

Draft Record Retention Period Guidelines
Covering Common Administrative Records in Support of
the General Administration Function

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**Draft Record Retention Period Guidance
Covering Common Administrative Records in Support of
The General Administration Function**

SECTION I - INTRODUCTION

General

The following guidelines provide to institutions advice regarding the establishment of minimum retention periods for those common administrative records which support the General Administration Function of the Government of Canada. These guidelines should be viewed as best practices and are not intended to override the requirement for institutions to manage records with reference to the accountability framework of their enabling legislation, programme requirements and business practices. *The ultimate determination and application of retention periods for records managed by institutions of the Government of Canada is the responsibility of individual institutions.*

For Print Version Only: These guidelines are also available at (url)

Scope

The guidelines apply to all *common administrative records* which are collected, created or received by institutions in support of the General Administration Function of the Government of Canada (that is, records documenting common administrative business functions and sub-functions, programmes, and activities), regardless of how the records are organized or internally controlled within each institution.

In applying these retention guidelines, institutions should take care to ensure that the records:

- ! are not operational in nature;
- ! are not of a mixed operational and administrative character;
- ! do not support an administrative function in an Office of Primary Interest (OPI);
- ! are not otherwise excluded from the application of Authority No. 98/001 by virtue of the definitions and scope statement contained in the Appendix of Authority No. 98/001 (http://www.archives.ca/06/0604_e.html);
- ! are not anterior to 1946 (pre-1946 records are to be transferred to the National Archives).

Offices of Primary Interest

The retention guidelines do not apply to those records of either Offices of Primary Interest (OPI) or central agencies, which are collected, created or received in the pursuance of their mandated role in administering General Administration on behalf of the Government of Canada. Examples of such government bodies include Public Works and Government Services Canada, Treasury Board, and any other institution mandated to perform, in full or in part a General Administration function on behalf of the Government of Canada. These retention guidelines do apply to all those records which are collected, created or received in support of such organizations' common general administration requirements.

Arrangement of the Guidelines

The record descriptions and retention periods contained in these guidelines have been revised and regrouped to reflect the General Administration Function of the Government of Canada which includes the following three (3) sub-functions: Management of Government Information; Security; and Administrative Support.

Where explicit direction is not available, institutions should set retention periods for those records in accordance with the specific institution's operational and legal requirements.

Disposition

Nothing in these guidelines should be seen as constituting an authority to dispose of records. For direction regarding the disposition of common administrative records related to the General Administration Function, institutions should consult the *National Archives Multi Institutional Disposition Authority (MIDA) No. 98/001*.

Guidance

For advice or assistance regarding the application of these guidelines, please contact the National Archives at 613-944-IMGI, (613-944-4644) or by e-mail (IMGI@archives.ca).

SECTION II - RECORD RETENTION PERIODS

These retention guidelines are for common administrative records generated in support of the general administration function and services in the federal public service.

General Administration Function

Encompasses the functions, processes, activities, and transactions of administrative business concerning the administrative services commonly provided in and across all federal government institutions to facilitate the application of operational policies and the delivery of programmes and services. The main legislation underpinning the General Administration Function includes the National Archives of Canada Act, National Library Act, Access to Information Act, and Privacy Act. For the purposes of identifying and explaining records disposition requirements, the General Administration Function is divided into three sub-functions described below.

General Guidelines

Policy	5 yrs after superseded Active 2 yrs, Dormant 3 yrs (A2, D3)
Routine	2 yrs

Exceptions to these general rules are noted below.

NB: The five-year retention period for policy, and the two-year period for routine records should be applied, unless noted otherwise below, to similar records related to each sub-function. Retention periods (unless otherwise specified) should always be interpreted and applied “after all administrative actions are completed,” e.g., two years after all administrative actions are completed.

<i>Function / Description</i>	<i>Retention Guidance and Authorities</i>
<p>1. Management of Government Information <i>This sub-function generally encompasses the business processes and activities which produce records created by government institutions within the context of the life-cycle of information; that is, from its creation, organization, retrieval, use, access, storage, and protection, to its disposal. More specifically, this sub-function includes ten core programs or activities which are common to all government institutions: Access to Information; Protection of Privacy, Records Management, including the Essential Records Program; Management of Technology; Library Services; Correspondence Management; Forms Management; Manuals Management; Mail and Messenger Services; Correspondence Management; and Photocopying and Printing Services.</i></p>	<p>Disposition Authority MIDA 98/001</p>

<i>Function / Description</i>	<i>Retention Guidance and Authorities</i>
<p>Access to Information</p> <p>Reports</p> <p>Individual Case Files</p> <p>Protection of Privacy</p> <p>Reports</p> <p>Individual Case Files</p>	<p>2 yrs</p> <p>Minimum 2 yrs following the date on which a request was responded to and a subsequent complaint, if any, was fully processed</p> <p>2 yrs</p> <p>Minimum 2 yrs following the date on which a request was responded to and a subsequent complaint, if any, was fully processed</p> <p>NB: May be disposed of earlier if permission to destroy is received by the individual to whom the information relates.</p>
<p>Records Management</p> <p>Master Numerical Index Cards or Master Control Records</p> <p>Records Inventory Files</p> <p>Records Disposal Files</p>	<p>2 yrs after superseded</p> <p>Retain permanently</p> <p>2 yrs after final disposition of records</p>
<p>Library Services</p> <p>NB: For procurement of library material, including books and subscriptions to newspapers and periodicals, see “Procurement” under the Materiel Management Function (MIDA 99/003).</p>	
<p>Forms Management</p> <p>NB: For forms procurement, see “Procurement” under the Materiel Management Function</p>	
<p>Mail and Messenger Services</p> <p>Mailing Lists</p> <p>Registers and Registration Related to Mail, Postal and Messenger Services</p>	<p>Until superseded</p> <p>1 yr</p>

<p>Photocopying and Printing Services</p> <p>Duplication and Publication Job Files</p>	<p>1 yr after job completed</p>
<p>Information Services</p> <p>Posters Not Created For and Not Under the Control of a Government Institution</p> <p>NB: For posters created by and under the control of a government institution, See RDA 96/024 (Poster Creating Areas of Government Institutions)</p>	<p>Until expired</p>

<i>Function / Description</i>	<i>Retention Guidance and Authorities</i>
<p>2. Security</p> <p><i>This sub-function generally encompasses the business processes and activities which produce records created by federal institutions relating to the primary components of security such as classification and designation; security and risk management; control of access; personnel security; safeguards; and security breaches and violation. More specifically, this sub-function includes the classification of sensitive information in the national interest; the administration of security clearances on government employees and contractors; all aspects of physical security related to sensitive or classified information; the secure handling of information assets. It excludes the activities and records of those security and investigative institutions whose legislative mandate relates to subversive activities, or the investigations of such activities.</i></p> <p>Individual Case Files - Reliability Checks and Security Clearances</p>	<p>Disposition Authority MIDA 98/001</p> <p>2 yrs after employee leaves the institution for which the clearance was undertaken. NB: Notation of clearance level may be attached to the Employee Personnel Record.</p>

<i>Function / Description</i>	<i>Retention Guidance and Authorities</i>
<p>3. Administrative Support</p> <p><i>This sub-function generally encompasses the business processes and activities which produce records created by government institutions relating to the most routine aspects of the General Administration Function. More specifically, it includes the management of travel and administrative support services such as word processing, stenographic, and translation services.</i></p>	<p>Disposition Authority MIDA 98/001</p>

<p>Travel</p> <p>Baggage - Lost, Damaged or Unclaimed</p> <p>Freight and Express - Routine</p> <p>Freight and Express - Rates, Tariffs, Schedules, etc.</p> <p>Hotel Reservations</p>	<p>1 yr</p> <p>1 yr</p> <p>Until superseded or revoked</p> <p>6 months</p>
<p>Parking</p> <p>Applications and Permits Issued to or by Institutions</p>	<p>2 yrs after permit expires. This is a Retention and Disposal Standard governed by the <i>Privacy Act</i> and prescribed by Treasury Board that must be adhered to. See Treasury Board's <i>InfoSource: Sources of Federal Employee Information</i>, Bank PSE 914, Parking http://publiservice.tbs-sct.gc.ca/pubs_pol/gospubs/infosource/siglist_e.html</p>
<p>Telecommunications Services</p> <p>NB: For the installation of communications systems (fixed assets), see the Real Property Management Function. For the installation of moveable assets, see the Materiel Management Function</p>	
<p>Books, Pamphlets and Publications – Compiling, Editing, Printing, Binding, Selling and Distributing</p> <p>Individual Publications</p>	<p>1 yr after publication appears or is cancelled</p>
<p>Translation Services</p> <p>Correspondence Relating to and Requisitions For</p>	<p>1 yr</p>
<p>Office Services</p> <p>Secretarial and Stenographic Services</p> <p>Word Processing, Typing and Transcribing Services</p> <p>NB: If information processing in Office Services refers to electronic systems development, maintenance, and technical assistance for office systems and databases that support operational functions or operational automated information systems, or any mixture of operational and administrative functions, then such records are excluded in MIDA 98/001</p>	<p>1 yr</p> <p>1 yr</p>