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Canada

Retention Periods Guidelines

Common Administrative Records

Information Session

Library and Archives of Canada, 18 June 2003



*INFORMATION MATTERS.
L'INFORMATION, ÇA COMPTE.*





Welcome



- Aims of this morning's Information Session

- What we will cover this morning ...and what we won't !
- Thanks to all contributors





Background / Timeline



- 1960s to 1980s – GRDS
- 1990s – MIDA
- June 2000 – Interim Retention Guidelines
- Summer 2003 – Approved Guidelines





1980s - GRDS



- Dual purpose:
 - Gave direction on the retention periods of common administrative records.
 - Authorized federal institutions to dispose of administrative records

1990s - MIDAs



- Single purpose:
 - Authorized federal institutions to dispose of common administrative records
 - Continued use of GRDS for direction on retention periods for administrative records



2000 – Interim Retention Periods Guidelines



- Single purpose:
 - Completely replaced retention direction provided by the *GRDS*
 - Used “Exclusion clauses”
 - Updated retention direction



Summer 2003 – Approved Retention Periods Guidelines



- Single purpose:
 - Replaces the interim Retention Guidelines
 - Provides LAC approved “best practice” guidance for retention periods for Common Administrative Records.
 - Follows the functional arrangement of the *MIDAs*





Summer 2003 – Approved Retention Periods Guidelines – Cont'd

They do NOT cover:

- Transitory Records
- Operational Records
- Common administrative records of a federal institution responsible for carrying out a government-wide administrative function





Summer 2003 – Approved Retention Periods Guidelines – Cont'd



They also do not include:

- MIDA “Exclusions” from the interim
“Retention Guidelines, June 2000”





Arrangement of the Guidelines



- General Introduction to package
- Section I - Introduction to each Guideline
- Section II – Record Retention Periods



General Introduction



- Identifies that the Guideline is not an authority to dispose of records
- Identifies institutions' responsibilities when setting retention periods
- Creates links to the MIDA
- Identifies legislation and retention standards for personal information
- Clearly identifies the scope and application of the Guidelines
- Provides contact information for guidance



Section I – Specific Introduction



- Identifies that the Guideline is NOT a Disposition Authority
- Includes information on scope and application pertinent to a particular function
- Identifies OPIs which can not use the Guideline
- Identifies obligations to compulsory Personal Information retention standards

Section II – Record Retention Periods

Comptrollership Function

Encompasses the functions, sub-functions, processes, activities, and transactions of the management of financial resources commonly conducted 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 Comptrollership Function includes the *Financial Administration Act* and the *Auditor General Act*. For the purposes of identifying and explaining records disposition requirements, the Comptrollership Function has been divided into three sub-functions, as identified in the tables below.

General Guideline

Policy and Procedures	6 yrs after superseded Active 2 yrs, Dormant 4 yrs (A2, D4)
Routine	2 yrs

Exceptions to this General Guideline are noted in the related sub-functions listed below.

NOTE: The six-year retention period for policy and procedures, and the two-year period for routine records should be applied, unless otherwise specified, 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. As well, in the case of comptrollership records, care must be taken to ensure that the records are kept for the fiscal years under consideration.

Section II – Cont'd



<i>Function/Description</i>	<i>Retention Guidance and Authorities</i>
2. Financial Management This sub-function includes material on all aspects of financial reporting, classification of accounts, budgetary control, financial information systems, accounting for assets and liabilities, accounting for special purpose funds, and revolving funds	Disposition Authority: MIDA 99/004
Accounts and accounting (Appropriations, Disbursements. Etc) Records relating to Conducting Suspense Accounts (Including ledgers)	1 fiscal yr after transfer to appropriate account



Section II – Cont'd



Function/Description	Retention Guidance and Authorities
<p>Claims—By and Against the Crown</p> <p>Individual Claims – Includes Vehicle, Ship, Boat and Aircraft Accident and Other claims Files By and Against the Crown Finalized of Authorized to be Deleted or Transferred to an Inactive Account Receivable.</p>	<p>6 fiscal years yrs after the settlement of individual claim (A2, D4). This is a Retention and Disposal Standard governed by the <i>Privacy Act</i> and prescribed by the Treasury Board that must be adhered to. See Treasury Board's <i>InfoSource: Sources of Federal Employee Information, Standard Bank PSE 912 – Performance Reviews and Employee Appraisals</i> (http://www.tbs-sct.gc.ca/pubs_pol/gospubs/infosource/2001/infosource_e.html)</p> <p>Note: This standard is being considered by Treasury Board. This or an adjusted retention and disposal standard will be published in the next scheduled version of <i>InfoSource: Sources of Federal Employee Information</i> and, if required, an amendment to these Guidelines will be issued.</p>

Assistance



- For further information on the
**Retention Period Guidelines for
Common Administrative Records**
Contact the

IM Centre

Telephone: 613-944-4644

Email: imgi@archives.ca



QUESTIONS ?

