of

preservation into all operations. The Director of Access and Preservation Services, in particular, oversees the disbursement of funds for preservation projects, supplies and equipment and is directly involved in the administration of the preservation management program.

Acquisition

Archivists work in partnership with conservation staff to ensure long-term preservation and access to archival collections. Archivists are also responsible for identifying conservation issues when working with records and for making conservation issues known to the Conservators.

Preservation

The Preservation Committee is responsible for assigning preservation priorities to archival collections so that the appropriate measures may be applied and for identifying resources necessary to carry out those measures.

The Conservators coordinate and implement the preservation policies and the accompanying activities pertaining to the preservation and conservation of the collections. Conservators are responsible for those measures taken to repair or restore damaged or deteriorated archival materials to their original condition and work with other staff to address issues on a case-by-case basis.

Archival Technicians support the acquisitions and access of holdings and are also responsible for the daily implementation of the preservation policy and procedures of the Archives through processing activities, which integrate preservation and archival functions.

Access

Reference Archivists play a role in identifying items from the library, Reading Room and the collections that require intervention in order to remain useful as research tools. Stressing the value of joint responsibility in relation to the public and research community is an important aspect of sharing information about the behind-the-scenes task of preservation.

The Retrieval Aide assists in the identification of items within the collections that require attention immediately or in the future. The Retrieval Aide is also responsible for ensuring that the materials requested in the Reading Room are returned to the storage area and stored appropriately.

Outreach

The Program/Volunteer Coordinator works with the staff to identify volunteer projects and ensure that appropriate procedures are being followed during the completion of the projects. They are also involved with the exhibits program and work with Conservators to ensure that objects on exhibit are displayed according to museum standards and to substitute facsimiles of original objects where necessary. The Program/Volunteer Coordinator also supports the preservation outreach role of the Archives by making available to the public information about the institution and its practices.

The Archives Store and Client Services is involved in preservation activities by providing safe care and handling of original items during the duplication process. It also provides information and products to the public concerning the care of personal records.

Hazard Identification

Archives staff identify threats that pose a risk to its records holdings. Potential hazards such as mould or pest contamination are detected and if material has been contaminated, it is isolated and treated accordingly.

The Archives recognizes the health and safety considerations associated with the handling of contaminated archival textual and audiovisual records and the provision of conservation treatments. Potentially hazardous, contaminated materials and the provision of conservation treatments are only carried out by authorized staff. Equipment and materials are used in strict accordance with established use and handling standards. All handling of contaminated records, lab materials and equipment is undertaken under the direction of the Conservator or authorized technician.

For more information, please refer to *Procedures for Handling Mould and Pest-Infested Records*, *Procedures, Standards for Preservation Processing Supplies*, and *Procedures for Hazardous Materials Disposal*, available in the [Appendix](#).

Environmental Control and Monitoring

Audiovisual and textual records are housed in designated vaults and storage areas as determined by Archivists and Conservators. The vaults and storage areas provide customized environments for permanently storing and preserving materials. Vault conditions are monitored through data loggers for temperature and relative humidity, Conservation staff download information quarterly.

10. ACCESS

General Policy

The Provincial Archives of Alberta offers client-focused public access to archival holdings. Access is provided under the authority of the [Historical Resources Act \(RSA 2000 cH-9\)](#) and in accordance with parameters as dictated by applicable statutes, donor agreements and retrieval and preservation considerations. The Archives is the custodian of its holdings and ensures the safety and security of records through enforcement of document handling procedures and access conditions.

Reference Area

Records holdings are available for onsite consultation only. The Sandra Thomson Reading Room is the primary public access point. The Reading Room is open to the public as follows:

Monday: Closed
Tuesday: 9:00 a.m. – 4:30 p.m.
Wednesday: 9:00 a.m. – 4:30 p.m.; (3:30 p.m. – 9:00 p.m. limited service)
Thursday: 9:00 a.m. – 4:30 p.m.
Friday: 9:00 a.m. – 4:30 p.m.
Saturday: 9:00 a.m. – 4:30 p.m.
Sunday: Closed

Reference staff assist clients and provide them with information on access conditions and use of the Reading Room. For more information, please refer to the *Sandra Thomson Reading Room Rules*, available in the [Appendix](#).

Registration

In-person clients must complete a [Researcher Registration Form](#) at the Public Reception before undertaking research in the Reading Room. Clients provide their name, contact information, show valid identification, and agree to abide by the terms and conditions of access and use of records and personal information. Information gathered is protected under the [Freedom of Information and Protection of Privacy Act \(FOIP\) \(RSA 2000 cF-25\)](#).¹

Client provided identification is checked to ensure registration information is accurate and all necessary business or personal addresses are provided.

Upon completion of the registration form, the client is issued a Researcher Registration Card. Clients must present and wear their registration card, and sign in and out of the daily register on every visit. Registration cards are valid until the end of the calendar year. Reception staff check that client registration cards are valid, and that the correct registration number and information has been entered into the daily register.

Record Retrieval

Microfilm, reference maps, reference photographs and the majority of the Reference Library holdings are accessible on a self-serve basis inside the Reading Room.

¹ http://www.qp.alberta.ca/1266.cfm?page=f25.cfm&leg_type=Acts&isbncln=9780779777273

Original records are housed in secure storage vaults that are only accessible to Archives staff. Records, therefore, must be ordered by clients using a [Retrieval Request Slip](#), available at the Reading Room reference desk and on researcher tables. The Retrieval Aide brings the requested item(s) directly to the table/client.

To ensure that archival records are not damaged, lost or removed, staff and clients adhere to retrieval limits and document handling procedures. Exceptions and/or the imposition of additional conditions are at the discretion of the Reference Archivist and Retrieval Aide.

For retrieval limits and document handling rules, please refer to *the Sandra Thomson Reading Room Rules*, available in the [Appendix](#).

Restricted Records

Archives staff are responsible for providing the appropriate access to records, including those subject to access and privacy legislation, acquisition agreements or conservation considerations. Overall, access to archival holdings is based on:

- the public's right to access records
- the protection of individual privacy
- respect for donor agreements
- the responsibility to preserve records

Archives staff ensure that clients are aware of, and agree to, the terms and conditions of access. These conditions are detailed in the [Researcher Registration Form](#).

Legislated Access Restrictions

The principle statutes and regulations that govern access to information in the Provincial Archives of Alberta are:

- [Freedom of Information and Protection of Privacy Act \(FOIP\) \(RSA 2000 cF-25\)](#)
- [Freedom of Information and Protection of Privacy Regulation \(AR 186/2008\)](#)
- [Personal Information Protection Act \(PIPA\) \(SA 2003 cP-6.5\)](#)

Freedom of Information and Protection of Privacy Act (FOIP Act)

The *Freedom of Information and Protection of Privacy Act (FOIP Act)* ensures the public has access to information held by Alberta public bodies, while at the same time protecting personal privacy. This legislation affects provincial government departments, agencies, boards and commissions. Records subject to the *FOIP Act* are not disclosed without the proper authority.

Government records received by the Archives after October 1, 1995 are automatically subject to the *FOIP Act*. Government records received before October 1, 1995 that had access conditions placed on them and were not routinely available are also subject to this statute. Government records accessioned before October 1, 1995 that were unrestricted, generally remain unrestricted under the *FOIP Act*.

Records from local public bodies, the MUSH sector (municipalities, universities, schools and hospitals) acquired under the Private Records Program, are also subject to the *FOIP Act* as follows:

ACCESS

- school boards and charter schools since September 1, 1998
- health-care bodies since October 1, 1999
- post-secondary institutions since October 1, 1999
- public libraries since October 1, 1999
- local government bodies since October 1, 1999

As with government records, MUSH sector records received before either 1998 or 1999 that had access restrictions placed on them are subject to the *FOIP Act*. MUSH records accessioned into the Archives prior to 1998 or 1999 that were unrestricted, generally remain unrestricted under the *FOIP Act*.

Records donated to the Archives by private individuals or non-government and non-MUSH organizations are not subject to the *FOIP Act*.

Access to Government Records Under the *Freedom of Information and Protection of Privacy Act (FOIP Act)*

Members of the public and government representatives from jurisdictions outside of Alberta wanting to access records subject to the *FOIP Act* consult with the Provincial Archives of Alberta's FOIP Officer/Archivist. The applicant completes a [Request to Access Information](#). Fees may apply. Once a formal request is made, the Archives has 30 calendar days to respond.

Government Records Archivists and the FOIP Officer/Archivist work in conjunction to handle informal Government of Alberta employee or contractor requests to access to records subject to the *FOIP Act*.

If an employee or contractor of a government department wishes to access the records of their department that are subject to the *FOIP Act* they make an informal *FOIP Act* request. They complete a [Government Records Request Form](#) and submit it to their portfolio Government Records Archivist. The Senior Records Officer or FOIP Coordinator or Director of the requesting department must also provide written confirmation on the need for access to the FOIP Officer/Archivist..

The Government Records Archivist identifies, locates and retrieves the records and arranges for copying. They book the FOIP Reading Room or other suitable non-public area for the employee or contractor to view the records and provide supervision. Supervision involves ensuring archival record handling standards are obeyed and providing assistance. The FOIP Officer/Archivist may supervise on behalf of the Government records Archivist upon request and upon provision of the confirmation note to the FOIP Officer. The Government Records Archivist arranges for retrieved records to be held in a secure location, such as the FOIP Reading Room or vault hallway.

If a portion of a requests includes records of a department other than their own that are subject to the *FOIP Act*, the Government Records Archivist transfers that portion of the request to the FOIP Officer/Archivist. A copy of the confirmation note is provided to the FOIP Officer/Archivist, who consults the other ministry records And undertakes the remaining duties concerning location and provision of access as outlined in the preceding paragraph.

Legislation Paramount over the *FOIP Act*

Numerous Alberta statutes contain sections that are paramount over the *FOIP Act*. For a complete listing, please refer to *Acts and Regulations Paramount over the FOIP Act of Service Alberta*, provided in the [Appendix](#).

Under specific conditions, three federal statutes dictate access restrictions that are paramount over the *FOIP Act*.

- [Criminal Code \(Canada\) \(RS 1985 cC-46\)](#)
- [Youth Criminal Justice Act \(Canada\) \(SC 2002 c-1\)](#)
- [Criminal Records Act \(Canada\) \(RS 1985 cC-47\)](#)

Access to Government Records Not Under the *Freedom of Information and Protection of Privacy Act (FOIP Act)*

Government of Alberta employees wishing to access government records that are not subject to *FOIP Act* restrictions do so in the public Reading Room. Employees complete and send a [Government Records Request Form](#) to their portfolio Government Records Archivist. Records are retrieved and ready for viewing and copying. No appointment is necessary, however the Government Records Archivist assists the employee in the FOIP Reading Room as required.

Personal Information Protection Act (PIPA)

Alberta's *Personal Information Protection Act (PIPA)* (SA 2003 cP-6.5) governs the collection, use and disclosure of personal information in the private sector. *PIPA* balances the individual's right to privacy and the interests of organizations to reasonably collect, use and disclose personal information. This includes the provision of personal information for archival purposes and research.

The Archives is an institution subject to *PIPA*. Accordingly, private records holdings acquired by the Archives on or after January 1, 2004 adhere to the principles of *PIPA*. Archives staff ensure private donors are aware of, and compliant with, the terms of *PIPA*.

For more information, please refer to *Personal Information Protection Act (PIPA) Information Sheet 8* of Service Alberta, provided in the [Appendix](#).

Donor Restrictions

Records donated to the Archives by private individuals or non-government and non-MUSH organizations may have access restrictions. These limitations are negotiated between the donor and the Archives during the [acquisition process](#). Terms and conditions of access are recorded in corresponding accession documentation and archival descriptions. Access limitations may be imposed at the discretion of the Archivist on private records that do not have donor-imposed restrictions; in particular, if records were acquired on or after January 1, 2004 and therefore subject to *PIPA*.

Conservation Restrictions

Conservation considerations may result in limited access to archival items and rare books. Records may be deemed by reference staff and Conservators to be too fragile to be handled without causing damage. Items that are considered too fragile for routine handling are assessed by a Conservator and every effort is made to provide a duplicate.

Unprocessed Records

In the case where a donor or researcher requests access to private records that have been accessioned but have not been arranged and described, access is permitted and arranged through consultation with a Private Records Archivist.

File Lists and Accession Files

Many file lists and inventories are available for researchers in the Sandra Thomson Reading Room. When unavailable, reference staff may consult an Accession File. Accession Files contain operational records that may contain personal information. The Archives, therefore, does not allow clients to access an Accession File in its entirety.

Inventory or file lists may not be available for unprocessed records. In these cases, a rough file or box list, usually generated by the record's creators, may be provided to the client.

File lists for records subject to the *FOIP Act* may be reviewed and severed by the FOIP Officer/Archivist for third party personal information before a public copy is available. This step may impose a time lag before a researcher can view the public copy.

11. REFERENCE SERVICES

General Policy

The Provincial Archives of Alberta is a public facility that offers reference services to support the provision of public access and benefit to its records holdings. Archives staff provide clients with assistance on the use and content of its holdings. Services are provided consistently, accurately and within prescribed timeframes. Clients are made to feel welcome and receive courteous and well-informed assistance.

Reference Area

The Sandra Thomson Reading Room is the primary public access point to references services and the Reference Library. Reading Room clients must have a valid Researcher Registration Card.

During opening hours, a staff member is present at Public Reception, and the Reading Room reference desk. Reception and reference staff ensure that clients are familiar with:

- registration procedures
- Reading Room rules
- personal computer use and wireless access
- reference services
- retrieval procedures
- reproduction services

For more information, please refer to the *Sandra Thomson Reading Room Rules*, available in the [Appendix](#).

Inquiries

Reference Archivists respond to client inquiries in person and through email, fax, regular mail and telephone. There are two primary principles for handling client inquiries:

- The Reference Archivist provides information to clients on the nature and scope of holdings, the research resources available, and the way materials may relate to an area of interest and research.
- The Reference Archivist assists and enables clients to conduct their own research.

To ensure all clients have adequate access to reference services, the Reference Archivist:

- provides on-site reference assistance
- provides 15-20 minutes of research assistance on written or phone inquiries
- contacts the relevant Government or Private Records Archivist when specialized assistance is required
- routinely checks and responds to email and telephone messages within 48 hours
- advises clients on the records retrieval process, retrieval limits and return of material
- informs clients of the availability of independent research consultants when clients are unable or unwilling to conduct their own research
- directs Government of Alberta departmental requests to the appropriate [Government Records Archivist](#)

Client comments are recorded and reviewed to assist in ongoing planning and provision of access and services.

Onsite and Electronically Accessible Reference Resources

In addition to the support of the Reference Archivist and reference staff, the Archives supports access and use of its holdings through numerous onsite and electronically accessible resources, including:

- Heritage Resources Management Information System (HeRMIS), a portal to electronically search the Archives and Reference Library holdings
- inventories
- annotated guides
- finding aids
- indexes and catalogues
- online educational resources
- reference books

Client Computer Use and Wireless Access

Public computer terminals are available in the Reading Room. These terminals provide Internet access and enable users to search the Archives records and library holdings through HeRMIS. The computers bookmark recommended archival, historical and genealogical resources and websites.

As of December 2013, owing to the changing nature of wireless access, please consult the Wi-Fi folder available on the W Drive. As best practices and procedures evolve, the necessary updates will be made by the Archives Systems Administrator or the Reference Archivists.

Reference Library

The Reference Library provides unpublished and published materials that document and provide context for the history of Alberta, its people and culture. The library contains textual and audiovisual items that support and complement the Archives records holdings. It is a [Government of Alberta Full Depository Library](#), and as such receives printed provincial ministry material. The library provides access to professional genealogical and reference resources for Archives staff and clients.

The Reference Library is accessible to registered users, but is a non-circulating resource. Archives staff may borrow material upon notifying the Reference Archivist/Librarian. Owing to conservation issues of age and and/or rarity, items in the library may be subject to additional restrictions and handling guidelines at the discretion of the Reference Archivist/Librarian.

For specific rules governing the handling of Reference Library material, please refer to the *Sandra Thomson Reading Room Rules*, available in the [Appendix](#).

Service Requisition Forms

The Reference Archivist, reference staff, Public Receptionist and Business Manager assist clients with their service requests. Clients and/or staff complete a [Service Requisition Order Form](#) or a [Service Requisition for Audiovisual Reproduction](#) for the following services:

- photocopies
- general independent research
- inter-institutional loan
- homestead search
- brand search
- transcripts
- certifications
- audiovisual reproduction

If services concern records deposited in the Archives by religious organizations, a [Faith Organization Service Requisition Form](#) is used.

In most cases, the client provides the necessary information and submits payment. The Archives contacts the client when the request has been filled.

Fees, processing times and conditions apply. For more information, please see the *Provincial Archives of Alberta Price List*, available in the [Appendix](#).

Contract Research Services

The Archives assists clients who are unable or unwilling to conduct their own general research, and who wish to hire contract researcher. The Reference Archivist and Archives Business Manager gather as much information as possible about the project. An estimate of the scope of the research is made and authorization from the client for a maximum cost is obtained. After a [Research Services Requisition Form](#) is completed and payment is received, the research consultant is contacted. The Archives contacts the client if additional research time, above the authorized amount, is necessary. Payment is based on an hourly rate and is processed through the Archives Store and Client Services.

Inter-institutional Loan

The Archives provides inter-institutional loan service to registered users. Clients may order and borrow microfilm and microfiche from select Canadian archives, including:

- Library and Archives Canada
- Hudson's Bay Company Archives
- Archives of Ontario

Loan service does not apply to books, dissertations/theses or periodicals. Processing time, loan periods and renewals are determined by the lending institution. A \$2.00 fee per item, plus GST is charged to the borrower. Borrowed material is for client use within the Reading Room, and may not be taken off-site.

After a [Research Services Requisition Form](#) is completed and payment is obtained, the material is ordered by the Reference Archivist. The Retrieval Aide contacts the client when the order arrives, and returns the material to the lending institution in accordance with the loan period and conditions of the lending institution.

Homestead Search

The Archives assists clients wishing to locate specific Alberta homestead documentation. Homestead records (with or without legal land descriptions) help clients to identify when individual applied, received and worked a section of land through the historic Dominion Lands Branch homestead process. Documents relating to the application and patent process typically include details about the applicant. Clients receive the best copies of documents available from the microfilm homestead application file.

Clients may undertake their own homestead research, or choose to hire a contract researcher. In this case, the necessary information is provided by the client, a [Research Services Requisition Form](#) is completed, and payment is obtained. The Archives undertakes or arranges for an independent researcher to do the work and the Public Receptionist contacts the client when the research is completed.

Brand Search

The Archives assists clients to locate an agricultural brand that historically marked livestock ownership. Brand information can help clients with family history and homestead research. A brand search typically provides a description/sketch of the brand and a statement of what years the brand was registered to a specified individual. Information may also include genealogical information about individuals.

Clients may undertake their own brand research, or choose to hire a contract researcher. In this case, the necessary information is provided by the client, a [Research Services Requisition Form](#) is completed, and payment is obtained. The Archives undertakes or arranges for an independent researcher to do the work and the Public Receptionist contacts the client when the research is completed.

Transcripts

In accordance with the [Vital Statistics Act \(RSA 2000 cV-4\)](#), vital statistics registers cannot be photocopied. Baptismal, marriage and burial records deposited in the Archives by religious organizations also may not be copied. The Archives provides clients with transcriptions of these religious organization records and vital statistics registers.

The client provides the necessary information, completes a [Research Services Requisition Form](#) or [Faith Organization Service Request Form](#) and submits payment. The Public Receptionist prepares the transcript, which is reviewed by the Private Records Archivist for accuracy. Transcripts are reviewed and signed by the Executive Director/Provincial Archivist. The Public Receptionist then contacts the client.

Certification

The Archives provides clients with certified copies of its archival records in accordance with Section 10 of the [Historical Resources Act \(RSA 2000 cH-9\)](#). Certified copies are typically used for legal purposes in lieu of the original record. The client provides the necessary information, completes a [Research Services Requisition Form](#) and submits payment. Copies are reviewed and signed by the Executive Director/Provincial Archivist. The Public Receptionist then contacts the client to arrange for pickup or courier service.

12. RECORD REPRODUCTION

General Policy

The Provincial Archives of Alberta makes textual and audiovisual records available for reproduction. Reproductions are subject to copyright law, donor agreements and privacy legislation and restrictions. Permissions may be required. Reproductions of original records are handled by Archives staff. The Archives reserves the right to withhold any records from reproduction owing to the fragile state of preservation of the record. Reproductions are provided for research or private purposes only, unless permission for publication or commercial use is obtained.

Reproduction Requests

Onsite, online, phone, fax, email or mail reproduction requests are received by the Reference Archivist, staff or Business Manager. For most onsite reproduction requests, clients are required to complete an appropriate reproduction requisition form to identify themselves and the purpose for which copies will be used. Reference and reception staff ensure that necessary information is recorded, and if a client is requesting reproductions for purposes other than research and private study, that the intent is clearly described. While it is the responsibility of the client to clearly indicate what is to be copied, the Reference Archivist assists clients with proper identification of records and proper completion of the requisition form.

Completed request forms are forwarded to the Public Receptionist for payment. Large photocopy orders are handled by Administration, and audiovisual reproductions are performed by Conservators and/or Archival Technicians. When reproduction orders have been completed, the Public Receptionist contacts the client or forwards copies as requested.

Reproduction Conditions

Publication Use

The Archives charges usage fees and applicable reproduction charges for record reproduction for publication or commercial use, including posting on the Internet. It requests that clients credit the Provincial Archives of Alberta and include the assigned archival item number.

For information regarding usage fees, please refer to the *Provincial Archives of Alberta Price List*, available in the [Appendix](#).

Copyright

In accordance with the [Copyright Act \(Canada\) \(RS 1985 cC-42\)](#) any copy of work provided by the Archives, for any purpose, may require authorization of the copyright owner. Generally, material reproduced for the purposes of research and private study is exempt. However, reproduction of material for publication, public exhibition or commercial use requires authorization of the copyright owner of the work in question.

Photocopies

Clients complete and submit a [Research Services Requisition Form](#) for most photocopy requests.

Photocopy requests are processed in the order they are received. Generally, photocopy orders of 15 pages or fewer are completed on demand, at the Reference Archivist's discretion.

Photocopying of 15 pages or fewer does not require a requisition order form if clients are leaving with their copies. Photocopy orders of more than 15 pages normally take up to 10 business days to complete. Rush/24-hour photocopy services are available from Tuesday through Thursday, excluding holidays. Rush rates are double. Orders of more than 15 pages require prepayment.

Photocopy orders of 15 pages or fewer are completed by the Reference Archivist. Larger photocopy requests are handled by Administration. In these cases, the Reference Archivist or Public Receptionist brings the originals to the photocopying area. Under no circumstances may a client remove records from the Reading Room.

In cases of oversized documents, an extended completion time may be required. Oversize documents may require humidification, flattening and encapsulation before being reproduced.

Administration and reference staff maintain a photocopy log and electronic daily log to track records throughout the copying process and to ensure the proper return of materials.

There is no public access to the Reading Room photocopier. Clients are permitted to make their own copies from microfilm or microfiche using provided reader/printers. Self-serve microfilm and microfiche copying does not require a service requisition form.

For information regarding photocopy options and fees, please refer to the *Provincial Archives of Alberta Price List*, available in the [Appendix](#).

Audiovisual Reproduction

Clients complete and submit an Audiovisual Reproduction Requisition Form for audiovisual copy requests and digital reproductions of textual records and maps.

Audiovisual duplication is handled by Conservators and/or Audiovisual Technicians. Requests are processed in the order in which they are received. Processing time varies, depending on the original format, condition and size of material, as well as format of the copy. Audiovisual orders require prepayment.

The Archives provides audiovisual reproductions of its holdings as follows:

- **Photographs.** Hardcopy prints of archival photographs are available in five sizes and matte or gloss paper options. Digital photograph reproductions are available in five sizes, and three levels of image resolution suitable for private or commercial use. Digital reproductions are forwarded electronically upon request.
- **Audio.** Audio items are transferred to a disc or digital file. Digital file type must be specified at time of request. Other formats may be considered by the Conservator.
- **Film and Video.** Film and video records are transferred to DVD, digital file or digital BETA tape. Other formats may be considered by the Conservator.

Large transfers of digital material may require the client to provide a new hard-drive.

Fees and processing times vary. The Archives may impose conditions on the completion of orders. For more information on reproduction options, formats and charges, please refer to the *Provincial Archives of Alberta Price List*, available in the [Appendix](#).

Fee Exceptions and Coupons

The Archives receives reproduction and usage fee discount requests from Government of Alberta departments, independent companies, media and the public. The Archives management team approves discount requests on a cost-recovery basis, and reserves the right to deny a request.

Approved discount rates have been established in the following circumstances and require a [Discount Application Form](#):

- **Heritage Division of the Ministry of Culture and Community Spirit.** Division requests receive a discount of 100 per cent off reproduction and usage fees.
- **Media.** No usage or rush fees are charged. Reprographic fees apply.
- **Charitable and Non-profit Organizations.** No usage fees are charged. Reprographic fees apply. Charity and non-profit status registration numbers must be provided.

Approved discount rates have been established in the following circumstances and do not require a Discount Application Form:

- **Provincial Archives of Alberta Staff and Volunteers.** Staff and volunteers receive a discount of 10 per cent off total fees.
- **Friends of the Provincial Archives of Alberta.** Membership holders receive a discount of 10 per cent off total reproduction fees.
- **Donors.** If requested, donors may receive complimentary copies of donated material. Processing times vary. An archivist determines a reasonable number of copies to provide to the donor and states this on the [Reproduction Requisition Form](#). Donors are not charged a usage fee for donated items, although reproduction charges may still apply.

Requests for coupons are submitted to the Business Manager for approval. Coupons have an effective date and state the terms of use. Only one coupon may be used at a time, and coupons may not be used in combination with any other discount.

13. OUTREACH

General Policy

The Provincial Archives of Alberta undertakes outreach activities to increase client access to the Archives and reach new audiences. It showcases the content of its holdings and highlights the resources and services it offers. The Archives strives to enhance public understanding of the history of Alberta, and the documentary and educational importance of archival holdings. It supports the preservation of records in the hands of the public who seek to preserve their own history and records. Outreach activities occur with due consideration for the safety and security of the public and archival records.

Online Resources

In addition to information on its holdings, services, news and events, the Archives offers electronically accessible resources through its [website](#), including:

- [Heritage Resources Management Information System \(HeRMIS\)](#), a portal to search the Archives and Reference Library holdings
- [materials for educators and students](#)
- [virtual highlights of current and past exhibits](#)
- [online access and ordering of photographic holdings](#)
- [homestead search requests](#)
- [preservation guides](#) and [supplies](#)

The Archives website committee is chaired by the Director of Access and Preservation Services.

Events

The Archives offers public programs and participates in community events on an ongoing basis, including:

- Alberta Archives Week
- Archives Caravan
- Edmonton and Northern Alberta Historic Festival
- Family History Day
- Fringe Festival
- Home Movie Day
- Le Rendez-Vous
- LitFest
- Culture Days
- Teachers conventions related events (i.e. tradeshow)
- workshops, lecture series, special events and special presentations

Facility Tours

The Archives provides tours of its facility and operations, upon request, to educational and public groups wishing to learn more about and better use the Archives. The Public Receptionist receives [tour bookings](#) and arranges for a staff member to lead tours. Tours are also offered during specific special events.

Exhibits

The Archives showcases and supports the content of its collections through onsite exhibits, initiated by the Archives and other institutions. The Provincial Archives of Alberta Exhibit Committee is composed of staff members who work together to select displays and manage the exhibition process.

For more information, please refer to the *Terms of Reference, Provincial Archives of Alberta Exhibit Committee*, available in the [Appendix](#).

In-house Exhibits

The Archives accepts staff exhibit proposals. These displays include reproductions or original records, and exhibition is undertaken with reasonable care for the safety and security of items.

Staff wanting to develop an exhibit prepare and submit an Exhibit Proposal to the Exhibit Committee Chairperson for evaluation by the Exhibit Committee. If the committee determines the project is feasible and meets the mandate of the Archives, it works with the staff member to prepare an Exhibit Plan. The plan establishes a budget and a timeframe for development, and documents exhibit details, including:

- concept
- themes
- archival records to be used
- partnerships involved

The Exhibit Committee Chairperson monitors the implementation of the Exhibit Plan. The Exhibit Committee may end or postpone the project if deadlines or budgetary limits are not met or are of a concern.

In-house exhibits are evaluated upon completion. The Exhibit Committee and staff assess whether goals were met, what went well, and what needs to be improved upon for future displays.

External Exhibits

The Archives accepts external exhibits for display within its facility. These displays may include reproductions or original materials, and exhibition is undertaken with consideration for the safety and security of borrowed items.

Requests from external organizations or individuals wanting to loan materials are directed to the Exhibit Committee Chairperson, who is the primary contact for incoming loans. The chairperson explains the process of exhibiting material at the Archives and provides information about the facility and its display space. The organization or individual submits the following:

- description of the organization
- description of the exhibit, including dimensions
- purpose of the exhibit
- reason they would like to exhibit
- when they would like to exhibit

OUTREACH

- promotional material

The Exhibit Committee evaluates potential exhibits for their focus on, and/or use of:

- Alberta history
- Provincial Archives of Alberta holdings
- archival records or archival reproductions

The Exhibit Committee may request that exhibition dates or the size of the exhibit be altered. If accepted, the Exhibit Committee Chairperson forwards a letter to the organization/individual. If the exhibit includes original material, the lender is informed by an Archives Conservator of the limitations of exhibit space for the display of original material. The Exhibit Committee Chairperson prepares a [Provincial Archives of Alberta Loan Agreement](#), outlining the terms and conditions.

If the lending organization or individual wishes to use their own loan agreement, the Exhibit Committee Chairperson directs it to the Culture and Community Spirit Risk Management Team to ensure the agreement meets the standards of the Government of Alberta.

An Archives Conservator completes a [Condition Report](#) for items and exhibit components. Items are monitored for the duration of the display by the Exhibit Committee Coordinator and the Conservator. Upon returning an exhibit, the Conservator inspects items to identify any discrepancies or damage.

Loan of Archival Material

The Archives does not routinely loan original records from its holdings and if possible, a reproduction of the item may be offered in place of the original. Original archival material is typically requested for exhibition. The Archives may, however, consider a loan request under exceptional circumstances. Loan and display of records is undertaken with consideration for the safety and security of the records. The loan of an original records is at the discretion of the Executive Director/Provincial Archivist in consultation with Archives conservators and archivists.

Applicants make a request by submitting a [Loan Proposal](#) in which they provide necessary information and agree to abide by the terms and conditions for loan of material. The applicant is responsible for providing any documentation required, which may include facility security and environmental assessments, as well as proof of insurance and a means of suitable transport.

The proposal is directed to a Conservator, who makes recommendations based on the following:

- **Physical Condition.** The material is considered to be in satisfactory condition to withstand transport and exhibit/use for a defined period, or the material requires minimal conservation treatment. Conservation treatment that is necessary may be carried out at a cost to the borrower if it is deemed that the work would not have been carried out otherwise at the time of the loan.
- **Copyright and Permission.** There are no copyright or access restrictions, and permission for use by the borrower for advertising or catalogue purposes is held by the Provincial Archives of Alberta.
- **Security.** Security measures for display include a locked case in a secure area that is under surveillance. Locked storage is also required for materials requested for research purposes.

- **Facility Assessment.** The borrowing institution satisfies conditions of temperature and relative humidity conditions, and intended storage and/or display areas. Individual items may require specific environmental standards according to media and/or condition.

The applicant is responsible for providing any documentation required, which may include facility security and environmental assessments, as well as proof of insurance and a means of suitable transport.

The proposal is directed to the Archivist responsible for the fonds in which the item is found, who makes a recommendation based on issues of intellectual control, including copyright or permission conditions. The Archivist provides the applicant with background information concerning the requested material.

The loan proposal is forwarded to the Executive Director/Provincial Archivist for final approval. If refused, a letter is forwarded outlining the reasons for the decision. If accepted, the Conservator prepares a loan agreement. The agreement outlines the conditions of loan and specific requirements for transportation, insurance, loan period and provision of contacts for the borrowing institution. It may be necessary to restrict access to the original records to named contacts only. The loan may involve Archives staff supervision of installation. The Conservator acts as the main contact for the loan, and ensures the compliance of the borrowing institution to all conditions.

Conservation and Reproduction Services

Through the Archives Store and Client Services, the Archives offers conservation consultation and services to the public seeking to preserve their own material. Conservators assess, repair, preserve and reformat records, and provide professional direction on archival storage and environmental management. Completion times vary and are determined by the Conservator. Services include:

- **Conservation Condition Report.** Conservators evaluate and recommend an appropriate course of action for textual and audiovisual record preservation and storage.
- **Textual Conservation.** Conservators provide professional archival conservation treatments to textual items, including humidification, flattening, tear repair and tape removal.
- **Digital Restoration.** Conservators and/or Audiovisual Technicians digitally alter original items to a client's specification. This may include colourization, removal of smudges or smears, or recreation of missing or damaged elements.
- **Film and Video Reproduction.** Conservators and/or Audiovisual Technicians convert and transfer film and video records to DVD, digital file and cassette format. Transfer to external hard drives and other formats may be considered.
- **Audio Reproduction.** Conservators and/or Audiovisual Technicians convert and transfer audio records to disc or digital file. Other formats may be considered.

Clients requesting conservation consultation, condition reports or restoration services meet with a Conservator. The Conservator assesses the requested service, the format and extent of records involved, and provides the clients with an estimate on cost and timeframe for completion. A [Conservation Services Form](#) is prepared and the client authorizes the work.

Clients complete and submit an [Audiovisual Reproduction Requisition Form](#), which is available at the Public Reception desk. The Reference Archivist assists clients on the proper identification of

material and completion of the requisition form. Processing times vary, depending on the original format, condition and size of material, as well as format of the copy. Audiovisual reproductions require prepayment.

An Archives Store and Client Services Receipt is issued to the client by reception staff for client items entrusted to the Archives.

For more information on formats and fees, please refer to the *Provincial Archives of Alberta Price List*, available in the [Appendix](#).

The Archives Store

The Archives supports the preservation of records by the public by providing museum- and archive-quality preservation supplies and storage containers through an onsite and [online store](#). Available items include film canisters, non-destructive tapes and adhesives, photograph sleeves and acid-free document folders. The Archives Store supports the use of archival holdings with the sale of publications and archival photograph reproductions.

The onsite Archives store is open Tuesday through Saturday, from 9:00 a.m. to 4:30 p.m. Gift certificates are available. Onsite transactions are processed by the Public Receptionist.

The Business Manager and Public Receptionist handle online transactions and ship items.

Volunteer Program

The Archives offers interested individuals and organizations an opportunity to help the Archives preserve the collective memory of Alberta. Approximately 40 volunteers per month work with staff on projects that match their interests and skills, including:

- research assistance in the Reading Room
- archival records translation
- records processing
- scanning photographs

The Archives asks for a commitment of three hours per week for a minimum of four months. Volunteer applicants are posted on the Archives' website:

- January (December 15 application deadline)
- May (April 15 application deadline)
- September (August 15 application deadline)

The Program/Volunteer Coordinator is responsible for the application and interview process, project assignment, arranging necessary training, and providing volunteers with support and recognition. The Program/Volunteer Coordinator and FOIP Officer/Archivist provide volunteer orientation sessions.

For more information, please refer to the [Volunteer Application Form](#) and Provincial Archives of Alberta Volunteer Information and Guidelines, available in the [Appendix](#).

14. WORKPLACE HEALTH AND SAFETY

General Policy

The Provincial Archives of Alberta protects the well-being of staff and volunteers. It operates in accordance with the [Occupational Health and Safety Act \(RSA 2000 cO-2\)](#), [Regulations and Code](#) of the Government of Alberta, and follows the [Occupational Health and Safety Program](#) under the [Public Service Act \(RSA 2000 cP-42\)](#). The Archives promotes an environment and culture that values health and safety, and provides resources that ensure Archives employees are aware of their responsibility for compliance with the Occupational Health and Safety Program requirements and guidelines.

Occupational Health and Safety Program

The Archives follows the Occupational Health and Safety Program of Government of Alberta concerning:

- occupational health and safety management
- hazard management
- occupational health and safety training
- inspections
- emergency preparedness
- incident management
- occupational health and safety program evaluation

Workplace Health and Safety Committee

The Archives Workplace Health and Safety Committee is the primary mechanism for management and employees to work together to identify and provide recommendations on health and safety concerns.

Executive Director/Provincial Archivist is responsible and accountable for the Workplace Health and Safety Committee. The committee reports and takes recommendations for approval to the Executive Director/Provincial Archivist.

The Workplace Health and Safety Committee is composed of staff and management personnel from all areas of Archives operations. The committee meets four times per year, and works to improve health and safety conditions within the facility. It works collaboratively to identify and review health and safety issues, consider their impact on the worksites, and research solutions and formulate recommendations to the Executive Director/Provincial Archivist on corrective measures.

This responsibility encompasses the following:

- receipt and validation of health and safety concerns and recommended possible solutions
- identification of hazards and unsafe practices and recommendations to control or eliminate them
- dissemination of workplace health and safety information
- review of incident reports and resulting recommendations
- carrying out formal inspections of the worksite, equipment and practices on a quarterly basis
- ensuring that suitable training programs are carried out in the workplace
- maintaining records in connection with receipt and disposition of concerns
- carrying out workplace health and safety initiatives specific to the Archives

- maintaining a workplace health and safety bulletin board

For more information, please refer to *Provincial Archives of Alberta Workplace Health and Safety Committee Terms of Reference* and the *Provincial Archives of Alberta Workplace Health and Safety Committee (WH&S), Three-Year Action Plan*, available in the [Appendix](#).

Worksite Inspections

As noted, the Workplace Health and Safety Committee carries out a number of activities to achieve its goals, and key among these are scheduled, systematic inspections of the Archives facility and equipment to identify site-specific hazards and recommend and implement corrective actions. Management and supervisors carry out, individually or with committee members, inspections and hazard assessments. Areas addressed concern activities associated with:

- the administration area
- reception and the Sandra Thomson Reading Room
- processing of archival material
- photographic conservation, reformatting and reproduction
- audiovisual preservation
- archival materials conservation treatments
- vaults
- lifting
- use of Government of Alberta vehicles

Health and Safety Orientation

In accordance with Government of Alberta legislation and the Occupational Health and Safety Program, new Archives staff receive a health and safety orientation from their supervisor. The Program/Volunteer Coordinator provides the same orientation to volunteers. The orientation provides:

- instructions on health and safety requirements, regulations and rules
- first aid procedures and names and contact information of staff trained in first aid
- information on handling emergency situations
- explanation of associated site-specific hazards and risks
- use of protective equipment
- procedures for handling work-related accidents, injuries or illness
- explanation of the Occupational Health and Safety Program
- information on the Workplace Health and Safety Committee
- information on departmental health and safety representatives and committees

Health and Safety Responsibility

It is the responsibility of Archives supervisors and staff to be knowledgeable about, and comply with, the specific health and safety procedures associated with hazard assessments and their area of work. Health and safety concerns can be directed to Workplace Health and Safety Committee representatives, a supervisor or manager. Work-related accidents, injuries, near misses and illness are directed to a supervisor. Appropriate reporting is completed by the supervisor and manager and forwarded in accordance with Occupational Health and Safety requirements. Incidents are investigated and documented in accordance with the Occupational Health and Safety Program.

In addition to facility-wide measures, the Archives recognizes the health and safety considerations associated with the handling of contaminated archival records and the provision of

conservation treatments.

For more information, please refer to *Procedures for Handling Mould and Pest-Infested Records* and the *Use of Equipment and Materials in the Conservation Labs*, available in the [Appendix](#).

Emergency Situations

The Archives has an Emergency Procedures Manual for handling emergency and security situations, including

- facility evacuation
- fire
- security and bomb threats
- medical emergencies
- civil unrest and demonstrations

The manual includes internal and external emergency contacts for facility and security management. Staff keep a copy of the manual accessible and are familiar with its contents. The Archives Head Fire Warden is responsible for updating the manual.

For more information, please refer to the *Emergency Procedures Manual* located in the [Appendix](#).

15. GLOSSARY OF TERMS

For archival term definitions, please refer to *Archives Terminology -- Select Terms*, prepared by Margery Hadley & Michael Gourlie for the ASA Archives Institute 2006, available in the [Appendix](#).

Accession Control Form. A detailed, electronic version of an Accession Register.

Accession File. A file of operational records relating to an accession.

Accession Number. The sequential identifying number assigned to an accession.

Accession Register. An administrative and descriptive register of the scope and content of an accession.

Alberta Records Management Committee (ARMC). A senior interdepartmental committee appointed by the Minister of Service Alberta that, among other activities, approves records retention and disposition schedules submitted by government organizations.

Anglo-American Cataloguing Rules (AACR2). A resource for the development of library catalogues that provides rules for description of library holdings and the provision of access points.

Appraisal for Acquisition. The assessment of records for their archival value to determine whether the body of material will be accepted into the Archives.

Appraisal for Selection. The assessment of material that has gone through an appraisal for acquisition and has been accepted into the Archives. It involves the selection from an entire body of records that are to be permanently retained.

Archives Network of Alberta (ANA). A database of descriptions of archival records held in Alberta's archives, maintained by the Archives Society of Alberta (ASA).

Automated Management Information Civil Users System (AMICUS). A catalogue listing of the holdings of libraries across Canada.

Conservation Treatment. Actions taken to treat and prevent further deterioration of a damaged and at risk record without adversely affecting its integrity.

Deaccessioning. The process of removing records from the care, custody and control of the Archives.

Dewey Decimal Classification (DDC) System. A classification system for library holdings.

File List. A list of file titles and related identifiers.

[Freedom of Information and Protection of Privacy Act \(FOIP\) \(RSA 2000 cF-25\)](#). Alberta's *Freedom of Information and Protection of Privacy Act (FOIP Act)* ensures the public has access to information held by Alberta public bodies, while at the same time protecting individual privacy. This legislation affects provincial government departments, agencies, boards and commissions. Records subject to the *FOIP Act* are not disclosed without the proper authority.

Government of Alberta Action Request. An information request from a Government of Alberta Minister or Deputy Minister.

Government of Alberta Corporate Records Management Program. A records management program under which all provincial government organizations manage their records in accordance with corporate standards, policies and guidelines to support program and service delivery.

Government of Alberta Full Depository Library. A library that receives a copy of all Government of Alberta publications.

Government Records Program. The Government Records Program is part of a [government-wide records management program](#). The Archives is the official repository for records created by the Government of Alberta, its corporations, agencies, boards, commissions and courts. Records are transferred to the Archives under established Records Retention and Disposition Schedules.

Heritage Resources Management Information System (HeRMIS). A descriptive records database and portal to electronically search the Archives textual, audiovisual and Reference Library holdings.

Information File. A Reference Library file of published and unpublished material of an ephemeral nature that has informational value.

MUSH/MASH Sector Records (Municipalities, Universities, Schools, and Hospitals). Records from local public bodies, including school boards, health-care agencies, post-secondary institutions and municipalities.

Personal Information Protection Act (PIPA). Alberta's *Personal Information Protection Act (PIPA)* (SA 2003 cP-6.5) governs the collection, use and disclosure of personal information in the private sector. *PIPA* balances the individual's right to privacy and the interests of organizations to reasonably collect, use and disclose personal information. This includes the provision of personal information for archival purposes and research.

Portfolio Government Records Archivist. A Government Records Archivist who provides reference, appraisal and description services concerning the records of a specific government organization.

Preservation. The professional discipline of protecting materials by minimizing chemical and physical deterioration and damage to minimize the loss of information and to extend the life of cultural property

Preservation Management. Archival program involving a systematic, planned approach to the stabilization and long term survival of the physical form and/or the information of archival records.

Private Records Program. The Private Records Program concerns the acquisition and preservation of records of evidential and intrinsic provincial significance. Records are obtained from individuals, communities, business and non-governmental organizations.

Provincial Archives of Alberta Required Fields for Archival Descriptions. A standard for fields to be used during arrangement and description.

Provincial Archives of Alberta Subject Heading Standards (PAASH). A standard for vocabulary to be used in the preparation of indexes of Archives record holdings.

Records Retention and Disposition Schedule. A schedule that describes the records under the control of a government department and specifies how long and where records are to be kept, the format in which they must be stored, and what the records' final disposition will be.

Records Scheduling System. A collections management database.

Schedule and Accession Number Database (SAND). A collections management database.

The Museum System (TMS). A collections management database.

16. FORMS AND TEMPLATES

- [Access and Preservation Services Condition and Treatment Report](#)
- [Accession Control Form](#)
- [Archives Store and Client Services Condition and Treatment Report](#)
- [Audiovisual Reproduction Requisitions](#)
- Booking/Tour Form
- [Client Comment Sheet](#)
- Discount Application Form
- Discount Application Form (Division)
- Discount Application Form (Media)
- [Exhibit Loan Proposal](#)
- Exhibit Loan Agreement
- [Faith Organization Service Requisition](#)
- [FOIP s.42 Research Proposal](#)
- [FOIP s.42 Research Agreement Form](#)
- [FOIP Request Recommendation 118](#)
- [FOIP Law Enforcement Disclosure](#)
- [Location Register](#)
- [Library Donation Book Donor Accession File \(2013\)](#)
- [Library Donation Return to Donor \(2013\)](#)
- [Library Donation Temporary Receipt \(2013\)](#)
- [Library Donation Acknowledgement \(2013\)](#)
- [Outgoing Loan Agreement](#)
- [Preservation Assessment](#)
- [Private Records Certificate of Gift](#)
- [Private Records Appraisal Report](#)
- [Private Records Donation Temporary Receipt](#)
- [Request to Access Information \(FOIP Act\)](#)
- [Research Services Requisition](#)
- [Researcher Registration Agreement](#)
- [Retrieval Request Slip](#)
- [Volunteer Application](#)

For access to documents not linked to from the “Forms and Templates” section, please contact the Provincial Archives of Alberta.

17. APPENDIX

- [Acts and Regulations Paramount over the FOIP Act](#)
- Administrative Procedures - Action Request Tracking System (ARTS)
- Administrative Procedures - Expenditure Officer Authority and Codes
- Administrative Procedures - Facility Management
- Administrative Procedures - Finance and Reporting
- Administrative Procedures - Human Resources
- Administrative Procedures - Records Management
- Administrative Procedures - Supplies and Services
- Archives Network of Alberta (ANA) Procedures for Adding/Modifying Descriptions
- [Archives Terminology -- Select Terms, prepared by Margery Hadley & Michael Gourlie for the ASA Archives Institute 2006](#)
- [Government of Alberta Records Retention and Disposition Schedule](#)
- [Heritage Division Collections Management Policy \(Forthcoming\)](#)
- [Personal Information Protection Act \(PIPA\) Information Sheet 8](#)
- [Private Records Acquisition Work Flow](#)
- [Procedures for Handling Mould and Pest-Infested Records](#)
- [Procedures for Hazardous Materials Disposal](#)
- [Procedures for Processing Audiovisual Records](#)
- [Procedures for Processing Textual Records](#)
- [Procedures for Tax Receipts and Cultural Property Certification](#)
- Provincial Archives of Alberta Emergency Procedures Manual
- Provincial Archives of Alberta Facility Plan Main Floor
- Provincial Archives of Alberta Facility Plan Second Floor
- Provincial Archives of Alberta Organizational Chart
- [Provincial Archives of Alberta Price List](#)
- Provincial Archives of Alberta Required Fields for Archival Descriptions
- Provincial Archives of Alberta Subject Heading standards (PAASH)
- [Provincial Archives of Alberta Values Charter](#)
- Provincial Archives of Alberta Volunteer Information and Guidelines
- [Rules for Archival Description \(RAD\)](#)
- [Sandra Thomson Reading Room Rules](#)
- [Standards for Preservation Processing Supplies](#)
- [Terms of Reference, Provincial Archives of Alberta Exhibit Committee](#)
- [Terms of Reference, Preservation Committee](#)
- [Terms of Reference, Workplace Health and Safety Committee](#)
- [Action Plan, Workplace Health and Safety Committee](#)
- [Use of Equipment and Materials in the Conservation Labs](#)
- Administration Attachments
- Sandra Thomson Reading Room Reference Desk Manual

For documents not linked to from the Appendix, please contact the Provincial Archives of Alberta.