

Draft Record Retention Period Guidelines Covering Common Administrative Records in Support of the Materiel Management Function

Table of Contents

SECTION I - INTRODUCTION	1
General	1
Scope	1
Offices of Primary Interest	1
Arrangement of the Guide	2
Disposition	2
SECTION II - RECORD RETENTION PERIODS	3
Materiel Management Function	3
1. Assessing Requirements	4
2. Planning Materiel Requirements	4
Catalogues, Manuals and Price Lists Related to Planning	4
Drawings and Specifications Related to Planning	4
3. Acquiring Materiel Assets and Related Services	5
Standing Offer Agreements	5
Acquiring Clothing	5
Acquiring Stationery	5
Acquiring Technical Equipment	6
Acquiring Vehicles	6
Acquiring Forms	6
4. Operating Materiel Assets	6
Operating Vehicles	6
5. Using Materiel Assets	6
Accounting and Inventorying Materiel Assets	6
Labelling Materiel Assets	6
Lending Materiel Assets	6
6. Maintaining Materiel Assets	7
Maintaining and Repairing Materiel Assets	7
Maintaining and Repairing Vehicles	7
7. Replacing Materiel Assets	7
Routine Replacement of Materiel Assets	7
8. Disposing Materiel Assets	7
Disposal and Surplus	7

Record Retention Period Guidelines Covering Common Administrative Records in Support of the Materiel Management 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 Materiel Management 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 (with rare exceptions) is the responsibility of individual institutions.*

For Print Version Only: These Guidelines are also available on-line at (url)

Scope

The guidelines apply to all *common administrative records* which are collected, created or received by institutions in support of the administration of the Materiel Management 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. 99/003 by virtue of the definitions and scope statement contained in the Appendix of Authority No. 99/003;
- ! are not anterior to 1946 (pre-1946 records are to be transferred to the National Archives).

Offices of Primary Interest

These 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 Materiel Management on behalf of the Government of Canada. Examples of such government bodies include Treasury Board and Public Works and Government Services Canada, and any other institution mandated to perform, in full or in part a Materiel Management function on behalf of the Government of Canada. These retention guidelines do apply to all those records that are collected, created or received in support of such organization's common administrative materiel management requirements.

Arrangement of the Guidelines

The record descriptions and retention periods contained in these guidelines replace Part 3 of the National Archives' "Retention Guidelines for Common Administrative Records of the Government of Canada." All pertinent descriptions have been revised and regrouped to more accurately reflect the Materiel Management Function of the Government of Canada which includes the following eight (8) sub-functions: Assessing, Planning, Acquiring, Operating, Using, Maintaining, Replacing and Disposing.

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 or requirement to dispose of records. For direction regarding the disposition of common administrative records related to the Materiel Management Function, institutions should consult the *National Archives Multi-Institutional Disposition Authority (MIDA) No. 99/003* (http://www.archives.ca/06/0604_e.html).

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 materiel management function, which administers responsibilities related to managing moveable assets in the federal public service. The sub-functions of materiel management are: assessing, planning, acquiring, operating, using, maintaining, replacing and disposing.

Materiel Management Function

Encompasses the functions, sub-functions, processes, activities, and transactions of administrative business concerning the management of movable assets, such as furniture, furnishings, equipment, supplies, vehicles, and other materiel used or acquired by an institution, commonly conducted in and across all government institutions to facilitate the delivery of programmes and services. The main legislation underpinning the Materiel Management Function includes the Department of Public Works and Government Services Act, Defence Production Act, Surplus Crown Assets Act, and the Financial Administration Act. For the purpose of identifying and explaining records disposition requirements, the Materiel Management Function, as set out in the Treasury Board Secretariat’s Materiel Management Policy, can be applied conceptually to any government institution and is divided into four phases of the life-cycle management of movable assets within which are listed eight sub-functions described below.

General Guidelines

Policy and Procedures	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 procedures, 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.” For example, two years after all administrative actions are completed.

<i>Function / Description</i>	<i>Retention Guidance and Authorities</i>
<p>1. Assessing Requirements <i>This sub-function generally encompasses the business processes and activities which produce records created by government institutions while evaluating existing assets and resources, assessing current and future organizational needs, and reviewing alternative means of satisfying materiel needs including the re-engineering business processes; monitoring and providing feedback on the implementation and effectiveness of Materiel Management policies; promoting the acceptance and use of environmentally sound products and practices by institutional managers; ensuring that Materiel Management complies with institutional policies and standards; and ensuring the effective and efficient management of all inventories and inventory cost distribution.</i></p>	<p>Disposition Authority MIDA 99/003</p>

Function / Description	Retention Guidance and Authorities
<p>2. Planning Materiel Requirements <i>This sub-function generally encompasses the business processes and activities which produce records created by government institutions while developing purchasing strategies, participating in procurement strategy reviews, short-term and long-term logistics planning, and life-cycle costing of acquisition alternatives; coordinating the development of materiel and logistics objectives and operational plans that are consistent with corporate goals, including environmental objectives, policy and legislation; and keeping inventories of materiel purchasing and holding costs using automated information systems (for example, the Assets Information Management system) and supporting technology when these systems are cost-effective and can improve the Materiel Management Function.</i></p>	<p>Disposition Authority MIDA 99/003</p>
<p>Catalogues, Manuals and Price Lists Related to Planning</p>	<p>Until superseded or obsolete</p>
<p>Drawings and Specifications Related to Planning</p>	<p>Until superseded or obsolete</p>

Function / Description	Retention Guidance and Authorities
<p>3. Acquiring Materiel Assets and Related Services</p> <p><i>This sub-function generally encompasses the business processes and activities which produce records created by government institutions while procuring, purchasing, contracting, leasing, making, buying, reusing, and as much as possible selecting and ordering products which should be reusable and contain reusable parts, recyclable, and have a long service life or be economical to repair; putting in place an acquisition process that encourages competition, reduces costs and improves productivity; and ensuring delegation of Materiel Management acquisition authorities, as fully as possible, to line managers and other employees so that they can carry out their work in the most efficient and effective manner, including issuing acquisition cards to purchase materiel resources. This sub-function includes contracting for and procurement of services related to the management of moveable assets, for example, on maintenance services for vehicles or for moving, shipping and storage of furniture, equipment and supplies.</i></p> <p>NB: Contracts for the procurement of services related to other common administrative functions – for example, property acquisition, maintenance of facilities or office design – belong more appropriately to the Real Property Management Function and should always be disposed of according to the appropriate MIDA.</p> <p>Contracts, Contract Demands, Purchase Orders, Tenders, Progress Reports, etc., Related to Acquiring Materiel Assets and Related Services</p> <p>Requisitions Related to Acquiring Material Assets and Related Services</p>	<p>Disposition Authority MIDA 99/003</p> <p>For the purposes of MIDAs the terms “contracts” and “contracting” are considered to be subjects and not functions, or at most an activity which must be related to a specific common administrative function. The activities related to contracting are governed primarily by Treasury Board Secretariat’s Contracting Policy and its Appendices (http://publiservice.tbs-sct.gc.ca/pubs_pol/dcgpubs/Contracting/contractingpol_e.html), <i>Financial Administration Act</i>, North American Free Trade Agreement (NAFTA), World Trade Organization – Agreement on Government Procurement (WTO-AGP), Agreement on Internal Trade (AIT), and by other extant policies used by institutions subject to the <i>National Archives of Canada Act</i>.</p> <p>3 yrs</p> <p>1 yr</p>
<p>Individual Standing Offer Agreements Related to Acquiring Materiel Assets and Related Services</p>	<p>Until offer expires</p>
<p>Acquiring Clothing - Supply and Records of Issue</p> <p>NB: Dress regulations, change of uniforms pertaining to regimental and other institutionally issued dress and uniforms specific to the mandate of an institution are excluded in MIDA 99/003</p>	<p>3 yrs</p>
<p>Acquiring Stationery</p>	<p>1 yr</p>

<p>Acquiring Technical Equipment (e.g. Heating Plants, Telecommunications)</p> <p>Minor</p> <p>Major</p> <p>NB: It is up to the institution to determine the difference between minor and major acquisitions. Generally, however, the value and/or long-term value of an item determines whether it can be considered minor or major.</p>	<p>2 yrs</p> <p>5 yrs (A2, D3)</p>
<p>Acquiring Vehicles - Individual Vehicles</p>	<p>3 yrs</p>
<p>Acquiring Forms</p>	<p>1 yr</p>
<p><i>Function / Description</i></p>	<p><i>Retention Guidance and Authorities</i></p>
<p>4. Operating Materiel Assets <i>This sub-function encompasses the business processes and activities which produce records created by government institutions while solving daily operational problems related to manual, mechanical or technological equipment, vehicles and other machinery or devices which form part of an institution's materiel assets used to carry out and support its functions.</i></p>	<p>Disposition Authority MIDA 99/003</p>
<p>Operating Vehicles</p> <p>Routine</p> <p>Individual Vehicles - Log Books - Registering and Licencing</p>	<p>3 yrs</p> <p>1 yr after disposal Until superseded or obsolete</p>
<p><i>Function / Description</i></p>	<p><i>Retention Guidance and Authorities</i></p>
<p>5. Using Materiel Assets <i>This sub-function generally encompasses the business processes and activities which produce records created by government institutions while ensuring that materiel is used to the fullest extent possible, by encouraging the transfer, sharing, leasing, sale or barter of materiel within and between institutions; managing a materiel resources inventory to identify, measure, and distribute inventory; keeping track of materiel in use, loaned or transferred; and effectively using facilities to stock materiel assets.</i></p>	<p>Disposition Authority: MIDA 99/003</p>
<p>Accounting for and Inventorying Materiel Assets (Stocktaking, Creating and Maintaining Inventories, etc.)</p>	<p>1 yr after superseded or obsolete</p>
<p>Labeling (Cataloguing, Identification, etc.) Materiel Assets</p>	<p>Until superseded or obsolete</p>

<i>Function / Description</i>	<i>Retention Guidance and Authorities</i>
Lending Materiel Assets	1 yr after return or disposal of equipment
<i>Function / Description</i>	<i>Retention Guidance and Authorities</i>
1. Maintaining Materiel Assets <i>This sub-function generally encompasses the business processes and activities which produce records created by government institutions while ensuring that materiel resources are properly maintained and used to the extend the service life of the product; repairing, refinishing and reusing equipment and furnishings when economically feasible; shipping storing and handling hazardous materiel in accordance with applicable federal, provincial, and other applicable statutes and regulations.</i>	Disposition Authority MIDA 99/003
Maintaining and Repairing Materiel Assets	2 yrs
Maintaining and Repairing Vehicles	3 yrs
<i>Function / Description</i>	<i>Retention Guidance and Authorities</i>
2. Replacing Materiel Assets <i>This sub-function generally encompasses the business processes and activities which produce records created by government institutions while replacing parts or complete items when these assets are beyond cost-effective repair, and where a complete replacement is a better investment.</i>	Disposition Authority: MIDA 99 /003
Routine Replacement of Materiel Assets	3 yrs
<i>Function / Description</i>	<i>Retention Guidance and Authorities</i>
3. Disposing Materiel Assets <i>This sub-function generally encompasses the business processes and activities which produce records created by government institutions while disposing of and writing-off all materiel that has been purchased, produced or acquired, irrespective of whether it is recorded in an inventory data base or is an intangible asset, due to inventory shortage, destruction, fire, theft, loss or other reasons; disposing of hazardous waste through a specialized waste management company; donating the asset when the cost of selling an item exceeds the probable proceeds; disposing in a manner that obtains best value, including trade-ins where fair market price must be negotiated, and with consideration to disposal alternatives, such as reusing, recycling or recovering.</i>	Disposition Authority: MIDA 99/003

<i>Function / Description</i>	<i>Retention Guidance and Authorities</i>
Disposal and Surplus	
Routine	1 yr after surplus declaration to Crown Assets Distribution Directorate, Public Works and Government Services Canada
Condemnation and Destruction	1 yr after disposal
Write-offs, Sales, Surplus, Donations	1 yr after disposal, sale, or donation