



Preparing for a NAAB Appraisal

February 2019

When the coordinator (as the first point of contact) receives a request from an institution for one or more monetary appraisals, there are a number of steps involved to prepare for the appraisal.

- The coordinator first assesses the request to determine the locale and dates of the appraisal and requests a general description, at least at the series level, of the collection(s) to be appraised, including extents and media, to ascertain what kind of expertise will be required to carry out the appraisal e.g. photographic, architectural, A-V specialists.
- He/she will appoint a Panel Chair in the region/province in which the institution is located and provide the Chair with the information received from the institution. It is the responsibility of the Panel Chair to appoint the members of the appraisal session based on the expertise required, and to determine how many appraisers may be needed on the panel with a minimum of three but possibly as many as five.
- Before a date is set, the Chair should receive the following information from the institution:
 - A signed donation agreement to ensure that the institution owns the material to be appraised. Note: NAAB appraisals are only carried out if the material has been formally donated. **NAAB will not provide appraisals on potential donations or purchase of records.**
 - An archival appraisal of the donation of records that includes the background and history of the material, significance and relevance of records to the institution. The appraisal report should also indicate whether the donation is an accrual or first time donation. If the donation is an accrual, it should be described in detail as part of the archival assessment. The institution should also provide a copy of the previous appraisal(s) prior to the on-site appraisal or have it available at the time of the on-site appraisal. NAAB's role is to provide a determination of the fair market value; the archival appraisal report is a critical document in assessing its heritage value.
 - A completed finding aid to indicate how the material has been arranged and described to facilitate an appropriate examination of the records.

Appraisers need to know what they are appraising to do a fair and accurate appraisal. A good finding aid saves appraisers' time and institutions' money and helps members of the panel better identify the items of higher value. As much as possible, the finding aid should include an administrative/biographical note, scope and content note, physical extent, significance and **highlights** of the collection. *Appraisers will not be able to view or audition all items in a fonds, therefore a selection of documents within the fonds, representing its strengths and weakness and different genres of documents is helpful.* Large donations that contain photographs should include the number and sizes of each of the main photographic formats e.g. number of 5x7s, 8x10s, 11x14s etc. and also indicate the same should there be any transparencies and/or slides. **Note: Values may differ according to number and sizes of any given format.** Many audio-visual donations contain "published" material such as films, television and radio programs, songs, commercials etc. The same holds true for works of art, cartographic material, medals and objects. As such, they should be described at the item level with a separate condition report.

- A conservation report, if available, that describes the overall condition of the material and highlights any conservation concerns/issues. This is particularly important for photographic and audio-visual documents as technical condition has a major impact on its value.
- Are any of the donations going to the Canadian Cultural Property Export Review Board? If so, request a copy of their Outstanding Significance and National Importance (OSNI) statement.
- Assurance that the institution has the requisite A-V equipment to view CDs, DVDs, audio-cassettes, videocassettes, film etc. that may be part of the donations to be appraised? If the institution has the equipment, it should make qualified staff available to assist in the operation of the equipment, if needed. If not – that material should not be included in the appraisal.
- Assurance that an appropriate space be provided for the panel's work at the institution. This should include a secure space with enough room to accommodate a large table to examine the records, access to wifi, adequate lighting, outlets for recharging devices, measuring tape and gloves for handling the material.

After reviewing the finding aids and consulting with the other members of the appraisal panel, the Chair will determine the number of days required to carry out the appraisal(s) and inform the institution. **The Chair should provide the institution with an estimate of potential costs of the appraisal, taking into account the costs associated with each panel member's per diem, travel**

and related expenses. This estimate should be sent to the institution for their approval prior to actually setting a date for the appraisal session.

Once the members have been selected for the panel session(s), the Chair completes the **Session Authorization** form (See Appendix). This form is required to register the necessary information for the upcoming appraisals and also requires the contact information for everyone participating on the appraisal panel. This should be emailed to the NAAB office at least two weeks prior to the appraisal(s) after which the office will then issue the Chair with a session number which officially registers the appraisal session.

The Chair must include the session number on the **individual expense claim forms** (see Appendix) for each of the appraisers prior to distributing them.

The Chair must review, approve and sign the expense claim form for each of the panel members.

Once the on-site appraisal has been completed, the draft report is prepared by the Chair. Panel members are expected to provide the Chair with their written comments about the appraisal based on their expertise, review of the records on-site and/or the research they have done in preparation for the appraisal session. Information regarding comparable values may also be requested from the panel members. The Chair will use their comments when drafting the report and circulate it to each of the panel members for their review, edits and comments. Except for the description of the records of the donation, appraisers are advised to use their own words when writing appraisal reports and “should not use the institution’s descriptions and commentary.” Panel members are also responsible for checking the numbers/values in the report to ensure that there are no errors in the calculations. The Chair then completes the final report.

When the report is completed, the chair will send a **pdf** copy of the report to the institution, to each of the panel members and to the NAAB office. The Chair is responsible for submitting the report to the institution within a timeframe of 7 to 21 days after the appraisal or as stipulated in an agreement with the archival institution/client.

The panel members should submit their signed expense claim forms and original receipts to the Chair for approval (paper or digital) within 2 days of the conclusion of the session. It is the Chair’s responsibility as to how he/she wants to approve the expenses. The secretariat must receive the original receipts and expense claim forms within 30 days of the session date. Once the original receipts and expense claim forms have been received by the secretariat, NAAB panel members should allow at least 21 days for the cheques to be processed. The Chair will be paid upon receipt of the final report and his/her expense claim form.