



Institute for Development
of Freedom of Information

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Assessment of the Openness of State Archives

Country: **Kazakhstan**

Archival Institution: **Central State Archive of the Republic of Kazakhstan**

Evaluator: **Araylim Mussagalieva, PhD in History, Professor**

The project was funded by the [Open Society Institute Budapest Foundation \(OSI\)](#) and has been implemented by a Georgia-based civil society organization [Institute for Development of Freedom of Information \(IDFI\)](#)

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Methodology for Evaluation of Openness of State Archives (OSA)

Introduction

The public has the right of access to archives of public bodies. Openness of archives is not only an issue related to interests of historians or specialists, but an issue of access to information, which in itself is a human right. The OSA Methodology is envisioned to be universal with the goal of assessing the standards of access to archives, identifying the strengths and weaknesses of the legal frameworks and their enforcement firstly in post-soviet space and then around the globe.

Structure and Logic

The Methodology is composed of 88 indicators, each of which granted different weight and index of social importance.

The Methodology covers all the major components of openness of state archives: from the legislative framework, to access to archival files in the reading room and via online sources, and freedom of access to archival files/records and relevant databases (online sources, catalogues, inventories, etc.).

The selection of indicators for the Methodology was largely based on the principles of access to archives adopted by the International Council on Archives (ICA) that elaborated the following general principles:

- Archives and archivists should promote the widest possible access to archival materials and provide an impartial service to all users.
- Archives and archivists should respect both access to information and privacy, and act within the boundaries of relevant legislation.
- Institutions holding the archival fonds ensure that restrictions on access are clear and of stated duration, are based on pertinent legislation, acknowledge the right of privacy, and respect the rights of owners of private materials.
- The access rules apply equally to all individuals without discrimination. When a closed file is reviewed and access to it is granted to a member of the general public, the file is available to all other members of the public under the same terms and conditions.

Various best practices were also reviewed: the analytical report „Open Access to KGB Archives: Ukraine’s Experience for Eastern Partnership Countries” („Открытый доступ к архивам КГБ: Украинский опыт для стран восточного партнерства“), a guide-book „Right for the Truth“ („Право на правду“), as well as other best practices and adopted documents. We also analyzed all the archival and other relevant laws in each country to be evaluated.

The documents and standards mentioned above do not contain methodologies or indicators for evaluating archives; this we elaborated through cooperation with our partners. **The resulting methodology is unique by its essence.** All the indicators have been properly referenced.

During the indicator selection and elaboration process, an effort was made to ensure that our Methodology could be used for all state archives in the target states. The Methodology and its

indicators were elaborated with the active participation of the organizations and independent experts, who have the most expertise and experience in given area.

The indicators are divided into five groups (benchmark indicators) that represent the key characteristics of a well-functioning system of open access to the state archives in post-soviet countries. These groups are:

1. Homogeneity of the legislative framework:
 - 1.1 General archival legislation;
 - 1.2 Other legislation referring to FOI and archives;
 - 1.3 Archive services;
2. Website: Archive websites and distant and online services;
3. Reading room: Services and procedures for the researchers physically working in the archives.

Limitations

Access to archives varies significantly by country. The OSA Methodology is intended to be applicable on a global scale, meaning that the indicators cannot be too specific and cannot cover all the possible variations and exceptions.

About the Project

The Methodology has been developed within the framework of the project - [Enhancing Openness of State Archives in Former Soviet Republics](#).

The project was funded by the Open Society Institute Budapest Foundation (OSI) and has been implemented by a Georgia-based civil society organization [Institute for Development of Freedom of Information \(IDFI\)](#) on its initial stage together with the nine partner organizations or/and individual experts from each country in the Eurasian region covered by the project:

- Armenia - Hranush Kharatyan, [NGO „Hazarashen“ Armenian Center for Ethnological Studies](#), Researcher
- Azerbaijan – Eldar Zeynalov, Human Rights Center, Director, Journalist
- Belarus - Dmitriy Drozd, [Belarusian Documentation Center](#), Researcher
- Georgia: Anton Vatcharadze, [Institute for Development of Freedom of Information \(IDFI\)](#), Researcher
- Kazakhstan – Araylim Musagallieva, Eurasian National University, Professor
- Kyrgyzstan – Nurbek Toktakunov, [Partner Group „Precedent“](#), Director
- Moldova - Igor Casu, Center for Study of Totalitarian Regimes and Cold War, State University of Moldova, Historian
- Russia –Lawyer
- Ukraine – Ihor Chernichenko, [Kharkiv Human Rights protection Group](#), Historian
- Uzbekistan - Historian

In its initial stage, the project - [Enhancing Openness of State Archive in Former Soviet Republics](#) covers only the Eastern Partnership (EaP) Region, Russia, and some of the Central Asian states; however, we are planning to scale the methodology up to larger regions in the future. Due to a large number of archives in some countries (e.g. Russia, with 15 state archives on the federal level) not all the archives are evaluated in the above countries. We will continue to evaluate the archives that have not been evaluated at the first stage of the project in the future.

Scoring System

Indicators included in the OSA Methodology are granted different weight and provided by index of social importance, which is measured by one of the four qualitative indicators (4, 3, 2 or 1). Such indexes will show the importance of the indicator and its influence on the openness of archives.

Each indicator can be evaluated by the interim score from 0 to 1 points, depending on the completeness of the answer, or the indicator cannot be applied to the given archive:

1. Gives a complete answer to the question - maximum 1 point.
2. Gives a high quality answer to the question - 0.75
3. Gives a medium quality answer to the question - 0.5
4. Gives a low quality answer to the question - 0.25
5. Does not answer the question – 0
6. The indicator cannot be applied to the given archive – (-)

The final score of each indicator is calculated by multiplying its interim score by its social importance index.

For instance, if the indicator's social importance index is 4 and its interim score is 0.75 points, the final score of the indicator will be 3.

With a total of 88 indicators, openness of a state archive is rated on the scale of 0 to 257. The points will be converted to percentages for easier understanding and visualization.

At the same time, we are keeping in mind that not all the indicators can be applied to each state archive we are assessing. For example, if we are assessing archives which do not contain any fonds or files on repressive state institutions, we will not deduct points for non-relevant indicators. In such cases, the final result and the percentage will be calculated based only on relevant indicators.

Each scoring component is evaluated separately.

This scoring system and the structure of the methodology allows us to represent the results in two ways:

1. **Results by Separate State Archives** – Each archive will be assessed with the relevant indicators. The results will be converted in percentages and the average result will be calculated.
2. **Country Overall Results and Rating** – The country overall results are represented using percentages (0-100%). Countries are then ranked by their overall results.

Visualization

Visualizing the results of the assessment is crucial to the goal of the methodology. For this purpose, the overall points received by each country shall be shown graphically using the scale of 0-100%, divided into 4 quarters of a specific color:

- Low compliance with the OSA Standards – 0% to 25% (red)
- Average compliance with the OSA Standards – 26% to 50% (orange)
- Good compliance with the OSA Standards – 51% to 75% (yellow)
- Excellent compliance with the OSA Standards – 76% to 100% (green)

Visualizations will also include spider graphs depicting the countries' results by benchmark indicators and multi-colored bar graphs for comparing the countries' results in defined categories.

Terminology

This methodology uses universally accepted archival terminology as well as a few terms of its own design, in order to make the key distinctions easier. This terminology was adopted and put online by the ICA ([see this link](#)). Because of the specifics of the post-soviet archives and in order to avoid misunderstanding in some of the terms, we made our glossary bilingual, in English and Russian.

1. **Archive(s)** – Refers to the archival institution, rather than the archival holding.
1) An organization or place that collects, keeps and makes available for usage the records (archival documents). Also referred as archival repository. 2) Agency or program responsible for selecting, acquiring and preserving archives, making them available, and approving destruction of other records.
Архив(ы) – Имеется в виду скорее архивное учреждение, чем массив архивных документов. 1) Архив может представлять собой организацию или место, где хранятся и доступны для пользования архивные документы. Так же называют архивохранилищем. 2) Архив может представлять собой организацию или компьютерную программу, которые обеспечивают отбор архивных документов на хранение, комплектование и обеспечение сохранности архивного фонда, предоставление доступа к архивным документам.
2. **National Archival Fonds** – Historically developed and constantly filled up set of the archival documents which are reflecting material and spiritual life of society, having historical, scientific, social, economic, political and cultural value and is subject to continuous storage.
Национальный Архивный Фонд – Исторически сложившаяся и постоянно пополняемая совокупность архивных документов, отражающих материальную и духовную жизнь общества, имеющих историческое, научное, социальное, экономическое, политическое и культурное значение, подлежащих постоянному хранению.
3. **Archival fonds (record group)** – The entire body of records of an organization, family, or individual that have been created and accumulated as the result of an organic process reflecting the functions of the creator.
Архивный фонд – Общая совокупность архивных документов, находящихся на хранении в архиве или другом документохранилище.

4. **File** – A record or group of records related by use or topic, typically housed in a folder.
Дело – Архивный Документ или совокупность архивных документов, относящихся к одному вопросу или участку деятельности, помещенных в отдельную папку.
5. **Record** – Single document created or received by a person, family, or organization, public or private, in the conduct of their affairs that are preserved because of the enduring value contained in the information they contain or as evidence of the functions and responsibilities of their creator. In this methodology, it refers to the records that are exclusively paper-based (text on paper) and not electronic formats, photographs, motion pictures, videos, sound recordings and other that generally refers to an archival record.
Архивный документ – Единый документ, созданный или полученный лицом, семьей или организацией, публичной или частной, в ведении своих дел, которые сохраняются из-за непреходящей ценности, содержащейся в содержащейся в них информации или в качестве доказательства функций и обязанностей их создателя. В этой методологии это относится к записям, которые являются исключительно бумажными (текст на бумаге), а не электронными форматами, фотографиями, кинофильмами, видеороликами, звукозаписью и другими, что обычно относится к архивной записи.
6. **Copy** – A document that arises as a result of the reproduction of the information of the record with the change or replacement of the medium, accurately reproducing the content, all or part of the external features of the record.
Копия документа – Документ, возникший в результате воспроизведения информации архивного документа с изменением или заменой носителя, точно воспроизводящий содержание, все или часть внешних признаков архивного документа.
7. **Finding Aid** – A set of archival reference books and accounting documents (the list of the fonds, inventories, fonds reviews, catalogs, indexes, etc.) that provide a search for the information included in this fonds and accounting of its records.
Научно-справочный аппарат к архивному фонду – Совокупность архивных справочников и учетных документов (лист фонда, описи, обзоры фонда, каталоги, указатели и т.д.), обеспечивающих поиск включенной в данный фонд информации и учет входящих в него архивных документов.
8. **Guide book** – A finding aid giving a general account of all or part of the holdings of one or several archives, and/or manuscript repositories. A guide is usually arranged by fonds, record/archive group, or collection and classes or series therein.
Путеводитель по фондам Архива – Архивный справочник, содержащий в систематизированном порядке характеристики или краткие сведения об архивных фондах и предназначенный для ознакомления с его составом и содержанием. Справочник, содержащий общие сведения обо всех или части документов одного или нескольких архивов и/или хранилищ рукописей. Путеводитель обычно составлен в соответствии архивными фондами, архивными документами/группой документов, или коллекциями, подразделяющимися на классы или серии.
9. **Inventory** – Reference and accounting document containing a systematic list of files of the archive fonds, intended for disclosure of their content and accounting.
Опись – Справочный и учетный документ, содержащий систематизированный перечень дел архивного фонда, предназначенный для раскрытия их содержания и учета.
10. **Access to the archive** – The right, opportunity or means of finding, using or approaching documents and/or information (or a system of archives). Access may also be affected by the physical state of the materials, or the need to conserve them.

- Доступ к архивным документам** - Предусмотренные нормативными актами право, возможность и средства поиска, использования документов архива или/и информации (или системы архивов). На доступ может также влиять физическое состояние материалов или необходимость их сохранности.
11. **Researcher** –Any physical person, domestic or a foreign citizen, who applied for the access to the Archive’s reading room or is using the data published by the Archive online for the scientific, personal or other purpose not prohibited by law.
Исследователь –Любое физическое лицо, гражданин страны или иностранец, обратившийся за доступом в читальный зал Архива или использующий данные, опубликованные архивом онлайн в научных, личных и других, не запрещенных законом целях.
 12. **Usage of archival data** – Application of information of records in cultural, scientific, political, economic targets and for ensuring legitimate rights and the interests of citizens.
Использование архивных данных - Применение информации архивных документов в культурных, научных, политических, экономических целях и для обеспечения законных прав и интересов граждан.
 13. **Social and legal notices from the Archive** – Documents issued by the archive of birth, death, marriage, divorce, repression, rehabilitation, reward, professional-technical, secondary and the higher education, academic degree, registration and the cancellation of registration of a citizen to a concrete address, change of name, surname and nationality e.t.c..
Социально-правовые уведомления из архива – Документы выданные архивом о рождении, смерти, браке, разводе, репрессии, реабилитации, вознаграждении, образовании / ученой степени, регистрации / отмены регистрации гражданина по конкретному адресу, изменении имени, фамилии или гражданства и. т. д.
 14. **Property notices** – Documents issued by the archive confirming the property right.
Уведомления о собственности –Документы, выданные архивом, подтверждающие право собственности.
 15. **Declassify** – To make records that have been restricted for reasons of national security accessible to individuals without security clearance.
Рассекретивать – Снимать гриф секретности и связанные с ним ограничения в доступе к архивным документам.
 16. **Personally identifiable information** – Information that a) can be used on its own or with other information to identify, contact, or locate a single person, or b) to identify an individual in context.
Персональные данные–Любая информация, которая а) может быть использована для идентификации того субъекта персональных данных, к которому она относится, либо б) которую возможно прямо или косвенно связать с субъектом персональных данных.
 17. **Day** – In the context of this methodology a day implies a working day.
День – В контексте данной методологии, один рабочий день.
 18. **Repressive state institutions** – State institutions which implemented the repressive actions.
Система репрессивных органов – Государственные учреждения которые проводили репрессивные действия.
 19. **FOI** – Freedom of Information/ Свобода Информации.

Methodology Indicators

1.1 General archival legislation

#	Social Importance Index	Indicator	Final Score	Relevant Article from the Law (if applicable)
1.1.1	4	<p>Access to archival fonds (files and records) is granted equally to any researcher – both foreign and domestic citizens</p> <p>a) Yes - 1 b) The Archive has unequal conditions of access with the advantage for the domestic citizens – 0.25</p>	<p>Answer: a) Score: 4</p>	<p>Law of the Republic of Kazakhstan On National Archive Fond and Archives (22 December, 1998), Article 25. The right of access to the archives for foreigners and stateless persons: 1. Foreigners and stateless persons shall use the archive documents on the same basis, as citizens of the Republic of Kazakhstan.</p>
1.1.2	4	<p>Access to the reading room is:</p> <p>a) Unrestricted, any researcher can use the reading room – 1 b) The Archive limits access of researchers to the reading room based on the principle of equal treatment guaranteed by law – 0.5 c) The Archive limits access of researchers to the reading room at its discretion and provides a written substantiation of this decision – 0.25 d) The Archive limits access of researchers to the reading room at its discretion without providing substantiation – 0</p>	<p>Answer: a) Score: 4</p>	<p>Law of the Republic of Kazakhstan On National Archive Fond and Archives (22 December, 1998), and Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000) provide equal access to the reading hall to all researchers.</p>
1.1.3	4	<p>Access to the Archive reading room procedures:</p> <p>a) Domestic and foreign citizens enjoy equal rights to access the Archive reading room – 1 b) In order to access the reading room, foreign citizens have to submit certain paperwork in</p>	<p>Answer: b) Score: 3</p>	<p>Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000) Point 2. Procedure of registration of researches, 2.1. Permit to access the archival fonds and documents, as well as to work in the reading hall of a state archive for the citizens of Kazakhstan is provided by</p>

		<p>addition to what is demanded from domestic citizens - 0.75</p> <p>c) According to the subordinate legal act, the waiting time to get access to the reading room for foreign citizens is longer, than for domestic ones - 0.5</p> <p>d) The Archive provides foreign citizens with unequal conditions of access to the reading room, by the principles mentioned in both <i>b</i> and <i>c</i> points of this section - 0</p>		<p>the administration of the archive, and to other persons – by the Committee of Archive Management and Documentation or by the archival management authorized body.</p>
1.1.4	4	<p>Upon turning down a request to access archival fonds and finding aid:</p> <p>a) The Archive provides a written substantiation – 1</p> <p>b) The Archive provides only with oral substantiation - 0.25</p> <p>c) The Archives does not provide any substantiation – 0</p>	<p>Answer: a) Score: 4</p>	<p>Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of public bodies and private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), Paragraph 9. Procedure of providing documents in the reading hall and for short term use: The refusal to provide the required document(s) should be issued in written format with indication of a reason(s) to refuse.</p> <p>Regulations of acquisition, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), Paragraph 6. Procedure of providing access to the archival documents: “...Access to and using the mentioned records can be allowed only in exclusive cases with the written permission of the head of the archive. The archive provides the user with the copies of the mentioned documents (fond for using) or documented publications containing these documents.</p>

1.1.5	3	<p>Do individuals with unserved or unacquitted conviction have access to the Archive:</p> <p>a) Yes – 1 b) Only individuals with unserved or unacquitted conviction for serious crime or felony have restricted access to the Archive- 0.75 c) No - 0</p>	<p>Answer: a) Score: 3</p>	<p>The Law On National Archive Fond and Archives, Article 16. Restrictions to use the documents of the National Archive Fond: 2. Minors, as well as persons recognized as legally incapable or having limited legal capacity by the court, are not allowed to use the archival documents.</p>
1.1.6	3	<p>Differences in terms of access depends on whether the organization (e. g. university) is asking for access or an individual:</p> <p>a) No differences – 1 b) The difference in terms of access depends on whether it is a state body or an NGO – 0,5 c) Different – 0</p>	<p>Answer: a) Score: 3</p>	<p>According to the Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of public bodies and private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), and to the Regulations of acquisition, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), there is no difference.</p>
1.1.7	4	<p>Access to archival fonds' records (originals or copies) only for getting insight in the reading room or website:</p> <p>a) is free of charge – 1 b) is free of charge for digital copies, but paper copies require payment – 0,5 c) is not free of charge – 0</p>	<p>Answer: a) Score: 4</p>	<p>Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000) 3. Access procedure to the archival fonds and documents 3.1. The State archive provides free access to the archival fonds and documents on the required topic, to the finding aid and the reference editions and the relevant technical equipment for looking through and reading.</p>
1.1.8	4	<p>The Archive has the discretionary authority to refuse access to any file/fonds or finding aid (except for classified files or those containing legally protected personal information):</p>	<p>Answer: a) Score: 4</p>	<p>Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic</p>

		<p>a) The Archive grants access to any file or finding aid – 1</p> <p>b) The grounds for restricting access to files or finding aid are granted to the Archive by the law – 0.75</p> <p>c) The grounds for restricting access to files or finding aid are granted to the Archive by a subordinate legal act (order of the head of the archive) – 0</p>		<p>of Kazakhstan, December 22, 2014), Paragraph 8. Procedure of fulfilling users' requests. 316. The Archive provides open (not classified) archival records, relevant finding aids and the library reference editions of the fonds.</p> <p>Regulations of acquisition, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), Paragraph 6. Procedure of providing access to users to the archival documents 441. The Archive provides open (not classified) archival records, relevant finding aids and the library reference editions of the fonds.</p>
1.1.9	2	<p>The law or subordinate legal act list the restrictions to accessing the reading room or archival fonds/files and define the relevant terms (except for classified files or those containing legally protected personal information):</p> <p>a) Yes – 1</p> <p>b) No – 0</p>	<p>Answer: a) Score: 2</p>	<p>The restrictions are listed in: the Law On National Archive Fond and Archives; Regulations of receipt, storage and use of the records of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014);</p> <p>Regulations of acquisition, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014).</p>
1.1.10	2	<p>The Archive allows other public institutions, private organizations and citizens to use its files/records for exhibition or other purposes that do not endanger the physical condition of the files/records:</p>	<p>Answer: a) Score: 2</p>	<p>Regulations of receipt, storage and use of the records of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014);</p>

		<ol style="list-style-type: none"> 1) The Archive allows other public institutions to use the originals and copies of its files/records. 2) The Archive allows other public institutions to use only copies of its files/records. 3) The Archive allows private organizations to use the originals and copies of its files/records. 4) The Archive allows private organizations to use only copies of its files/records. 5) The Archive allows natural persons to use the originals or copies of its files/records. 6) The Archive allows natural persons to use only copies of its files/records. <ol style="list-style-type: none"> a) The law or subordinate legal acts allow actions of all 6 categories – 1 b) The law or subordinate legal acts allow only actions of the categories 1 - 4 – 0.75 c) The law or subordinate legal acts only allow actions of the categories 1 - 2 – 0.5 d) The law or subordinate legal acts do not allow any of the above actions – 0 		<p>Paragraph 10. Procedure of using the documents in Media. 358. The Archive of the institution regulates the use of documents when preparing Media activities, exhibitions and publications in Media. This activity can be organized/done by the Archive on its own or together with another institution or a state archive. The original documents or their copies can be used in an exhibition as well as albums, posters and diagrams can be made.</p> <p>Regulations of acquisition, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), Paragraph 11. Procedure of preparing exhibitions and publications of the archival records. 481. The Archive arranges preparation and holds exhibitions of the archival records independently or together with another archive(s) or organization(s).</p>
1.1.11	3	<p>Responsibility for the illegal usage of the personal data lies:</p> <ol style="list-style-type: none"> a) Only upon the Researcher, who is using the personal data illegally - 1 b) The Archivist and the Researcher, who is using the personal data illegally, share the responsibility – 0.5 c) Only upon the Archivist - 0 	<p>Answer: b) Score: 1.5</p>	<p>Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), 317. Archival documents of restricted access are: <...> 3) archival documents, whose owners or holders established restricted access on their usage. Access to such documents, databases and their usage is limited according to the legislation of the Republic of Kazakhstan and conditions that were stated by the owners or the possessors</p>

				<p>of the archival documents when they rendered them to the Archive. Only the head of the Archive can issue the written permit to access such documents and to use them. The head of the Archive, who issued the written permit, bears responsibility for the illegal usage of the documents together with the user.</p> <p>Regulations of acquisition, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), 317. Archival documents of the restricted access are: <...> 3) archival documents, whose owners or holders established restricted access on their usage. The access to such documents, databases and their usage is limited according to the legislation of the Republic of Kazakhstan and conditions that were stated by the owners or the possessors of the archival documents when they rendered them to the Archive. Only the head of the Archive can issue the written permit to access such documents and to use them. The head of the Archive, who issued the written permit, bears responsibility for the illegal usage of the documents together with the user.</p>
1.1.12	2	<p>Declassified fonds, files or records that have been already published (with accordance to the Law or subordinate legal act) may not be re-classified:</p> <p>a) No - 1 b) Yes - 0</p>	<p>Answer: b) Score: 0</p>	<p>The prohibition to re-classify is not mentioned in any law, but in practice there has been no case of re-classification of already declassified documents.</p>
1.1.13	4	<p>Declassified fonds, files, or records that have not been published may be re-classified:</p> <p>a) May not be reclassified – 1</p>	<p>Answer: b) Score: 2</p>	<p>The prohibition to re-classify is not mentioned in any law, but in practice there has been no case of re-classification of already declassified documents.</p>

		<p>b) Can be re-classified, according to the law, if it is necessary to defend the fundamental human rights, freedoms and legal interests, for violated rights rehabilitation and to avoid causing harm to the human health and security – 0,5</p> <p>c) May be reclassified – 0</p>		<p>Can be re-classified, according to the law, if it is necessary to defend the fundamental human rights, freedoms and legal interests, for violated rights rehabilitation and to avoid causing harm to the human health and security.</p>
1.1.14	4	<p>Formerly classified fonds, files, or records cannot be destroyed:</p> <p>a) Cannot be destroyed – 1</p> <p>b) Can be destroyed – 0</p>	<p>Answer:</p> <p>a)</p> <p>Score: 4</p>	<p>The Law On National Archive Fond and Archives, Article 6. Procedure for referring the documents, archives, archival funds and collections to the composition of the National Archival Fund, establishing the sources of its formation and replenishment</p> <p>1. Classification of documents, archives, archival funds and collections to the composition of the National Archival Fund, establishing sources of its formation and replenishment, as well as their exclusion from the composition of the National Archival Fund shall be made on the basis of the state examination of the value of documents.</p> <p><...> 4. Destruction of documents of the organizations is not allowed - the sources for formation and replenishment of the National Archival Fund that are: 1) in the republican ownership, without the consent of the authorized body.</p> <p>The former secret fonds are the part of the National Archival Fonds and have been persistently stored, therefore it is almost impossible to destroy them. The modern authorized bodies do not want to take such responsibility. A similar situation has occurred at the Archive of the President of Kazakhstan.</p> <p>Quotation from the guidance of the Archive of the President of Kazakhstan: “In 2001-2015 the Archive has extended the list of the sources of acquisition of the provenances and replenished its</p>

				<p>storage with the new fonds of the modern institutions and state bodies. In this period the compound, content and amount of the archival documents had changed. As a result of a target examination, the 708 files of the Central Committee of the Communist Party of Kazakhstan that had been selected to be destroyed were recognized as the documents that reflect the important historical events, restored to the state custody and were provided with the special inventories.”</p>
1.1.15	4	<p>Upon the termination of the statutory period, the archival fonds becomes declassified by the Archive itself, established committee or other authorized body:</p> <ul style="list-style-type: none"> a) Right away after the termination of the statutory period - 1 b) Based on the request of a citizen or a legal entity - 0.5 	<p>Answer: a) Score: 4</p>	<p>Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), Paragraph 5. Procedure of evaluation of scientific-technical documentation. <...> The list has to be done every 5 years by the Committee on evaluation of the documents.</p> <p>Paragraph 5. Procedure of inspection of presence and condition of the documents</p> <p>142. Inspection of presence and condition of the documents has to be done every 5 years as well as before handing them to a state archive custody.</p> <p>Regulations of acquisition, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), Paragraph 6. Procedure of keeping record and checking the physical state of the archive documents, Article 146. Check-up of presence and the physical state of the archive documents is</p>

				<p>necessary for establishing the actual presence of the stored documents, detecting the absent ones for initiating their search, detection and elimination of the defects in record keeping, detection and consideration of the documents that need repairing, preservation, prophylactic and technical processing.</p> <p>147. Check-up of presence and the physical state of the archive documents should be done according to the agenda:</p> <ol style="list-style-type: none"> 1) documents of the National Archive Fonds that are considered as objects of national cultural asset of the Kazakh Republic – every year; 2) paper based documents of particular value – every 10 years; 3) audio, visual and digital documents – every 5 years; 4) Film (nitrobased) documents – every 2 years. <p>Check-up cycle of presence of other archival documents is defined based on the decision of the expert methodical committee (or another consultative body) of the Archive, depending on how intensively they have been used and how well the record of the archival documents have been kept, but not less than once every 20 years, and in the state archives of the districts, cities, branches of the archives – every 10 years.</p> <p>Presence and physical condition of the secret archival documents is done according to the procedure stipulated for the secret archival documents.</p>
1.1.16	4	<p>Classification of the fonds, files, or records after the termination of the statutory period:</p> <ol style="list-style-type: none"> a) Cannot be prolonged - 1 b) Can be prolonged on the special occasions defined by law - 0.5 c) Can be prolonged according to the subordinate legal act 	<p>Answer:</p> <p>b)</p> <p>Score: 2</p>	<p>Law of The Republic of Kazakhstan About the state secrets (March 15, 1999) Article 20. Procedure and terms of classification of information and its carriers</p> <p>3. Term of classification of information, constituting state secrets, shall not exceed thirty years. In exceptional cases, this period shall be extended under the conclusion of the</p>

		(the order of the Director of the Archive or similar) – 0		authorized state body for the protection of state secrets.
1.1.17	1	<p>National legislation doesn't recognize the concept of 'Secret Archives' or 'Secret fonds', without making available for researchers information about them and the finding aid:</p> <p>a) No – 1 b) Yes – 0</p>	<p>Answer: b) Score: 0</p>	<p>Law of The Republic of Kazakhstan About the state secrets (March 15, 1999)</p> <p>Article 17. Information, that is not subject to classification 1. Information cannot be classified as secret about: ...11) the mass repression for political, social and other reasons, including those located in the archives, with the exception of the information provided for in Article 14 of this Law.</p>
1.1.18	3	<p>It is inadmissible by law to hide the existence of classified records:</p> <p>a) Yes – 1 b) The law does not contain a relevant provision – 0.75 c) Admissible, according to the level of access – 0.5 d) No – 0</p>	<p>Answer: d) Score: 0</p>	<p>Law of The Republic of Kazakhstan On National Archive Fond and Archives Article 15. Guarantees of the rights and interests of individuals and legal entities to use documents of the National Archival Fund</p> <p><...> 2. Documents that are in the state archives of the Republic of Kazakhstan and their branches, as well as information system to them are opened for public use in a year after their arrival in the state archives and branches.</p> <p><...> 4. Individuals and legal entities of the Republic of Kazakhstan shall have the right to use the documents of the National Archival Fund that are open for use and stored in state and departmental archives and their branches free of charge.</p> <p>Example: "The Archive also has secret fonds. According to the Order of the People's Commissariat for Internal Affairs 'On measures for improving the administration of the Prisoners of War Camps NKVD' (February 24, 1943) the Administration of the camps for the prisoners of war was established in Kazakhstan. The analysis of the Archive gives us the ground to assume that the files of this body were stored in the fond 1390c "Section of Prisoners of War" of the Central State Archive of the Republic of Kazakhstan. But today there is no information in the Archive</p>

				<p><u>about this fond. Neither number of this fond, nor information about it is mentioned in the archival guide.</u> We are inclined to think that either this fond has not been declassified yet, or it was handed over to the special archives of the so called "structures of force".</p>
1.1.19	2	<p>The Archive provides social and legal notices from the records included in the fonds of the repressive state institutions:</p> <p>a) Provides for everyone - 1 b) Provides only to the relevant individual, his / her lawful representative or a relative – 0.75 c) Provides for everyone, but using restrictions (e. g. only from the cases of those, who have been rehabilitated) – 0.5 d) Doesn't provide – 0</p>	<p>Answer: b) Score: 1.5</p>	<p>Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), Paragraph 8. Procedure of fulfilling the requests of the users <...> 3) to the requests on social and legal issues. This includes requests to corroborate employment history and wage, age, members of family, education, awards, transfer of pension contributions and social tax, degrees and ranks, about accidents, undergoing medical treatment, evacuation, being the victim of repression, rehabilitation, military service, living in a zone of ecological disaster, imprisonment; documents proving the civil status act must be provided only to the person, who is the subject of the information needed, his/her legal representative or relative.</p> <p>Regulations of acquisition, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), Paragraph 7. Procedure of fulfilling the users' requests. 454. Requests on social and legal issues are to fulfilled by the Archive free of charge in terms stipulated by the legislation of Kazakh Republic. When fulfilling the next</p>

				request on social and legal issues or compiling an archive notice by the user's request by analogy to the previous one, the Archive has to verify that the information from this notice corresponds with the information from the other archival documents, and in case any new information is discovered includes it into the requested notice.
1.1.20	4	<p>Files and records of the repressive state institution's fonds are accessible in the reading room for any researcher:</p> <p>a) Yes – 1 b) No – 0</p>	<p>Answer: a) Score: 4</p>	<p>Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), 347. The archive of an institution provides to the researchers in the reading hall the open documents that have been registered and scientifically and technically processed and that have a guidance or other finding aids. Unregistered and unprocessed documents cannot be given to the researchers in the reading hall. 348. The Archive can refuse of postpone providing the requested document in the following cases:</p> <p>1) if it is in a poor physical condition; 2) usage restrictions, established by the legislation of the Republic of Kazakhstan or the provenance institution while handing the documents over to custody;</p> <p>If the fonds of the repressive state institutions are considered opened sources – then they available.</p> <p>Regulations of acquisition, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), 347. The archive of an institution provides to the researchers in the reading hall the open documents that</p>

				<p>have been registered and scientifically and technically processed and that have a guidance or other finding aids. Unregistered and unprocessed documents cannot be given to the researchers in the reading hall.</p> <p>442. Archive records with limited access are: 1) archive records containing state secrets or other secrets protected by the legislation of the Kazakh Republic; 2) archive records containing information about personal and family life of an individual, his/her private life as well as information that can endanger him/her; 3) archival records, whose owners or possessors stipulated the conditions of access to them in the agreement of transferring them to the Archive. Access to and using the mentioned records can be allowed only in exclusive cases with the written permission of the head of the archive. The archive provides the user with the copies of the mentioned documents (fond for using) or documented publications containing these documents.</p> <p>If the fonds of the repressive state institutions are considered opened sources – then they available.</p>
1.1.21	4	<p>The law prohibits classifying of fonds (neither full, nor partial), files, or records held by the repressive state institutions:</p> <p>a) Prohibited by law – 1 b) Prohibited by a subordinate legal act – 0.75 c) There is no information on this in the law or subordinate legal acts - 0.25 d) Allowed by law or subordinate legal act – 0</p>	<p>Answer: c) Score: 1</p>	<p>There is no information on this in the law or subordinate legal acts.</p>
1.1.22	1	<p>After attaching a file or record to the archive fonds, a natural or legal person is obligated to transfer this file or record to the archive or other entity</p>	<p>Answer: a) Score: 1</p>	<p>Law On National Archival Fonds and Archives Article 7. Guarantees and protection of property rights on the documents of the National Archival</p>

		authorized to store the national archive fonds: a) Is not obligated if it meets the terms of storage – 1 b) Is obligated – 0.25		Fund <...> 8. Transfer of the ownership to the state on the documents of individuals and non-state legal entities shall be made by agreement of the parties. Individuals can set term limits of access to them for no more than 70 years since the transfer to the archive.
1.1.23	2	The legislation recognizes the existence of private archives and provides the protection and autonomous management of their records: a) Recognizes, but does not have control over their activity – 1 b) Recognizes, but has control over their activity – 0,5 c) No – 0	Answer: b) Score: 1	Law On National Archival Fonds and Archives Article 1. Basic definitions, used in this Law <...> 14) private archive - an institution or a structural unit of the non-state legal entity, performing collection, storage, use of the documents of the National Archival Fund, as well as the documents that are not included in its composition, or archive of an individual, arising from his (her) activities, collection (acquisition) of documents <...> Article 18-1. State control over the preservation of documents related to the composition of the National Archival Fund and stored in private archives 1. The State control over the preservation of documents related to the composition of the National Archival Fund and stored in private archives shall be carried out in the form of checks and other forms.
Maximum amount of points to receive in benchmark indicator group N1.1: 72 Amount of points relevant to the current archive: 72 Received points: 55 Percentage (%): 76.39%				

1.2 Other legislation in the country related to the freedom of information and archives [Law on Personal Data Protection and other similar legislative acts]

#	Social Importance Index	Indicator	Final Score	Relevant Article of the Law (if applicable)
1.2.1	4	It is forbidden to classify as a state secret a file or a record that has information about the violation or restriction of human fundamental rights, freedoms and legitimate interests, or about obstruction of rehabilitation of these rights, as well as	Answer: a) Score: 4	Law On State Secrets (15 March, 1999), Article 17. Information, that is not subject to classification, 1. Information cannot be classified as secret about: ...11) the mass repression for political, social and other reasons,

		<p>harm to human health and security:</p> <p>a) Yes – 1 b) No – 0</p>		<p>including those located in the archives, with the exception of the information provided for in Article 14 of this Law</p> <p>Article 14. Information, in the field of intelligence, counterintelligence, operational and investigative and other activities, qualified as the state secrets of the Republic of Kazakhstan</p>
1.2.2	3	<p>Access to records containing personal data, personal or/and family secrets, data about private life or containing threats to the person’s security since the moment of their creation is granted after a period of:</p> <p>a) 50 years or less – 1 b) 51-74 years – 0.75 c) 75-99 years – 0.5 d) 100 years or more – 0.25</p>	<p>Answer: b) Score: 2.25</p>	<p>Law On National Archival Fonds and Archives, Article 7. Guarantees and protection of property rights on the documents of the National Archival Fund <...> 8. Transfer of the ownership to the state on the documents of individuals and non-state legal entities shall be made by agreement of the parties. Individuals can set term limits of access to them for no more than 70 years since the transfer to the archive.</p>
1.2.3	3	<p>A period of time since the individual’s death, after which access to the records containing his/her personal data, including personal or/and family secret data about private life or containing threats to the person’s security, is granted after:</p> <p>a) 30 years or less - 1 b) 31-50 years - 0.5 c) 50 more than 50 years - 0</p>	<p>Answer: c) Score: 0</p>	<p>Law On State Secrets, Article 23. Procedure for declassification of the carriers of information, constituting state secrets 2. <...> Heads of the state archives of the Republic of Kazakhstan shall be empowered to declassify the carriers of information, constituting state secrets of the Republic of Kazakhstan that stored in the closed funds of these archives, in the case of delegating to them such powers by the organization - author or its legal successor. In the case of liquidation of the organization - author and in the absence of its successor, the issue of the order for declassification of the carriers of information constituting state secrets, shall be considered by the authorized state body for the protection of state secrets.</p> <p>Records containing personal data are stored in the Archive and the terms of keeping them classified is decided by the head of the Archive. Since these documents are considered as</p>

				the documents with the limited access to, we refer to this Law.
1.2.4	3	<p>Information containing personal data, including personal or/and family secret, will be made publicly available before the legally defined period in case of death of this person, if this information is going to be used for historical, statistical, or other scientific research purposes:</p> <p>a) The information is declassified and made available – 1</p> <p>b) The information is declassified and made available only upon approval of a legal heir – 0.5</p> <p>c) The information remains classified until the expiration of the legal period – 0</p>	<p>Answer: b) Score 1.5</p>	<p>Law On National Archival Fonds and Archives, Article 16. Restrictions in the use of documents of the National Archival Fund 3. Using of archive documents, which preserves the right of owners to restrict access, is possible only with their consent or the consent of their successors (heirs).</p>
1.2.5	2	<p>Usage of records containing personal data, including personal or/and family secret that is subject to wide public interest is allowed for historical, statistical, or scientific purposes if the person cannot be identified:</p> <p>a) Yes – 1</p> <p>b) No – 0</p>	<p>Answer: b) Score: 0</p>	<p>Law On National Archival Fonds and Archives, Article 16. Restrictions in the use of documents of the National Archival Fund 3. Using of archive documents, which preserves the right of owners to restrict access, is possible only with their consent or the consent of their successors (heirs).</p>
1.2.6	2	<p>Files containing personal data, including personal or/and family secret, of an individual applying for an elective office (in the representative institutions) or has been appointed on a political or state-political position does not constitute information with limited access, with the exception of certain information that is defined otherwise by law:</p> <p>a) Such information does not constitute information with limited access – 1</p> <p>b) Such information does not constitute information with limited access, but only upon consent of the individual – 0.5</p>	<p>Answer: a) Score: 2</p>	<p>Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), <...> Paragraph 8. Procedure of fulfilling the requests of the researchers. 318. The Archive can not limit or define the conditions of using the information that a researcher gets as a result of the independent search or a service provided to him/her by the archive, exception being the cases stipulated for by the legislation of the Republic of Kazakhstan or contemplated in the</p>

		<p>c) Such information constitutes information with limited access or relevant law doesn't foresee this principle – 0.25</p>		<p>information service agreement between the Archive and the researcher.</p> <p>Regulations of acquisition, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), Paragraph 6. Procedure of providing access to the archival documents, 443. The Archive cannot limit or define the conditions of using the information that a researcher gets as a result of the independent search or a service provided to him/her by the archive, exception being the cases stipulated for by the legislation of the Republic of Kazakhstan or contemplated in the information service agreement between the Archive and the researcher.</p>
1.2.7	3	<p>The Archive is obligated to provide a written reasoning and legal substantiation for its decision to refuse to provide a record, including personal or/and family secret, containing personal data:</p> <p>a) Is obligated – 1 b) Can provide an oral explanation – 0.25 c) Is not obligated – 0</p>	<p>Answer: a) Score: 3</p>	<p>Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), 348. The Archive can refuse or postpone providing the requested document in the following cases: <...> 2) usage restrictions, established by the legislation of the Republic of Kazakhstan or the provenance while handing the documents over to custody; Paragraph 9. Documents providing procedure in the reading hall and in short term use: The refusal to provide the required document(s) should be issued in written format with indication of a reason(s) to refuse.</p>

				<p>Regulations of acquisition, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), Paragraph 6. Procedure of providing access to the archival documents: "Access to such records and databases and their usage is allowed with the regard to limitations stipulated by the legislation of the Kazakh Republic and the conditions stipulated by the owners or possessors while transferring them to the Archive. Access to and using the mentioned records can be allowed only in exclusive cases with the written permission of the head of the archive. The archive provides the user with the copies of the mentioned documents (fond for using) or documented publications containing these documents.</p>
1.2.8	4	<p>The Law on Personal Data Protection does not apply to the archives or fonds of repressive state institutions:</p> <p>a) Does not apply – 1 b) The law does not contain a relevant provision – 0.25 c) Applies – 0</p>	<p>Answer: a) Score: 4</p>	<p>Law On Personal Data and their Protection (21 May, 2013) Article 3. The actions of this Law 3. An operation of this Law shall not be distributed to the relations, arising upon: <...> 2) generation, storage and use of the documents of the National archive fund of the Republic of Kazakhstan and other archive documents, containing the personal data, in accordance with the legislation of the Republic of Kazakhstan on the National archive fund and archives; Law On National Archival Fonds Article 1. Basic definitions, used in this Law. <...> 11. National Archive Fund - a consolidation of all archives, archival funds and collections, documentary monuments, documents of particular historical, scientific, social, economic, political</p>

			or cultural significance which are recognized in accordance with the law as a national value; This includes special archives and fonds of the repressive state institutions.
Maximum amount of points to receive in benchmark indicator group N1.2: 24			
Amount of points relevant to the current archive: 24			
Received points: 16,75			
Percentage (%): 69.79%			

1.3 Archive services

#	Social Importance Index	Indicator	Final Score	Relevant Article of the Law (if applicable)
1.3.1	3	<p>The following is defined by the law or subordinate legal acts:</p> <ol style="list-style-type: none"> 1) Types of service provided by the Archive 2) Fees assigned to the archival services and their standard timeframes; 3) Fees set for archival services provided in accelerated timeframes; 4) Rules for paying the above fees; 5) Terms for paying the above fees. <ol style="list-style-type: none"> a) Law or subordinate legal acts include all 5 categories – 1 b) Law or subordinate legal acts include only categories 3-4 – 0.75 c) Law or subordinate legal acts include only categories 1-2 – 0.5 d) Law or subordinate legal acts do not include any of the above – 0 	<p>Answer: a) Score: 3</p>	Defined by the Law On National Archival Fond and by the Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014).
1.3.2	3	<p>The main services provided by the Archive are:</p> <ol style="list-style-type: none"> 1) Collection of files under a specific thematic query. 2) Answering non-standard thematic queries on specific facts, events or records. 3) Preparation and delivery of social-legal notices. 4) Providing services to the researchers in the reading room. 	<p>Answer: a) Score: 3</p>	Defined by the Law On National Archival Fond and by the Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014).

		<p>5) Temporary storage of files belonging to organizations / institutions.</p> <p>6) Arranging finding aids for the records belonging to organizations / institutions.</p> <p>7) Restoration of files/records.</p> <p>a) The Archive provides all 7 and other types of services – 1</p> <p>b) The Archive provides 5-6 of the above service types – 0.75</p> <p>c) The Archive provides 3-4 of the above service types – 0.5</p> <p>d) The Archive provides 1-2 of the above service types – 0.25</p> <p>e) The Archive does not provide any of the above services – 0</p>		
1.3.3	2	<p>The standard time for issuing notices is:</p> <p>a) 3-5 working days – 1</p> <p>b) 6-10 working days – 0.5</p> <p>c) 11 or more working days – 0.25</p>	<p>Answer: c) Score: 0.5</p>	<p>Law On Amendments in the Order of the Minister of Sports and Culture of the Republic of Kazakhstan, April 17, 2015 No. 138 On Ratification of the Standards of the State Services in the Field of Archive Business, article 2. State service providing procedure: <...> 4. Terms of providing a state service: 1) the result of providing a state service should be issued within 15 (fifteen) calendar days since submission of the documents to the service provider, to the state corporation, as well as since the moment of applying to portal.</p>
1.3.4	2	<p>The cost of preparing and providing social-legal notices (apart from property notices) ordered by citizens (in a standard time limit) is:</p> <p>a) 0%-0.49% of the average wage¹ in the country – 1</p> <p>b) 0.5% - 1.49% – 0.75</p> <p>c) 1.5% and more – 0.25</p>	<p>Answer: a) Score: 2</p>	<p>Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), 326. Requests on social and legal issues should be fulfilled by the Archive free of charge.</p>

¹ See official data from last year from the statistics buereau in the country or this [website](#).

				Regulations of acquisition, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), 454. Requests on social and legal issues should be fulfilled by the Archive free of charge.
1.3.5	2	<p>The cost of preparing and delivering property notices ordered by citizens (in a standard time limit) is:</p> <p>a) 0%-1.99% of the average wage in the country – 1 b) 2%-4.99% – 0.75 c) 5% and more – 0.25</p>	<p>Answer: a) Score: 2</p>	<p>According to the Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), this kind of requests should be fulfilled by the Archive free of charge.</p> <p>Regulations of acquisition, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), this kind of requests should be fulfilled by the Archive free of charge.</p>
1.3.6	3	<p>Discounts defined by the law or subordinate legal acts on the provision of social-legal notices apply to:</p> <p>1) Persons with disabilities 2) War veterans and persons with equal status; 3) Internally displaced persons / refugees; 4) Socially vulnerable; 5) Rehabilitated victims of repressions 6) University students; 7) Pensioners.</p>	<p>Answer: a) Score: 3</p>	<p>Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), 321. The incoming requests are divided into: <...> 3) requests on social and legal issues. This includes requests to corroborate</p>

		<ul style="list-style-type: none"> a) Discounts apply to all 7 groups – 1 b) Discounts apply to only 4-6 groups – 0.75 c) Discounts apply to only 2-3 groups – 0.5 d) Discounts apply to only 1 group – 0.25 e) The Archive does not offer any discounts – 0 	<p>employment history and wage, age, members of family, education, awards, transfer of pension contributions and social tax, degrees and ranks, about accidents, undergoing medical treatment, evacuation, being the victim of repression, rehabilitation, military service, living in a zone of ecological disaster, imprisonment, civil status acts.</p> <p>326. Requests on social and legal issues should be fulfilled by the Archive free of charge.</p> <p>Regulations of acquisition, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), 446. The incoming requests are divided into: 1) requests on providing information about a certain problem, topic, event, fact (thematic requests). Biographical requests in order to establish information, necessary for studying life and activity of a certain person, are variations of thematic requests; 2) request on providing information necessary for establishing kinship, kinship of the two or more individuals, family history, clan history (genealogical requests); 3) requests on social and legal issues. This includes requests to corroborate employment history and wage, age, members of family, education, awards, transfer of pension contributions and social tax, degrees and ranks, about accidents, undergoing medical treatment, evacuation, being the</p>
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				victim of repression, rehabilitation, military service, living in a zone of ecological disaster, imprisonment, civil status acts.
1.3.7	3	<p>Discounts defined by the law or subordinate legal act on the provision of social-legal notices apply equally to the domestic and foreign citizens:</p> <p>a) Discounts apply equally – 1 b) Discounts apply to only those foreign citizens who have a status of a student or a person with disabilities – 0.75 c) Discounts apply to only those foreign citizens with temporary residence or work permits – 0.5 d) Discounts do not apply to foreign citizens – 0</p>	<p>Answer: a) Score: 3</p>	<p>Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), 326. Requests on social and legal issues should be fulfilled by the Archive free of charge.</p> <p>Regulations of acquisition, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), this kind of requests should be fulfilled by the Archive free of charge.</p>
1.3.8	3	<p>The prices of the archival services (both notices and the ones of the reading room) are equal for the domestic and foreign citizens:</p> <p>a) Yes – 1 b) The prices are higher for the foreign citizens – 0</p>	<p>Answer: a) Score: 3</p>	<p>Law On National Archival Fond, Article 25. The right of access to the archives of foreigners and stateless persons: 1. Foreigners and stateless persons shall use the archive documents on the same basis, as citizens of the Republic of Kazakhstan. The same applies to the prices of the Archive's services.</p>
<p>Maximum amount of points to receive in benchmark indicator group N1.3: 21 Amount of points relevant to the current archive: 21 Received points: 19,5 Percentage (%): 92.86%</p>				

2. Website

#	Social Importance Index	Indicator	Final Score	Link
2.1	3	<p>The Archive has a multilingual website:</p> <p>a) The Archive has a website in the official state language as well as in English or Russian – 1</p> <p>b) The Archive website is available only in the official state language – 0.25</p> <p>c) The Archive does not have a website – 0</p>	<p>Answer:</p> <p>a)</p> <p>Score: 3</p>	<p>It is not mentioned in any legal acts, but all the archives have their web-site in two languages (official state language and Russian):</p> <p>http://www.cga.kz/</p>
2.2	3	<p>The Archive website contains archive related legislation:</p> <p>a) In the official state language and in English of Russian – 1</p> <p>b) Only in the official state language – 0.75</p> <p>c) The Archive website does not contain archive related legislation – 0</p>	<p>Answer:</p> <p>a)</p> <p>Score: 3</p>	<p>The archival legislation is published in the official state language and Russian:</p> <p>http://www.cga.kz/index.php?module=zakon</p>
2.3	3	<p>The Archive website explains the types of services it offers (or it is possible to find answers in the FAQ section of the website):</p> <p>a) Information about services of the Archive is available in the official state language and in English – 1</p> <p>b) Information about services of the Archive is available only in the official state language – 0.75</p> <p>c) The Archive website does not provide such information – 0</p>	<p>Answer:</p> <p>a)</p> <p>Score: 3</p>	<p>The archival legislation is published in the official state language and Russian:</p> <p>http://www.cga.kz/index.php?module=zakon</p>
2.4	3	<p>The Archive website provides information about the access procedure for the researchers, working hours and working rules:</p> <p>a) In the official state language and in English – 1</p> <p>b) Only in the state language – 0.75</p>	<p>Answer:</p> <p>a)</p> <p>Score: 3</p>	<p>The archival legislation is published in the official state language and Russian:</p> <p>http://www.cga.kz/index.php?module=zakon</p>

		c) The Archive website does not provide such information – 0		
2.5	2	<p>The Archive website contains a list of archival fonds (or a guide book) with the following key information:</p> <ol style="list-style-type: none"> 1. The name of the fonds; 2. Chronological span of the fonds; 3. Amount of information stored in the fonds (the number of records/ files or metric measure); 4. Language(s) of the information stored in the fonds; 5. Location of fonds; 6. Description of the archival groups, which the archival fonds are divided into: a detailed description of the thematic or structural groups into which the archival fonds is organized; 7. Status: classified/declassified. <ol style="list-style-type: none"> a) All 7 categories of information are present – 1 b) Between 4 and 6 of the required categories of information are present – 0.75 c) Only 2 or 3 of the required categories of information are present – 0.5 d) Only 1 required category of information is present – 0.25 e) There is no list of the archival fonds - 0 	<p>Answer: b) Score: 1.5</p>	<p>The Archive website contains a list of archival fonds, but the following information is missing: 7. Status: classified / declassified.</p> <p>http://www.cga.kz/index.php?module=zakon</p>
2.6	3	<p>The Archive website provides the possibility to request and receive the documents of the finding aid online:</p> <ol style="list-style-type: none"> a) The Finding aid documents are proactively available on the Archive website – 1 b) It is possible to make a request for the finding aid documents and receive them online – 0.75 	<p>Answer: c) Score: 0</p>	<p>It is impossible to obtain online the files or the finding aid: http://www.cga.kz/index.php?module=zakon</p>

		c) The Archive website does not have an online request option – 0		
2.7	3	<p>The Archive website contains copies of inventories of archive funds:</p> <p>a) 76-100% of funds – 1 b) 51-75% of funds – 0.75 c) 26-50% of funds – 0.5 d) 1-25% of funds – 0.25 e) Inventories of funds are not available – 0</p>	<p>Answer: e) Score: 0</p>	<p>The Archive website does not contain copies of inventories of archive funds: http://www.cga.kz/index.php?module=zakon</p>
2.8	3	<p>The Archive website provides the ability to request and receive official legal documents (archive notices) online using the system of digital document turnover in accordance with the legal norms and fees:</p> <p>a) It is possible to request as well as receive these documents – 1 b) It is possible to either request or receive these documents – 0.75 c) The Archive website does not provide this ability – 0</p>	<p>Answer: b) Score: 2.25</p>	<p>Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), 324. After the Archive gets an online application (request) from the researcher with indication of the e-mail address and/or postal address, the Archive sends him/her the notification that the application (request) have been entertained or the refusal with the indication of the reasons. The Archive gets the entertained application (request) printed out and further is processed according to the established procedure. http://www.cga.kz/index.php?module=zakon</p> <p>Regulations of acquisition, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), 449. After the Archive gets</p>

				an online application (request) from the researcher with indication of the e-mail address and/or postal address, the Archive sends him/her the notification that the application (request) have been entertained or the refusal with the indication of the reasons. The Archive gets the entertained application (request) printed out and further is processed according to the established procedure. http://www.cga.kz/index.php?module=zakon
2.9	3	The Archive website provides the ability to request and receive scanned records online according to the legal norms and fees: a) It is possible – 1 b) It is not possible – 0	Answer: b) Score: 0	This is not mentioned in any legal acts: http://www.cga.kz/index.php?module=zakon
2.10	3	The Archive is obliged by the law or the subordinate legal act to publish periodically the results of its ongoing work (reports) and other public information: a) Once every 6 months (apart from annual reports) – 1 b) Annually – 0.75 c) Once in a period of more than 1 year – 0.5 d) The Archive does not publish such information – 0	Answer: a) Score: 3	This is not mentioned in any legal acts, but the archives publish this kind of information regularly. http://www.cga.kz/index.php?module=zakon
2.11	3	The Archive is obligated by the law or the subordinate legal act to publish the following information on its website: 1) A description of the structure and functions of the Archive. 2) Annual reports. 3) Information about the head of the Archive and other responsible persons. 4) Information about the person (persons) responsible for ensuring	Answer: a) Score: 3	This is not mentioned in any legal acts, but the archives publish this kind of information regularly. http://www.cga.kz/index.php?module=zakon

		<p>access to the public information and their contact information.</p> <p>5) Information about the personnel of the Archive – list of employees and identities of the vacancy competitions winners.</p> <p>a) All 5 (or more) categories of information are available – 1</p> <p>b) Only 3-4 categories of information are available – 0.75</p> <p>c) Only 1-2 categories of information are available – 0.25</p> <p>d) None of the above information is available – 0</p>		
2.12	3	<p>The Archive is obligated by the law or the subordinate legal act to publish the following public information on its website:</p> <p>1) Forms and samples of administrative complaints.</p> <p>2) Information on the rules of appeal.</p> <p>3) Information on the annual budget of the Archive.</p> <p>4) Information about the income received by the Archive through its archival services.</p> <p>5) Information about public procurement.</p> <p>6) Information about the Archive assets, including the transfer and use of property.</p> <p>a) All 6 (or more) categories of information are available – 1</p> <p>b) Only categories 1 through 3 are available – 0.5</p> <p>c) Only categories 1 through 2 are available – 0.25</p> <p>d) None of the above information is available – 0</p>	<p>Answer:</p> <p>b)</p> <p>Score: 1.5</p>	<p>This is not mentioned in any legal acts, but the archives publish this kind of information regularly, except for the information about the annual budget:</p> <p>http://www.cga.kz/index.php?module=zakon</p>
<p>Maximum amount of points to receive in benchmark indicator group N2: 35</p> <p>Amount of points relevant to the current archive: 35</p> <p>Received points: 23,25</p> <p>Percentage (%): 66.43%</p>				

3. Reading room

#	Social Importance Index	Indicator	Final Score	Relevant Article of the Law (if applicable)
3.1	2	<p>In order to get access to the archive, the researchers need to provide only their ID card and filled out application or recommendation letter:</p> <ul style="list-style-type: none"> a) It is prohibited to demand any other documents from researchers to grant them access to the reading room – 1 b) The Archive requests additional documents from researchers to grant them access to the reading room – 0 	<p>Answer: a) Score: 2</p>	<p>1) Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), Paragraph 9. Procedure of issuing the files in the reading hall and temporary use: 346. The researchers are granted the access to the reading hall on the basis of the personal application, while the users that are doing their scientific research according to the plan of their scientific institution or fulfilling their official duty, and have to submit an official letter from the institution they are working for.</p> <p>2) Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000), 2.2. Researchers, who work according to the scientific-research plan of their institution or fulfill their official duty have to submit an official letter from their institution. High school students have to submit a letter from their high school signed by the principal of the vice-principal with justification of the necessity of working with the archive documents. Kazakh researchers that have a degree (title) have to submit a document proofing their institution, position (degree, title)</p>

				and a personal application. Researchers doing their scientific or other work by their own initiative have to submit their ID and an application to the relevant archive.
3.2	4	<p>Individuals can get remote access to the archive via e-mail (or special form on website):</p> <p>a) Yes – 1 b) No – 0</p>	<p>Answer: a) Score: 4</p>	<p>Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), <...> 324. After the Archive gets an online application (request) from the researcher with indication of the e-mail address and/or postal address, the Archive sends him/her the notification that the application (request) have been entertained or the refusal with the indication of the reasons. The Archive gets the entertained application (request) printed out and further is processed according to the established procedure.</p> <p>Regulations of acquisition, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), 449. After the Archive gets an online application (request) from the researcher with indication of the e-mail address and/or postal address, the Archive sends him/her the notification that the application (request) have been entertained or the refusal with the indication of the reasons. The Archive gets the entertained application (request) printed out</p>

				and further is processed according to the established procedure.
3.3	2	<p>Foreign citizens are granted access to the Archive by the Archive on its own and not by another institution (e. g., the Ministry of Foreign Affairs):</p> <p>a) Are granted by the archive – 1 b) Are granted by another institution – 0.25 c) Foreign citizens do not have access to the Archive - 0</p>	<p>Answer: a) Score: 2</p>	<p>Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000) Point 2. Procedure of registration of researches, 2.1. Permission to access the archival fonds and documents, as well as to work in the reading hall of a state archive for the citizens of Kazakhstan is provided by the administration of the archive, and to the other persons – by the Committee of Management of the Archives and Documentation or by the archival management authorized body.</p>
3.4	4	<p>Waiting time after requesting access as a researcher in the Archive is:</p> <p>a) Archive provides access in short order, the same day, after the confirmation of authenticity of the submitted documents – 1 b) 1-2 working days – 0.75 c) 3-5 working days – 0.5 d) more than 5 working days – 0.25</p>	<p>Answer: a) Score: 4</p>	<p>Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000): 3.7. The ordered files are provided within 24 hours since the moment of application based on the order that was registered according to the procedure established by law (Annex 3).</p>
3.5	3	<p>The number of weekly working hours of the Archive reading room is:</p> <p>a) more than 40 hours – 1 b) 31-40 hours – 0.75 c) 21-30 hours – 0.5 d) 20 hours or less – 0.25</p>	<p>Answer: b) Score: 2.25</p>	<p>Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000): 1.4. Work schedule of the reading halls is established considering the interests of the researchers and according to the time table of the state archives. The so called “sanitary day” is once in a month and Saturdays are holidays.</p>
3.6	3	<p>The number of days per year when the reading rooms are closed (excluding weekends and public holidays):</p> <p>a) 0-12 working days – 1 b) 13-31 working days – 0.75 c) more than 31 working days – 0.5</p>	<p>Answer: b) Score 2.25</p>	<p>Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000): 1.4. Work schedule of the reading halls is established considering the interests of the researchers and according to the time table of the</p>

				state archives. The so called “sanitary day” is once in a month and Saturdays are holidays.
3.7	4	<p>The Archive grants fully adapted environment for disabled people to work in the reading room:</p> <p>a) Yes – 1 b) The Archive is partly adapted – 0,5 c) No – 0</p>	<p>Answer: c) Score: 0</p>	
3.8	3	<p>Rules of conduct for the researchers are available in the reading rooms in printed or digital format:</p> <p>a) Available – 1 b) Unavailable – 0</p>	<p>Answer: a) Score: 3</p>	They are available in the reading rooms in printed or digital format.
3.9	3	<p>In the reading room, the researchers sign a statement that they have read and agreed to follow the rules of conduct, ethics norms and archive legislation:</p> <p>a) The Archive provides the researchers with the relevant documentation to be read and signed – 1 b) The reading room does not practice this procedure – 0</p>	<p>Answer: a) Score: 3</p>	According to the Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000): the researcher must put his/her signature in the so called “visit book”.
3.10	3	<p>Contact information (phone number, e-mail) of the Archive regulatory body or the individual in charge is available in the reading room for submitting complaints:</p> <p>a) Available – 1 b) Unavailable – 0</p>	<p>Answer: a) Score: 3</p>	It is available.
3.11	4	<p>Access to finding aid documents in the reading room is available:</p> <p>a) In short order if the online version exists, or in a reasonable time for a document (in a paper-based form) to be provided in the readers room – 1</p>	<p>Answer: a) Score: 4</p>	Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000): 5. Rights and responsibilities of a researcher: <...> 2) to address the finding aid and automatic archival search systems;

		<p>b) The following day – 0.5 c) More than one day later – 0.25</p>		<p><...> 3.7. The ordered files are provided within 24 hours since the moment of application based on the order that was registered according to the procedure established by law (Annex 3).</p>
3.12	4	<p>Finding aid documents are available in an digital searchable format in the reading room:</p> <p>a) 76-100% of finding aid documents are in digital searchable format – 1 b) 51-75% of finding aid documents are in digital searchable format – 0.75 c) 26-50% of finding aid documents are in digital searchable format – 0.5 d) Finding aid documents are available in digital but scanned and unsearchable format – 0.25 e) Finding aid documents are not available in digital format – 0</p>	<p>Answer: e) Score: 0</p>	
3.13	1	<p>The archivists share draft inventories of fonds with the researchers if the final versions are lacking (if this does not damage these documents):</p> <p>a) Yes – 1 b) No – 0</p>	<p>Answer: a) Score: 1</p>	<p>Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000): Access procedure to the archival fonds and files 3.1. A State archive provides a free access to the archival fonds and files on the required topic, to the finding aid and the reference editions and the relevant technical equipment for looking through and reading. The archive must submit copies of the inventories or a catalog. The archive always has to have inventories or a catalog. <...> 5. Rights and responsibilities of a researcher: 1. While working in the reading hall the researcher has the right to: 1) get the consultation about the compound and content of the archival fonds on the relevant topic; 2) to address the finding aid</p>

				and automatic archival search systems.
3.14	4	<p>The researchers can access the database of the scanned records in the reading room:</p> <p>a) All records that have already been scanned are available for every researcher – 1</p> <p>b) After filling out a request form for a specific record, the archive processes the request and makes the record available for this specific researcher the same day – 0.75</p> <p>c) After filling out a request form for a specific record, the archive processes the request and makes the record available for this specific researcher the following day – 0.5</p> <p>d) There is no possibility to receive scanned records in the reading room – 0</p>	<p>Answer: b) Score: 3</p>	<p>Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), Paragraph 9. Procedure of issuing the files in the reading hall and temporary use: 345. The reading hall (a preview room, a computer room, a room for listening the audio records) provided with the relevant technical equipment for working with microcopies, digital, audio, video, scientific and technical files, is made in the archive of an institution in order to create the working conditions for the researchers.</p>
3.15	4	<p>The Archive allows the uploading of already scanned records from the Archive server to an digital data holder:</p> <p>a) Yes, it is free of charge, the researcher pays only for the service (e. g. a CD) - 1</p> <p>b) Available for a lower price than scanning - 0.5</p> <p>c) Available for the price of scanning – 0.25</p> <p>d) It is not possible - 0</p>	<p>Answer: a) Score: 4</p>	<p>Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000): 4.6. If the archive does not have the necessary equipment, copying of the files can be arranged by the interested organization either in the premises of the state archive or in the other organization under the supervision of the archive’s representative. Negatives of the photocopies and microfilms have to be submitted free of charge to the disposition of the archive that provided the files.</p> <p>In practice, a researcher can get the records that have already been scanned.</p>
3.16	3	<p>Waiting time after a researcher orders a record:</p> <p>a) 0-24 hours – 1</p> <p>b) 1-2 working days – 0.75</p>	<p>Answer: a) Score: 3</p>	<p>Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000): 3.7. The ordered files are provided</p>

		<p>c) 3-4 working days – 0.5 d) more than 5 working days – 0.25</p>		<p>within 24 hours since the moment of application based on the order that was registered according to the procedure established by law (Annex 3).</p>
3.17	3	<p>Number of records a researcher can order simultaneously:</p> <p>a) more than 20 files – 1 b) 11-20 files – 0.75 c) 6-10 files – 0.5 d) 1-5 files – 0.25</p>	<p>Answer: b) Score: 2.25</p>	<p>Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000): 3.8. The amount of the records issued to the researcher per day is 3 inventories and 7-10 records; 5 inventories and 15-20 records for the non-resident researchers whose business trip is less than 1 month.</p>
3.18	3	<p>A researcher can make a onetime bulk order – a request of more files than is permitted, if they are contained in one collection or box:</p> <p>a) This option is available – 1 b) This option is unavailable – 0</p>	<p>Answer: b) Score: 0</p>	<p>It still will be according to the law mentioned above.</p>
3.19	3	<p>A researcher can submit online requests for the files that can be picked up in the reading room after a pre-determined period:</p> <p>a) This option is available – 1 b) This option is unavailable – 0</p>	<p>Answer: b) Score: 0</p>	<p>The archives do not have the online request option.</p>
3.20	2	<p>The cost of copying² one page of a record (in a standard time limit) is:</p> <p>a) 0%-0.09% of the average wage in the country – 1 b) 0.1% - 0.19% – 0.75 c) 0.2% and more – 0.25</p>	<p>Answer: a) Score: 2</p>	<p>Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000): 4. Copying the archival records. 4.1. State archives (as much as they can) provide copying service for the records discovered by the researcher in the process of working on the topic in the reading hall. Currently, copying the archival records is free of charge.</p>

²If the prices of the copies of the documents of different periods of time differ significantly, the appraiser should take the average value.

3.21	2	<p>The cost of copying³ one photo (in a standard time limit) is:</p> <p>a) 0%-0.49% of the average wage in the country – 1 b) 0.5%-1.49% – 0.75 c) 1.5% and more – 0.25</p>	<p>Answer: a) Score: 2</p>	Currently, copying the archival records is free of charge.
3.22	3	<p>Discounts defined by the law or the subordinate legal act on the paid archival services in the reading room apply to:</p> <p>1) Persons with disabilities; 2) War veterans and persons with similar status; 3) Rehabilitated victims of repressions; 4) Internally displaced individuals / refugees; 5) Socially vulnerable persons; 6) School students; 7) University students; 8) Pensioners; 9) Persons with academic degrees.</p> <p>a) Discounts apply to all 9 groups – 1 b) Discounts apply only to 6-8 groups – 0.75 c) Discounts apply only to 4-5 groups – 0.5 d) Discounts apply only to 1-3 groups – 0.25 e) The Archive does not offer any discounts – 0</p>	<p>Answer: a) Score: 3</p>	Currently, copying the archival records and other requests is free of charge.
3.23	3	<p>Discounts defined by the law or the subordinate legal act on the paid archival services in the reading room apply equally to domestic and foreign citizens:</p> <p>a) Discounts apply equally – 1 b) Discounts apply to only those foreign citizens, who have a status of a student, academic degree or a person with disabilities – 0.75</p>	<p>Answer: a) Score: 3</p>	Currently, copying the archival records and other requests is free of charge.

³If prices of the copies made from negatives and positives differ, the appraiser should take the average value.

		<p>c) Discounts apply to only those foreign citizens, who have a temporary residence or work permit – 0.5</p> <p>d) Discounts do not apply to foreign citizens – 0</p>		
3.24	2	<p>Researchers can use stationary computers in the Archive reading room:</p> <p>a) Yes – 1</p> <p>b) No – 0</p>	<p>Answer:</p> <p>a)</p> <p>Score: 2</p>	<p>Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), Paragraph 9. Procedure of issuing the files in the reading hall and temporary use: 345. The reading hall (a preview room, a computer room, a room for listening audio records) is provided with the relevant technical equipment for working with microcopies, digital, audio, video, scientific and technical files, is made in the archive of an institution in order to create the working conditions for the researchers.</p> <p>Regulations of acquisition, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), 473. At the users' service the archives have a reading hall, a preview room, a room for listening to the audio records with special equipment for working with the microcopies of the archival documents, audio, visual and digital files. If the Archive does not have a special room the service is provided in the archive's</p>

				office under the control of the archive's employee.
3.25	2	<p>Researchers are allowed to use their own digital devices for processing and storing information (computers, tablets, flash drives, external hard drives) in the Archive reading room:</p> <p>a) Yes – 1 b) No – 0</p>	<p>Answer: b) Score: 0</p>	<p>Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000): 2) the researcher must put his/her signature in the so called “visit book”, agreeing not to bring brief cases, bags, parcels as well as printed materials, technical equipment (audio recorders, photo and video cameras copying equipment) into the reading hall, except for the cases when it is agreed with the administration of the archive.</p>
3.26	1	<p>The Archive reading room has internet access:</p> <p>a) Yes – 1 b) No – 0</p>	<p>Answer: b) Score: 0</p>	<p>Not always.</p>
3.27	2	<p>If the Archive has a microfilm collection a microfilm reader is available for use in the reading room:</p> <p>a) The Archive offers a microfilm reader – 1 b) The Archive has a microfilm collection, but does not offer a microfilm reader – 0</p>	<p>Answer: a) Score: 2</p>	<p>Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), Paragraph 9. Procedure of issuing the files in the reading hall and temporary use: 345. The reading hall (a preview room, a computer room, a room for listening audio records) of the archive of an institution is provided with the relevant technical equipment for working with microcopies, digital, audio, video, scientific and technical files, thus working conditions are created for the researchers.</p> <p>Regulations of acquisition, storage and use of the documents of the National Archival Fonds and</p>

				other archival documents by the archives of the state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), 476. By researcher's request the archive, according to its technical capacity, makes copies of the archival records – photocopies, microcopies, photo prints, film copies, video copies, copies of audio files as well as copies on digital carriers.
3.28	2	<p>Working conditions with the microfilms at the reading room:</p> <p>1) The Archive offers the possibility to save the microfilm files in PDF format for free;</p> <p>2) The Archive allows to take pictures from the microfilm files (screen);</p> <p>3) The Archive allows to print the microfilm files for a fee;</p> <p>a) The Archive offers all 3 services – 1</p> <p>b) The Archive offers 1 or 2 services (where service N1 is necessarily included) – 0.75</p> <p>c) The Archive offers both services N2 and N3 – 0.5</p> <p>d) The Archive offers only 1 service N2 or service N3 – 0.25</p> <p>e) The Archive does not offer any of the mentioned services – 0</p>	<p>Answer:</p> <p>a)</p> <p>Score: 2</p>	Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000): 4.3. For copying records, as a rule, are used the backup copies that have already been made. The originals of the unique most valued records and physically damaged documents with decaying text, in case there is no backup copies, can be copied only using methods of microphotocopy.
3.29	4	<p>Photographing of records in the Archive reading room is allowed using the researcher's own copying devices (photo camera, cell phone, portable scanner):</p> <p>a) Allowed and free of charge – 1</p> <p>b) Allowed but not free of charge – 0.25</p> <p>c) Photographing of records using the researcher's own devices is prohibited – 0</p>	<p>Answer:</p> <p>a)</p> <p>Score: 4</p>	Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000): 4.6. If the archive does not have the necessary equipment, copying of the files can be arranged by the interested organization either in the premises of the state archive or in the other organization under the supervision of the archive's representative. Negatives of the

				<p>photocopies and microfilms have to be submitted free of charge to the disposition of the archive that provided the files.</p> <p>In many archives it is allowed to do with a camera.</p>
3.30	2	<p>After the copies of records are ordered a researcher has to wait for:</p> <p>a) 0-24 hours – 1 b) 1-2 working days – 0.75 c) 3-4 working days – 0.5 d) 5 working days or more – 0.25</p>	<p>Answer: d) Score: 0.5</p>	<p>Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000): 4.4. The Archive makes a copy after receiving the payment of the bill, made by the researcher, within two weeks since it received the payment.</p> <p>This regulation has been changed in 2006, when all the archives changed their status to the “state institutions” and copying became free of charge.</p>
3.31	2	<p>Number of record copies a researcher can order simultaneously:</p> <p>a) Unlimited (within reasonable limits) – 1 b) 51-100 scanned pages – 0.75 c) 21-50 scanned pages – 0.5 d) 1-20 scanned pages – 0.25</p>	<p>Answer: d) Score 0.5</p>	<p>Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000): Maximum volume of one order is defined by the state archive, based on technical capacity of copying equipment, but it can not be more than 500 pages of archival files per 1 year, and for the non-residents and foreign researchers – within the period of the business trip.</p>
3.32	4	<p>In case the archive refuses a researcher access to the damaged record or file:</p> <p>a) The Archive offers the researcher a scanned copy of the record or file – 1 b) The Archive places the record or file in the list of ‘records to be restored’ and informs the researcher about the date of restoration – 0.75 c) The Archive does not provide information about the condition of the record or the file and restoration date – 0</p>	<p>Answer: b) Score: 3</p>	<p>Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000): 3.5. The state archive has the right to limit the access to the originals of the most valued records and files that are in unsatisfactory physical condition, as well as those that are at the moment being used by the state archive or another researcher. In such cases the researcher is granted by their copies.</p> <p>Regulations of acquisition, storage and use of the documents of the</p>

				National Archival Fonds and other archival documents by the archives of the state archives and special state archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), “Records of the National Archival Fonds that are in unsatisfactory physical conditions may not be copied”.
3.33	4	<p>The Archive has a list of damaged records or files that cannot be provided and the researchers are informed about it beforehand:</p> <p>a) The Archive has such a list and provides it to the researchers – 1</p> <p>b) The Archive has such a list but does not provide it to the researchers – 0.5</p> <p>c) The Archive does not have such a list – 0</p>	<p>Answer:</p> <p>b)</p> <p>Score: 2</p>	<p>Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014): 348. The Archive can refuse of postpone providing the requested document in the following cases:</p> <p>1) if it is in a poor physical condition;</p> <p>Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000): 3.5. The state archive has the right to limit the access to the originals of the most valued records and files that are in unsatisfactory physical condition, as well as those that are at the moment being used by the state archive or another researcher. In such cases the researcher is granted by their copies.</p> <p>Such a list exists, but the researchers are not granted the access to it.</p>
3.34	4	<p>The period of time defined by the subordinate legal act for the restoration of the damaged records or files is:</p> <p>a) 1 year or less - 1</p> <p>b) more than 1 year - 0.5</p>	<p>Answer:</p> <p>c)</p> <p>Score: 0</p>	Not mentioned in any law

		c) Is not defined - 0		
3.35	1	<p>Individuals that are unable to visit the archive personally can hire a proxy researcher:</p> <p>a) The Archive has its own proxy researchers or can provide contacts of private proxy researchers – 1</p> <p>b) The Archive does not provide such a service – 0</p>	<p>Answer: b) Score: 0</p>	<p>This is not stipulated by the legislation.</p> <p>Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), Paragraph 9. Procedure of issuing the files in the reading hall and temporary use: 346. The researchers are granted the access to the reading hall on the basis of the personal application, while the users that are doing their scientific research according to the plan of their scientific institution or fulfilling their official duty, have to submit an official letter from the institution they are working for, the employees of the institution have to show their badges in order to access the reading hall. The employees of the institution can have the records for their official purposes in their working premises.</p>
3.36	1	<p>In case if the answer to the previous question (N3.35) is positive:</p> <p>a) Individuals interested in using the archive remotely can select any proxy researcher they like – 1</p> <p>b) Proxy researchers are selected by the Archive – 0.25</p>	-	-
3.37	4	<p>Publication rights and terms:</p> <p>a) Publication of the archival records is free and the responsibility to mention the Archive lies with the author – 1</p>	<p>Answer: a) Score: 4</p>	<p>Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan (October 2, 2000): 5.2. The researcher is obliged: 5) to indicate the name of the Archive,</p>

		b) Publication of archival records must be agreed with the Archive – 0.25		numbers of the fonds, inventories, files, records and pages in his/her research and publications.
Maximum amount of points to receive in benchmark indicator group N3: 105 Amount of points relevant to the current archive: 104 Received points: 72,75 Percentage (%): 69.95%				

Maximum points to receive in all benchmark indicator groups:	257
Maximum amount of points relevant to the current archive:	256
Overall received points:	187.25
Percentage of overall openness:	73.14%

Evaluator's Commentary:

The Central State Archive of the Republic of Kazakhstan is one of the most important archives in the country. The Archive contains records concerning Kazakh history of XIX-XX centuries. The essential collection of records from the Soviet period are stored here. The Archive contains numerous files that uncover some of the aspects of the “red terror”, e. g. the fonds of Revolutionary Committee concerning the management of Kyrgyz (Kazakh) Krai and local administrations. Records of republican importance can be found in the central archives.

The Central State Archive of the Republic of Kazakhstan contains fonds concerning the activity of the All-Russian Extraordinary Commission (VChK), the State Political Administration (OGPU) and People's Commissariat for Internal Affairs (NKVD) of Kazakh SSR. These records have been considered as classified for many years. Despite of this, the materials of the fonds are mainly superficial and generic. The reason for this is that many important files and records have been sent to the Party archives and central institutions in Moscow. The fonds of NKVD of the Kazakh SSR contain data ranging from the annual reports of the Ministry of Justice of Kazakh SSR to the persecutions in the Soviet labor camps. The information from the All-Union level institutions and local labor camps was sent to archival institutions. But because a considerable part of the records was destroyed after being scientifically and technically processed in 1948, the fonds that consists only of two inventories is not enough to elaborate upon the topic of a research. The fonds' records don't cover all the years, only some fragments were preserved. But never the less, we tend to assume that some of the records have not been declassified yet.

The Archive also has secret fonds. According to the Order of the People's Commissariat for Internal Affairs ‘On measures for improving the administration of the Prisoners of War Camps NKVD’ (February 24, 1943) the Administration of the camps for the prisoners of war was established in Kazakhstan. The analysis of the Archive gives us the ground to assume that the files of this body were stored in the fond 1390c “Section of Prisoners of War” of the Central State Archive of the Republic of Kazakhstan. But today there is no information in the Archive about this fond. Neither number of this fond, nor information about it is mentioned in the archival guide. We are inclined to think that either this fond has not been declassified yet, or it was handed over to the special archives of the law enforcement authorities. This circumstance makes the comprehensive research of this problem difficult. But despite of the given difficulties, the Central State Archive of the Republic of Kazakhstan is one of the most important among the Kazakh archives.

The legislation of Kazakhstan concerning archives keeps changing every year. The society is demanding access to the new archival sources from the archive. But the process of declassification of the records is developing slowly. One of the positive features of the archival work in Kazakhstan is that copying of the records and getting the social and legal notifications is free of charge, because all the archives are considered as state institutions. The legislation that regulates the archival activity is functioning well. We can bring as examples following laws and subordinate legal acts: the Law “On National Archive Fonds and Archives” (December 22, 1998), Regulations of receipt, storage and use of the documents of the National Archival Fonds and other archival documents by the archives of the public bodies and the private archives (ratified by the Order of the Minister of Culture and Sports of the Republic of Kazakhstan, December 22, 2014), Regulations on the research work in the reading halls of the state archives of the Republic of Kazakhstan” (October 2, 2000).

Nevertheless, the functioning of the archives should improve, the records should become more accessible. Many files from the Soviet period have not been declassified yet and are still unavailable.

Evaluator's Name and Surname: Araylim Mussagalieva

Organization: Eurasian National University

Evaluation finished on: July 11, 2018

Signature:

A handwritten signature in blue ink, appearing to read 'Araylim Mussagalieva', is centered on the page. The signature is written in a cursive style with a large initial 'A'.