

Évaluation

NEWSLETTER OF THE NATIONAL ARCHIVAL APPRAISAL BOARD
BULLETIN DU CONSEIL NATIONAL D'ÉVALUATION DES ARCHIVES

Volume 2, number 1

May 2020

ISSN



Table of contents

Board and Committee News:

- [Conflict of Interest Policy](#)
- [Report of the NAAB Professional Development Committee](#)
- [Report of the NAAB ad hoc Committee on the Monetary Appraisal of Electronic Records](#)

Columns:

- [Dear NAAB \(You asked Responses to your questions\)](#)

Resources for Appraisers:

- [Fair Market Value: A Brief Review of Items Relating to Louis Riel](#)

Articles:

- [The Context of Monetary Appraisal](#)
- [A Few Observations on Capacity, Cooperation, and the Future](#)

[Call for Submissions](#)

CONFLICT OF INTEREST POLICY

Karen Teeple, PNA
Chair, NAAB Board of Directors

At its April 20th monthly meeting, the NAAB Board of Directors approved the following Conflict of Interest policy to clarify the Board's position regarding appraisers who may be currently working for institutions or who may have left their place of employment. This policy will be integrated into the existing policy entitled, *Practising NAAB Appraiser Code of Ethics and Personal Responsibility* which currently resides under the Policy and Administration section for PNAs on the NAAB website.

The purpose of this policy is to protect the interests and integrity of NAAB activities and operations. This conflict of interest policy applies to all appraisers (both PNAs and non PNAs) who participate on NAAB appraisal panels.

It is intended that this policy will prevent appraisers with conflicts from participating in appraisal panels, discussions, reporting or voting on any issue where there is a real or perceived conflict.

An apparent conflict of interest is a situation that may cause an observer or third party to question whether an appraiser can be objective or impartial because of a competing interest, dual allegiance, or where the appraiser's knowledge or affiliation might create an unintentional or intentional bias or prejudice, be it actual, potential or perceived. This may include, but is not limited to, engaging in activities such as participation on a NAAB appraisal panel, where the research, discussion and decision-making process may appear to compromise the integrity of NAAB

or the institution requesting an appraisal. To avoid such situations, appraisers previously employed by an institution may not take part in any NAAB appraisal panel sessions requested by his/her own institution for a period of two years, or longer if otherwise stipulated by the organization. Further, an appraiser may not participate on a NAAB panel where they have provided unrelated or related professional expertise (e.g. consulting) on a contract basis to an institution within the twelve months preceding the NAAB panel.

REPORT OF THE NAAB PROFESSIONAL DEVELOPMENT COMMITTEE

Gordon Burr, PNA
McGill University, School of Information studies

The NAAB Board has established a new Professional Development Committee. I am serving as Chair; the other committee members (all PNAs) are Dominique Foisy-Geoffroy, Regina Landwehr, David Sharron and Melanie Hardbottle. Karen Teeple, Chair of the NAAB Board of Directors is the Board representative on the committee and the administration of the committee is supported by Christina Nichols, CCA Executive Director and Louise Charlebois, CCA Staff (Recorder).

The committee has met once a month since January, with the sole exception of our March meeting which had to be postponed. The goals of the committee are three-fold:

- to enhance the knowledge base of existing NAAB appraisers;
- to develop a curriculum/training for candidates lacking the requisite years of experience and education; and
- to provide input to the Masterclass curriculum for experienced archivists.

Our objectives in the coming year are more modest. We will concentrate on developing a curriculum framework for newer archivists who have not participated in a Masterclass and need professional development training to attain a PNA designation. We are currently evaluating existing professional development course content from other jurisdictions, creating an educational needs assessment survey to capture input from current PNA's, and from this will draft a standard for the PD courses.

THE APPRAISAL COMPARISON TOOLKIT OR, NAAB DEVELOPS A SPREADSHEET:

REPORT ON THE ACTIVITIES OF THE NAAB AD HOC COMMITTEE ON THE MONETARY APPRAISAL OF ELECTRONIC RECORDS

Simon Patrick Rogers, PNA
John M. Kelley Library, University of St. Michaels' College

The NAAB ad hoc committee has developed an appraisal comparison tool and is reviewing the NAAB database of past appraisals as a means of determining factors that have been considered in previous appraisals of electronic records. The information extracted from previous appraisals is then abstracted and anonymized according to a number of questions we are asking of the data. Ultimately it is the intention of the committee to develop a set of best practices and/or recommendations for the establishment of benchmarks concerning the monetary valuation of electronic records. To a secondary degree, it is the intention of the committee that these benchmarks also establish more broadly standardized guidelines for the long term preservation and retention of such records. The list of questions under consideration is as follows:

- What was the overall scope (digital & physical)?
- What was the total valuation?
- What was the physical valuation?
- What was the digital valuation?
- What was the summary justification for valuation?

- Was there a summary of assigned values for file types?
- What was the scope of the digital files by size? (e.g. 10TB overall)
- What was the scope of the digital files by number of files?
- Was there consideration for curation?
- Was digital preservation considered?
- Were duplicate files considered or addressed?
- Was donor retention of copies considered?
- Did justification include an analog equivalency?
- What was the date range of the digital content?
- Was access a consideration?
- Is metadata present for digital content?
- Was the presence of metadata considered?
- Was the digital content's relevance to the fonds or total archive addressed?
- Was bulk pricing used?
- What were the outlier factors (awards, outstanding significance, other notes)?

Obviously there are a wide range of variables, and many of the reports we have redacted in this way do not contain answers to all, or even most, of these questions. We have currently identified 63 monetary appraisal reports for redaction and are in the process of adding a number of others from French language appraisals.

The committee would be very happy to receive additional examples and has taken steps to ensure the anonymity of the examples once the valuation figures have been extracted. It may also be possible to share the template with institutions that could extract the information into the comparison tool themselves, thus preserving the anonymity of donors. The NAAB ad hoc committee is also planning to meet with board members of CCPERB to discuss its ongoing activities and for an initial conversation about CCPERB guidelines on the cultural certification of electronic records. This meeting, initially scheduled for March 20th 2020 has been postponed due to the COVID-19 pandemic.

The ad hoc committee is now in the second year of its mandate to study the issue of the monetary appraisal of electronic records. It will continue to engage with practicing NAAB appraisers through any future NAAB Masterclasses. It will also continue to present its findings and to consult with stakeholders and the wider archival community through upcoming conferences and workshops, both nationally and locally. Anyone wishing to make contact with the ad hoc committee may email either of the co-chairs, Jeremy Heil (heilj@queensu.ca) or Richard Dancy (radancy@sfu.ca), or contact the NAAB Secretariat directly at (naab@archivescanada.ca).

DEAR NAABY: YOUR QUESTIONS ANSWERED



This is the first of what we hope will be a recurring column, based on questions submitted by you. We will ensure the anonymity of anyone sending in a question, and will seek an appropriate respondent to answer – so please feel free to send us questions based on any aspect of monetary appraisal in Canada. Please contact us at naabnewsletter@archivescanada.ca. We look forward to hearing from you.

1. **Q.** How is access to the NAAB database of past appraisals currently being given?

A. The Chair of the NAAB appraisal panel submits the Panel/Session Authorization Form to the NAAB Secretariat at least two weeks prior to the appraisal session. The authorization form lists the members of the panel, allowing the CCA Secretariat to provide access to the PNAs one week prior to the session and two weeks after the appraisal session has concluded.

Note: Non PNAs participating on NAAB panels are not given access to the NAAB database.

2. **Q.** Will the NAAB database of past appraisals be restricted only to those PNAs working in formal NAAB sessions, or will all PNAs (in good standing) have access? Access will be of interest to any PNA involved with pro bono, independent (or two-person) appraisals.

A. At this point in time, access to the NAAB database is restricted to PNAs who are participating in formal NAAB sessions. NAAB is still very much in a transition stage and developing necessary policies and procedures. As we increase the number of PNAs we want to see how the database is being used while at the same time ensuring maximum confidentiality of the information. It would be more difficult (e.g. additional administrative oversight), to monitor the use of the database for non NAAB appraisals. PNAs gain access to the database on a need-to-know basis; they should not share the information, except for the purpose of the NAAB appraisals they are working on.

3a. **Q.** Should (or can) institutions be responsible for filling out any part of the NAAB appraisal reports?

A. No. The institution has hired NAAB to review and assess the records for monetary appraisal. The Chair of the panel is responsible for the writing of the report and has access to the tools provided by the institution (e.g. finding aid, appraisal report), to incorporate (preferably in his/her own words) into the report as part of the description of the records. However, NAAB makes allowances for draft reports to be reviewed by the institution to validate the descriptive information and the terminology. At no time is the institution permitted to provide input on the decisions or values provided by the panel.

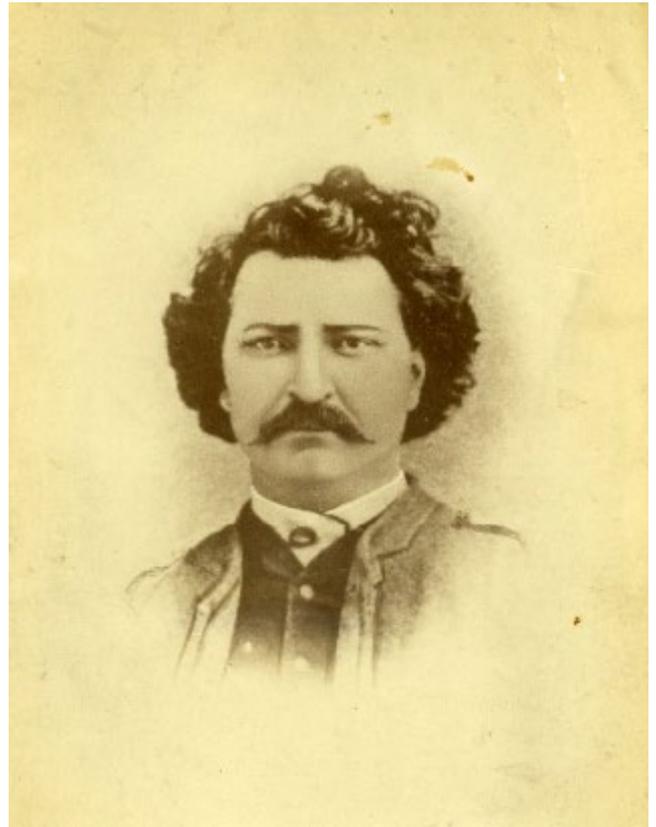
3b. **Q.** Should (or can) the work of writing the NAAB appraisal reports be shared, or is it solely the responsibility of the panel chair?

A. The writing of the report is generally the responsibility of the Chair who, in turn, is responsible for communicating with the institution. It is up to the Chair to ask the panel members for their input. Chairs may conduct their appraisal sessions in a variety of ways. However, it is a general practice during the session to discuss each of the series as a group, to determine and assign values to the records. Panellists should provide the Chair with their notes based on their assessment of the donation and its components. It is then up to the Chair to finalize the wording of the report.

FAIR MARKET VALUE: TRENDS IN THE MARKET FOR RIEL-RELATED DOCUMENTS AND PHOTOGRAPHS

Brian Hubner, PNA
University of Manitoba Archives & Special Collections

The tables below examine the sale of historical documents and photographs created by or closely associated with the Métis leader Louis Riel over the past 60 years (from 1957-2019). Riel items are probably the most saleable of any archives associated with a Canadian historical figure, possibly outside of well-known sports or music celebrities. There are several general trends which can be observed over the period of this sample. First of all, prices paid have steadily risen over time. This is true both for single items such as stamps and photographs, and those with more important historical content like Riel's last letters, diary, and "Last Will and Testament." Second, those considered to be the important documents, such as the latter, are invariably sought out and purchased by public institutions who make them part of existing collections related to Riel. These are primarily in Manitoba and Saskatchewan, of course, but also in Alberta and Library and Archives Canada. Often these efforts are spurred on by a desire to not allow this material to leave the county (for example, to private buyers from the United States). The number of Riel documents which appear on the market will most likely dwindle in the future, but a few are sure to surface periodically. Finally, increasingly there will probably be greater involvement in the purchase and ownership of Riel documents by Indigenous organizations, including the Manitoba Métis Federation, as illustrated by #13 in the table. The repatriation of some Riel-related documents to Indigenous (Métis) groups may emerge. This is a significant issue, and would be exploring in its own right.



*Louis Riel, [ca. 1870], photo by I. Bennett & Co
UMan Archives & Special Collections*

Twenty-four sales are identified in the table below, including five by the University of Manitoba Archives & Special Collections.

No.	Date of Sale, Auction, or Valuation	Item	Seller / Buyer	Pre-Sale Estimate of Value	Final Sale Price
1.	17 October 1957	Letters and pamphlets written and signed by Louis Riel, includes newspaper clippings related the events of 1885	Unknown / Public Archives Canada [LAC]	Unknown	\$525.00
Public Archives Canada-Archives publiques Canada, RG 37 (347) f.57/135. #8320 (A02019 – 12474, Release)					
2.	April 1967	"Essay" [proposed design for a stamp] related to Riel's provisional government of Manitoba, 1869	Stamp dealer "Georges" April / Glenbow Museum [M-6058], reported to be missing in 1998	Unknown	Reported to be minimal

	<p>The Glenbow, Louis Riel Collection: https://www.glenbow.org/collections/search/findingAids/archhtm/riel.cfm E-mail of Doug Cass, Director Glenbow Library and Archives, to Brian Hubner, 28 November 2017. For a more current sale of an “essay”, see #17.</p>				
3.	1969	Draft of pamphlet by Riel, 32 ms. pp.	Unknown / purchased at Auction by the Public Archives Canada [LAC]	Unknown	\$16,000.00
	<p>See: Flanagan, Thomas. <i>Archivaria</i> (Number 8, Summer 1979) “Archives: An Economic and Political View” (1979): 96 https://archivaria.ca/index.php/archivaria/article/view/10732/11615</p>				
4a. & 4b.	22 April 1971; and 23 February 1984	Riel’s “Batoche” Diary (1885), 53 ms. pp.	Auctioned by Montreal Book Auctions in 1971 (originating with newspaperman Eric Wells), to a group represented by Gene Rhéaume and Gordon Horby, and subsequently purchased from them by the Provincial Archives of Saskatchewan (1984)	Unknown	\$26,500.00 (1971); then \$75,000.00 (1984)
	<p>The Gabriel Dumont Institute: http://www.metismuseum.ca/resource.php/13660 (files relating to 1971 purchase of diary)</p> <p>Provincial Archives of Saskatchewan: http://www.saskarchives.com/Timeline18_RielDiary</p> <p>University of Saskatchewan Libraries and the University Archives: http://library.usask.ca/northwest/diary/riel-dry.htm</p> <p>Flanagan, Thomas. <i>Archivaria</i> (Number 8, Summer 1979) “Archives: An Economic and Political View” (1979): 96 https://archivaria.ca/index.php/archivaria/article/view/10732/11615</p>				
5.	1977	Letter of Louis Riel, 2 ms. pp.	Unknown / Purchased at auction by Parks Canada	Unknown	\$3,500.00
	<p>Flanagan, Thomas. <i>Archivaria</i> (Number 8, Summer 1979) “Archives: An Economic and Political View” (1979): 96 https://archivaria.ca/index.php/archivaria/article/view/10732/11615</p>				

6.	13 April 1978	The "Last Letter of Louis Riel" [to his wife and children], 16 November 1885, 2 ms. pp.	Unknown / At auction to private buyer	Unknown	\$12,500.00
	<p>Montreal Book Auctions Ltd. (Thursday, 13 April 1978; Sale No. 108): 43-46.</p> <p>Flanagan, Thomas. <i>Archivaria</i> (Number 8, Summer 1979) "Archives: An Economic and Political View" (1979): 96 https://archivaria.ca/index.php/archivaria/article/view/10732/11615</p> <p>This letter is sometimes confused with the letter to Riel's mother written but hours earlier, dated 15 November 1885, currently held by the Archives of Manitoba, Riel Papers, No. 431.</p>				
7.	30 May 1980	Letter of Louis Riel to Dr. E.P. Lachapelle (Keesville, NY), 9 February 1878; and some poems and notes of Riel.	Unknown / Public Archives Canada [LAC]	Unknown	\$2,500.00
	Public Archives Canada-Archives publique Canada, Act De Vente, signed by André Benoit, 30 mai 1980 (A02019 – 12474, Release)				
8a. & 8b.	24 June 1981	Lot #1; The "Disturbance Broadsides" of James Ross, 1869-1870; (10 broadsides);	Canada Book Auctions (Bernard Amtmann) / at auction to the Glenbow Museum	Lot #1; \$30,000 to \$40,000	#1: \$16,500.00;
	24 June 1981	Lot #2: <i>Ordonnances du Gouvernement Provisoire de la terre de Rupert</i> , January 1870, announces Riel as president of the government	Canada Book Auctions (Bernard Amtmann) / at auction to the Glenbow Museum	Lot #2: Unknown	#2: \$7,000.00; Total for two lots: \$23,500.00
	<p>Canada Book Auctions (24 June 1981, Auction Sale No. 133): 13-14.</p> <p>Riel Project <i>Bulletin du Project Riel</i> (October/Octobre 1981, No. 6): 2</p> <p>The Glenbow, Louis Riel Collection: https://www.glenbow.org/collections/search/findingAids/archhtm/riel.cfm</p>				

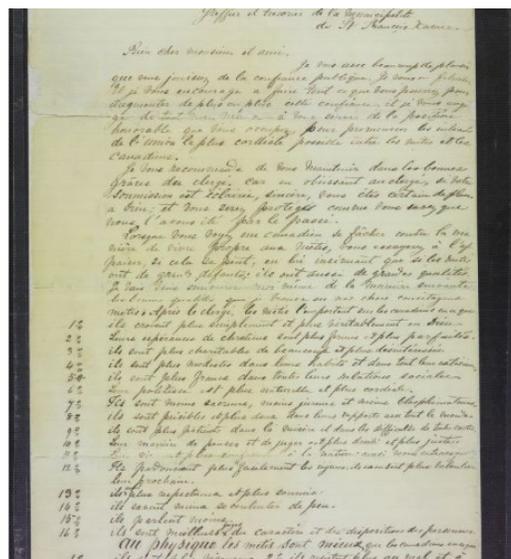
9a.	30 June 1988	Letter of Louis Riel to his mother, 9 August 1882; and some other Riel-related material including a letter to Riel, and three photographs	Maurice Villeneuve, Quebec / Public Archives Canada [LAC]	\$7,500.00	\$7,500.00
	<p>Public Archives Canada-Archives publique Canada, Acquisition Advice-Avis D'Acquisition, Maurice Villeneuve, 18 juin, 1988 (A02019 – 12474, Release)</p> <p>Public Archives Canada – Archives publique, Letter of Victorin Chabot and Grace Hyam to Jay Atherton, 21 June 1988, urging purchase of the Riel letter; includes hand-written approval by Atherton, 30 June (A02019 – 12474, Release)</p>				
9b.	12 April 1991	The Last Will and Testament of Louis Riel, 6 November 1885, 4 ms. pp.	Montreal book dealer / The National Archives of Canada, Manuscript Division. In 1987, “an elderly man” sold the Will, and the 1882 letter from Riel to his mother, to a Montreal book dealer (see #9a), who, in turn, sold them to The National Archives (seller, Jeanne Villeneuve)	Unknown	\$20,000.00
	<p>Public Archives Canada-Archives publiques Canada, Acquisition Advice-Avis D'Acquisition, Michel Wyczynski, 26 March 1991 (A02019 – 12474, Release)</p> <p>National Archives of Canada-Archives nationales du Canada, Michel Wyczynski à Jeanne Villeneuve, confirming the sale, 12 April 1991 (A02019 – 12474, Release)</p> <p>Wyczynski, Michel. “Louis Riel’s Will.” <i>The Archivist</i>, Vol. 20, No. 1 (1993): 23-25.</p> <p>Flanagan, Thomas, and Campbell, Glen. Appendix to <i>From Rupert’s Land to Canada</i>. Edited T. Binnema, G. Ens & R.C. MacLeod (2001), “Updating The Collected Writings of Louis Riel”, Campbell, p. 284.</p>				
10.	19 October 1995	Letter of Louis Riel to Marguerite Riel (spouse), 5 October 1885	Unknown / At auction to the Provincial Archives of Manitoba	Unknown	\$4,000.00
	<p>Flanagan, Thomas, and Campbell, Glen. Appendix to <i>From Rupert’s Land to Canada</i>. Ed. Binnema, Ens & MacLeod (2001), “Updating The Collected Writings of Louis Riel”, Campbell, p. 284.</p>				

	National Archives of Canada, Memo of Eldon Frost to Lee McDonald, 20 October 1980 (A02019 – 12474, Release)				
11.	June 2003	Letter of Louis Riel to the <i>Ottawa Citizen</i> (9 November 1885)	Held in the archives of the <i>Ottawa Citizen</i>	Not sold	Reported to be valued at \$10,000 to \$15,000 (2003)
	The <i>Globe and Mail</i> (22 June 2003): http://www.theglobeandmail.com/arts/letter-to-the-editor-by-louis-riel-unveiled-in-regina/article1163283/ (Public Display)				
12.	25 June 2008	<i>Carte-de-visite</i> photograph of Louis Riel by J. H. Noverre (S. Davis and Sons, cigar company)	Aquila Books, Calgary / At auction to an unknown US buyer	Unknown	\$900.00 US
	Aquila Books: http://www.aquilabooks.com/Historic%20Photos/LouisRielCigar.html See #19, 20, and 21 for other sales of the same <i>carte-de-visite</i> .				
13.	25 November 2008	Four Louis Riel, poems in English, given in 1885 to NWMP constable Robert Hobbs	Held by the Hobbs family, Dirk Heinze Auctions, Toronto / At auction to the Manitoba Métis Federation (MMF)	\$5,000	\$31,050.00 Two photographs of Riel were purchased by the MMF at the same auction (unknown price) – to be displayed in a future museum (currently held by La Société historique de Saint-Boniface, Manitoba)
	CBC Saskatchewan (14 November 2008) [Pre-Auction]: http://www.cbc.ca/news/canada/saskatchewan/story/2008/11/14/riel-poems.html Winnipeg Free Press (26 November 2008) [Results of the Auction]: http://www.winnipegfreepress.com/local/Riel_poems_draw_many_prospective_bidders_.html CBC Manitoba (27 November 2008) [Return to Manitoba]: http://www.cbc.ca/news/canada/manitoba/louis-riel-poems-return-to-manitoba-1.711926				

	The <i>Globe and Mail</i> (17 February 2009) [Public Display]: http://www.theglobeandmail.com/news/national/the-plain-strong-hand-of-riel-lives-on/article20444622/				
	February/March 2013	<p>Eight <i>carte- de-visite</i> photographs related to Louis Riel and early Manitoba (They been part of a lot of American Civil War Memorabilia)</p> <p>Lot included "Riel and his Councillors" ca. 1869, attributed to Ryder Larsen</p>	<p>Greenfield Books / University of Manitoba Archives & Special Collections (UMASC)</p> <p>The photographs were obtained by Michael Park of Greenfield Books from a book dealer in Victoria, who in turn, had purchased them at auction in South Yara, Australia.</p>	Unknown	\$6,500.00
14. [1UM]	<p>CBC Manitoba (8 March 2013): https://www.cbc.ca/news/canada/manitoba/rare-manitoba-photos-of-louis-riel-found-in-australia-1.1349896 (Announcement of purchase)</p> <p><i>The Huffington Post</i> (11 March 2013): https://www.huffingtonpost.ca/2013/03/11/louis-riel-photos-australia-pictures_n_2852629.html (Announcement of purchase)</p> <p>Rogers, Alycia. <i>The Manitoban</i> (18 March 2013): http://www.themanitoban.com/2013/03/rare-louis-riel-photographs-recovered/14919/ (Announcement of purchase)</p> <p>Sweeney, Shelley. "Rare Photographs found in Australia," in <i>Photographic Canada</i>, Vol. 42, No. 1 (May-June 2016):1</p> <p>University of Manitoba Archives & Special Collections, Acquisition Files ("Greenfield Books Ltd.")</p>				
15. [2UM]	April/May 2015	<p>Louis Riel letter of 1883 to Pierre Lavallee, previously published in <i>Le Manitoba</i></p> <p>(18 June 1885)</p>	<p>Uno Langmann Limited (held by Trudel family, cat. #ZM18826) / UMASC</p> <p>Catalogued as: (MSS 441)</p>	\$15,000	\$16,950.00 (total)

	University of Manitoba Archives & Special Collections, Acquisition Files (“Langmann, Uno: Louis Riel Letter – 2015”)				
	UMASC finding aid: https://umlarchives.lib.umanitoba.ca/louis-riel-letter-to-pierre-lavallee				
16. [3UM]	February 2016	Promissory note of Louis Riel, Sr. (<i>père</i>) to Augustus Nolin, 1863.	Greenfields Books / UMASC	\$25,000 (for entire collection, individual value unknown)	\$27, 625.00 (total) The note was part of the Red River Settlement & Early Winnipeg Collection (Barber-Arkin Papers), .25 metres of text and photos
	University of Manitoba Archives & Special Collections, Acquisition Files (“Barber, Arkin”).				
17.	19-20 February 2016	2 “essays” of stamps thought to be related to Riel’s provisional government of 1869 (stamp indicates: <i>Republique Canadienne</i>)	Eastern Auctions, Halifax / At auction to an unknown buyer	Unknown	\$1,800.00
	Linn’s Stamp News: https://www.linns.com/news/us-stamps-postal-history/2016/march/eastern-auctions-international-auction-roundup.html				
18. [4UM]	April 2016	“Riel Rebellion” Broadside, <i>Ottawa Citizen Extra</i> , 6 May 1885	Patrick McGahern Books (Catalogue 241, #1) / UMASC	\$5,000	\$5,650.00 (total)
	Patrick McGahern Books, Catalogue 241, p. 1. University of Manitoba Archives & Special Collections, Acquisition Files (“Patrick McGahern Books, Inc.”)				

19.	1 July 2017	<i>Carte-de-visite</i> photograph of Louis Riel by J.H. Noverre (S. Davis and Sons, cigar company), very good condition	All Nations Coin and Stamp, Vancouver / unknown buyer	unknown	\$600.00
	All Nations Stamp and Coin: https://www.allnationsstampandcoin.com/louis-riel-s-davis-sons-montreal-real-photo-2-5x4-carte-de-visite/				
20. [5UM]	23 November 2017	<i>Carte-de-visite</i> photograph of Louis Riel by J.H. Noverre (1876)	Greenfield Books (Catalogue #4) / UMASC	\$950	\$997.50 (total)
	Greenfield Books (Bison Books) Riel Catalogue, November 2017 University of Manitoba Archives & Special Collections, Acquisition Files ("Greenfield Books Ltd.")				
21.	26 June 2019	Letter to Henry Morgan, with Riel content, 7 May 1885 (includes J.H. Noverre <i>carte-de-visite</i> of Riel, and a newspaper clipping)	Sparks Auctions, Ottawa / At auction to an unknown buyer	\$100	\$1, 092.00 (plus 15% buyer's premium)
	Sparks Auctions: https://sparks-auctions.com/tag/louis-riel/				



Letter, L. Riel to P. Lavallee, 1885
UMan Archives & Special Collections

THE CONTEXT OF MONETARY APPRAISAL

Fred Farrell, PNA
Provincial Archives of New Brunswick

Every element of an archives is intertwined. Monetary appraisal impacts all facets of dealing with any private records. And the reverse is also true: all aspects of the archival continuum affect monetary appraisal. It should not surprise anyone that offering tax receipts for archival donations adds a layer of work to operating an archives program. This, at a time when most archives are struggling to stay afloat, at least as far as providing access is concerned. But first let's take a step back.

Archives have always had to deal with a backlog of holdings. Today this challenge is exacerbated by a decline in the amount of time researchers are willing to invest, and a concurrent increase in their expectation for more precise identification of material pertinent to what they are studying. This, in addition to the current mantra: if it is not online, it might as well not exist. All of this combined, puts more pressure on archives to enhance finding aids and systems, particularly through digital access and a variety of online options.

Archives are in an unenviable position because the user creates the product or story, while in sister memory institutions (galleries, libraries, and museums, or GLAM organizations), the institution creates the buffet that can be consumed or witnessed in a short amount of time. Under this lens, archives fare poorly. Libraries routinely cull their stacks to manage space and service delivery, a museum only shows the public a fraction of its holdings, and an art gallery trots out a new exhibit every few weeks, often created by third parties, to keep things fresh, turnstiles moving, and revenue generated. Archives open their doors and, with a few minor exceptions due to restrictions, say here we are, you can look at anything you wish. In the new paradigm, some hybrid GLAM organizations have recognized the strain archives cause by deploying a simple coping mechanism to address this untenable equation: dropping the archives portion of their mandate.

Given heightened user demands and stagnant resources, archives also face stark realities, but fewer obvious options in the attempt to maintain their traditional services in the face of an increased volume of records intake. Although I am not endorsing the recourses some archives have chosen, I understand their allure. One simple step, but available to very few, is to merely stock pile material until some Utopian day in the future when processing can be done. This is rarely realistic because in addition to backlogs, lack of space is one of the common difficulties confronting archives. Another choice is to cut off the source of the problem. Take in less material. Some might proffer, well just take the "good stuff." Presently, however, particularly on the east coast, there is a lot of good stuff rolling in the door. With the oldest average population in Canada, downsizing and estate clean up are every day occurrences. To compound this, the New Brunswick elderly are often the heirs of several generations through the mere fact they stayed in the province. Another work-around is restricting arrangement and description to summaries of aggregates by container or even multiple containers. This might allow you to say you have no backlog, but it doesn't meet the needs or inclinations of the present generation of researchers, while creating security issues and other problems. It also makes it problematic to appraise records for their monetary value.

Well, there is an easy solution to the last factor. Don't offer tax receipts. This eliminates the time crunch of doing the necessary arrangement and description within the year of the donation, so an appraisal can be completed within the calendar year of the donation, and of course, the cost of the appraisal. This however leaves us hard pressed to explain why a donor can receive a tax receipt from a museum or art gallery in the vicinity, but not from the archives. Acquiring records can be difficult enough compared to museums and libraries – the emotional attachment of the donor to the material, the physical conditions, copyright, and restrictions, can all be more complex in the archival milieu. As well,

archives can rarely offer the carrot of display common in the sister fields and if they do succumb to such temptation or pressure, another Pandora's box of expectations and resource enervation is taken on.

Archives face enough hurdles in acquisition. Most archives don't have a budget to purchase records, resulting in the real possibility of important records being lost. Archives miss out on a lot of records because people don't bring them to our attention, usually because they don't know about us or assume what they have isn't important enough for us to be interested. When we do have an opportunity to acquire, it is usually a one-time chance requiring immediate action. Posterity and a tax receipt are the only arrows in our quiver, but when a potential donor can sell a letter for its postage marks or notable signatures – making the argument for retaining the whole of the collection due to its research value often pales in comparison. Meaning: donors have options that do not include donating to an archives.

To top things off, there haven't been many appraisers of archival material in Atlantic Canada. We would have to be crazy to offer tax receipts. Alas we are, and we do. Luckily the Provincial Archives of New Brunswick (PANB) has had some advantages that allow adherence to its principle that every donation is eligible for a tax receipt regardless of size and complexity. Through a variety of funding programs PANB has upped its arrangement and description capacity to help deal with the influx of records. Participation in such programs is possible for two reasons. To augment regular staff with additional, temporary people requires a mindset compatible with accepting the approach that two people can accomplish more than one, and ten people can accomplish more than three. This is no small shift and staff must buy-in to an approach that requires considerable training, mentoring, and hands-on daily intervention. Think of a quilting bee with a team that at the start doesn't know how to quilt. Not everyone is willing or able to take on such a team venture. Many of the programs utilized for such hires require matching funds. PANB is able to participate because of a provincial program, the Cultural Policy, which allocates to the Provincial Archives a supplementary amount each year in recognition of its role as a pillar of provincial heritage.

The second factor that has enabled us to venture down this road is that for much of the last decade or more we have worked closely with Burt Glendenning. A former staff member of PANB, he has done appraisals of small to medium fonds and collections and participated on NAAB panels for larger, more complex acquisitions. In addition, based on his time on CCPERB, he was an early proponent of the importance of assessing the value of different parts of a fonds or collection, measuring the various extents, and he coached us on the need for detailed documentation of monetary appraisal rationales. This may seem a given today, but back then it was not uncommon for appraisals to be provided as a lump sum, and for everything to be worth the same amount (movie footage and photos in particular), and the evaluation given without any further rationale. With Burt's coaching, we have been in the habit of thinking of appraisals broken down to the various constituent parts of a fonds or collection, assigning values to those different parts, and even identifying some material as having no monetary value.

Now for the great road forward. The training NAAB has begun through the Masterclass program will, we hope, signal a ground swell, well at least a trickle, of new Practicing NAAB Appraisers in the region. These appraisers will gain experience on NAAB panels and from doing smaller appraisals that will benefit the quality of appraisals and the availability of appraisers. At the very least, more staff at PANB will be cognizant of appraisal criteria and be able to conduct internal appraisals and ensure acquisitions are better prepared for examination by external appraisers.

A FEW OBSERVATIONS ON CAPACITY, COOPERATION, AND THE FUTURE

Cheryl Avery, Director – Prairie Regions, NAAB Board (Transitional)

The first NAAB Masterclass on monetary appraisal was held in February 2019. By April of that year, 38 individuals had earned Professional NAAB Appraiser (PNA) status. By the end of March 2020, 63 individuals had been designated PNAs

(Masterclass graduates and Pathway 2 appraisers combined) – a 65% increase in one year, and a notable achievement. With one Masterclass on hold and discussion ongoing for at least one more, together with a number of experienced appraisers still able to apply for designation through Pathway 2, we seem well on our way to establishing a sustainable future for standardized, professional archival monetary appraisal in Canada.

All is not quite equal (yet), however. The statistics for PNAs across the country help illustrate both notable successes, and some significant issues:

Region	Number of PNAs	Percentage of Total
Atlantic Region	14	22
BC & North	3	5
Ontario	24	38
Prairie Region	14	22
Québec	8	13
Total	63	100

Without question, it is clear more PNAs are needed for BC & North; but if we look more closely at the component parts within some regions, other disparities become evident.

What a difference a Masterclass can make. Of the 14 PNAs in the Atlantic Region, 10 are in New Brunswick, and 8 of those, in Fredericton. The primary issue in here is not necessarily one of capacity, but opportunity. Ensuring PNAs have consistent, varied, and regular opportunities to participate in sessions will help ensure everyone can maintain their skill set, and the community of appraisers will develop an understanding of individual expertise. It will serve no one if the same individuals are brought in for every appraisal. As for the other provinces within this region: Newfoundland has one PNA; Nova Scotia, three (two of these, in Halifax). There are currently none in Prince Edward Island.

In Ontario, with 24 PNAs, nine are in Toronto and eight in Ottawa: together with four of the eight Québec PNAs in or near Gatineau, the National Capital Region is well represented. Three of the remaining Québec PNAs are in or near Montreal, and one is in Québec City. On the whole, given its physical size and the complexity and diversity of its archival system, Québec also appears currently underrepresented.

Finally, in the Prairie region: just over half of our PNAs are in Alberta (and the majority of those, in Edmonton). There are currently two PNAs in Manitoba, both in Winnipeg; and four in Saskatchewan, three of whom are in Regina. As with most of this country, distances within this region can be surprising: nearly 1,305 km from Edmonton to Winnipeg, for example; 1,327 km between Calgary and Winnipeg, and anywhere from over 500 to over 700 km between the major cities (travelling interprovincially). Despite reasonable capacity in the region as a whole, putting together a panel can still be costly simply given the likelihood of travel and hotel costs; particularly so for appraisals requiring special expertise, such as audio-visual collections, where capacity nationally is arguably low.

Ensuring a broad base of PNAs will be essential going forward. In Saskatchewan, for example, more experienced appraisers have retired from the profession than have since joined. When considering options for the prairies and other under-represented regions, inter-institutional cooperation may be the most sustainable answer.

Every institution has staff with specific strengths – specialists in audio-visual material; architectural records; electronic records. University librarians, especially those working in Special Collections departments, may have considerable experience with monetary appraisal of rare books and manuscript materials. Strategically assessing various strengths both within an institution and the region as a whole, and actively encouraging those individuals to pursue PNA designation, may be the best way of ensuring a broad skill set is available relatively close at hand. Having institutions recognize the value of sending these individuals to a Masterclass – when they are mid-career – will ensure they get the

training they need; and having institutions actively cooperate with each other in this process of strategic assessment and facilitation of professional development will help ensure a variety of local appraisal skills.

Some PNAs have participated on NAAB panels without charging the per diem fee. This is only possible when they are: still employed; *not* self-employed, as with most bookdealers; and when their institution considers appraisal work to be a net benefit and does not demand the individual use their holiday time to do it. This is relatively rare, but with more and more mid-career archivists becoming PNAs, this may present a more viable opportunity for inter-institutional cooperation.

Institutions benefit when their employees do monetary appraisals. Those employees see how other institutions prepare their finding aids; how they manage everything from donor relations, to accessioning, to internal appraisal, to processing records; they become better reference archivists as a result of seeing what other institutions have; and they can provide better advice to potential donors, by knowing local collection strengths (and gaps in local acquisition strategies). Having institutions recognize this, by enabling their staff to do appraisals for other institutions without charging anything other than travel, meal or accommodation costs, will help make full NAAB sessions more affordable.

At the University of Saskatchewan Archives and Special Collections, all fonds/collections donated for appraisal within the [tax] year are processed for appraisal in a single session, once a year. We have always brought in a full (three-person) NAAB panel for those appraisals. We expect those individuals to bring specific expertise and therefore collectively, a wider range of knowledge to the appraisals; and we expect by working together, the NAAB team will not only be more efficient and more thorough, they will learn from each other and become better appraisers through the process. Between 1985 and 2019 we have had 346 fonds, collections, or their accruals appraised, and of those, have had only two [negative] comments from donors about the evaluation, neither to the extent of requesting another appraisal. We have pursued cultural property designation on behalf of our donors only five times; but all went through without any problems (although in one instance, the evaluation was increased).

NAAB currently lacks the statistics necessary to adequately analyse archival monetary appraisal as it is practiced across Canada. What we have, like the brief summary above, is somewhat anecdotal. We do not know how many in-house or independent appraisals are conducted, or how those appraisals fare if brought before CCPERB for cultural property designation. If certification is unsuccessful or the applications require additional information, it would be helpful to have some understanding of the underlying causes so we can work toward addressing them. NAAB is attempting to work with CCPERB to obtain more detailed information in this regard. How the statistics might change given the work currently underway to standardize training and professional development for appraisers, would be worth knowing.

CALL FOR SUBMISSIONS

The deadline for submitting ideas, articles, and links to online resources for the next edition is **14 September 2020 (for a November publication date)**. We are looking for authors to provide:

- Regular columns or features, particularly on appraising special media;
- Single articles, up to 1000 words in length;
- Profiles on specific auctions or sales precedents;
- Brief news or regional updates; etc.

Content should be practical or theoretical, and can focus on a specific format, appraisal issues, standards, and other subjects of interest. For those who participated in one of the Masterclasses: let us know if there are topics you would

like addressed again, in more depth. Send us your ideas – we want to know what will be of most interest and value to you.

The newsletter is intended to help keep all NAAB associates, affiliates and PNA members up-to-date and well-informed on anything relating to monetary appraisal in Canada. If you are an expert in appraisal – or if you just received your PNA designation – we want to hear from you.

Please contact us at: naabnewsletter@archivescanada.ca

The committee members (in alphabetical order) are:

Cheryl Avery, University of Saskatchewan Archives & Special Collections

Paulette Dozois, PNA, Library and Archives Canada

Evelyn Fidler, PNA, Kings Landing

Sophie Morel, Bibliothèque et Archives nationales du Québec - Trois-Rivières

Simon Rogers, PNA, University of St. Michael's College, University of Toronto

Leah Spafford, PNA, Spafford Books

Lara Wilson, PNA, University of Victoria Archives & Special Collections

NAAB Secretariat & Registrar / Secrétariat et registraire du CNÉA

130 Albert, Suite 1912 Ottawa, ON K1P 5G4

Tel/tél: 613-565-1222

Toll free/Sans frais : 1-866-254-1403

Fax/Télécopieur : 613-565-5445