



National Archives
of Canada

Archives nationales
du Canada

MULTI-INSTITUTIONAL DISPOSITION AUTHORITIES AND SUPPORTING DOCUMENTATION

1st Edition



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Canada

Multi-institutional Disposition Authorities

Introduction

Every year, federal government institutions¹ create and manage information in all media of recorded communication in support of public policy, the administration of government, and the delivery of programmes and services to Canadians.

Under the *National Archives of Canada Act* (1987), the National Archives is charged with various responsibilities regarding the disposal of this information, including the authorization of records destruction by government institutions (*Section 5*) and the preservation of records for their archival or historical importance (*Section 6*).

To meet these legislative requirements, the National Archivist issues *Records Disposition Authorities* to enable government institutions to dispose of records which no longer have operational utility, either by permitting their destruction, by requiring their transfer to the National Archives, or by agreeing to their alienation from the control of the Government of Canada.

Records Disposition Authorities are granted by the National Archivist to government institutions in two ways, either

(1) on an institution-specific basis, through the approval of records disposition authorities which relate to records managed by a single government institution, and which allow the institution to dispose of records according to the terms and conditions of an agreement negotiated between the National Archivist and the institution;

or

(2) on a multi-institutional basis, through the approval of records disposition authorities which relate to records managed by all or a multiple number of government institutions, and which allow the institutions empowered to use the authorities to dispose of records under certain terms and conditions.

This collection of Records Disposition Authorities relates exclusively to approvals issued by the National Archivist to all or a multiple number of government institutions permitting the disposal of records on a multi-institutional basis.

Multi-Institutional Disposition Authorities: Purposes and Objectives

The *Multi-Institutional Disposition Authorities (MIDA)* in this collection are issued by the National Archivist to provide direction to government institutions subject to the *National Archives of Canada Act* regarding the disposal of records managed by all or a multiple number of government institutions. They are designed to eliminate the need for government institutions individually to prepare submissions for and negotiate agreements with the National Archivist for records which have similar administrative or operational status.

¹ For the purpose of records disposition, federal government institutions comprise all institutions subject to the *National Archives of Canada Act*.

The collection also contains other documents prepared by the National Archives – policies, agreements, guidelines, etc. – which have multi-institutional application across government in reference to the disposal of federal records.

The Legislative Framework of Government Records Disposition: the *National Archives of Canada Act*

The disposal of records managed by government institutions occurs under the *National Archives of Canada Act*. A government institution is subject to the *National Archives of Canada Act* if it is listed in Schedule 1 of the Access to Information Act or in the Schedule to the Privacy Act.

The *National Archives of Canada Act* establishes the authority of the National Archivist to control the destruction of records by government institutions and to preserve records with archival or historical value, and to take whatever measures and steps are deemed necessary to achieve these goals and objectives. It also identifies the responsibilities, obligations and accountabilities of government institutions in relation to records disposal processes.

It is important to note that a *Records Disposition Authority* permitting the destruction of records by a government institution *does not constitute a requirement to destroy*, nor does it provide direction regarding the timing of records destruction.

A permission to dispose of records granted by the National Archivist to a government institution simply indicates that the National Archives of Canada has determined that these records do not need to be preserved for the future archival or historical use of Canadians. Accountability regarding the decision to destroy records and the timing of records destruction rests with individual government institutions.

Retention Periods for Records

Records Disposition Authorities issued by the National Archivist to government institutions, including *Multi-Institutional Disposition Authorities*, do not provide or authorize retention periods for records.

In cases where records are determined to have archival or historical value and are required to be transferred to the custody and control of the National Archives, the National Archivist negotiates agreements with government institutions regarding the timing of transfers (or other arrangements) in order to secure their preservation as archival documents.

Who May Use the Multi-Institutional Disposition Authorities?

Unless otherwise specified, all government institutions subject to the *National Archives of Canada Act* may use the *Multi-Institutional Disposition Authorities* to dispose of records which do not have archival or historical value.

Exceptions to the application of a *Multi-Institutional Disposition Authority* are identified in appended *Terms and Conditions*, notably in the statement of the Scope of records disposition coverage and in the statement of the *Authorization to Destroy*.

How Should Multi-Institutional Disposition Authorities be Applied by Government Institutions?

Records Disposition Authorities should be applied to records by government institutions in the following order of priority:

- (1) *Institution-Specific Disposition Authorities (ISDA)* related to records managed by single government institutions. *ISDA* take precedence over all other *Records Disposition Authorities* issued by the National Archivist.
- (2) *Multi-Institutional Disposition Authorities* related to operational or medium-specific records.
- (3) *Multi-Institutional Disposition Authorities* related to common administrative records.

Questions?

Questions concerning the application or interpretation of the *Multi-Institutional Disposition Authorities* in this collection may be addressed to the Records Disposition Business Centre of the National Archives at (613) 947-1483. The Centre will forward queries to the information systems analyst responsible for your institution.

Multi-Institutional Disposition Authorities (MIDA)
Specific exclusions within
the five MIDA for Common Administrative Records

MIDA	Specific Exclusions
MIDA 98/001 General Administration Function	98/001 Exclusions: None
MIDA 2001/002 Real Property Management Function	2001/002 Exclusions: records related to - 1. Any real property designated or recognized by the Minister of Canadian Heritage as heritage property having national or historical significance.
MIDA 99/003 Materiel Management Function	99/003 Exclusions: records related to - 1. Aircraft; 2. Clothing - Dress regulations and change of uniforms, etc.; 3. Ships - Large; and 4. Ships - Ocean-going and ice breakers, etc. including drydocks. N.B. Records related to Major Crown Projects are excluded not as a specific exclusion, but under the standard provision for OPI records exclusion - Appendix 1.
MIDA 99/004 Comptrollership Function	99/004 Exclusions: records related to - 1. External audits performed by outside consultants (internal audits); 2. Trust accounts related to mandated operational functions; 3. Major capital plans and projects (planning and executing only); 4. Payroll activity recorded on the employee personnel file; 5. Internal audit and program evaluation final report files within an individual institution as part of its Review activity; 6. Alternative service delivery; 7. Agreements with other levels of government, where the institution plays the role of Office of Primary Interest; and 8. Transfer payments, grants, and contributions.
MIDA 98/005 Human Resources Management Function	98/005 Exclusions: None

Multi-Institutional Disposition Authorities (MIDA) **Standard exclusions within** **the five MIDA for common administrative records**

Multi-Institutional Disposition Authorities for common administrative records include **standard exclusions** within their Terms and Conditions - Appendix 1. The Scope of each MIDA may also describe what the function-specific MIDA covers and what it does not cover, e.g. applies to all institutions subject to the *National Archives of Canada Act*, applies to electronic records and databases which directly support the function covered by a specific MIDA, etc.

The **standard exclusions** are all records created, collected, or maintained in any medium by a federal institution in support of the [specific common administrative MIDA] Function of the Government of Canada that:

- ! are operational in nature;
- ! are of a mixed operational and administrative character;
- ! do support an administrative function in an Office of Primary Interest;
- ! are otherwise excluded from the application of Authority [a specific MIDA] by virtue of the definitions and scope statement contained in this Appendix;
- ! are anterior to 1946; and
- ! have retention periods - established by the institution according to its legal and operational requirements - which have not expired.

Note: This list of specific and standard exclusions is not meant to replace the function-specific MIDA as the authoritative response to questions related to the disposition of common administrative records of the Government of Canada. This list is only meant as a quick summary of exclusions to answer frequently asked questions by federal institutions. All exclusions, whether specific or standard, should be covered by institution-specific disposition authorities.

**MULTI-INSTITUTIONAL
DISPOSITION AUTHORITIES
AND
SUPPORTING DOCUMENTATION**

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**SUPPORTING DOCUMENTATION
LEGISLATION, POLICIES, AND GUIDELINES**

1.1 *The National Archives of Canada Act*

1.2 **Amendments to the** *National Archives of* *Canada Act*

1.3 Downsizing Government and the Disposition of Records — National Archives Action Plan

1.3 National Archives of Canada Downsizing Government and the Disposition of Records

Action Plan

4 June 1996

1. Goal

To ensure the orderly disposition of records by government institutions facing downsizing (especially where this involves major programme reduction, complete abandonment of a function, or transfer of the programme to another jurisdiction).

2. Legislative Framework — *National Archives of Canada Act*

2.1 Subsection 5 (1): No record under the control of a government institution...whether or not it is surplus property of a government institution, shall be destroyed or disposed of without the consent of the National Archivist.

Note: Disposition of records includes alienation from the control of the government.

2.2 Subsection 6 (1): The records of a government institution...that, in the opinion of the Archivist, are of historic or archival importance shall be transferred to the care and control of the Archivist in accordance with such schedules or other agreements for the transfer of records as may be agreed on between the Archivist and the government institution...

2.3 Subsection 6 (3): Except as otherwise directed by the Governor in Council, the Archivist shall have the care and control of all records of any government institution the functions of which have ceased.

3. Accountability Framework

In all situations of alienation, it is the government institution devolving the programme that determines the federal government's long-term operational and legal needs for records. This includes providing appropriate access and security safeguards for, and the protection of personal information in, any alienated records and the rights of former federal employees in personnel records. The Authority of the National Archivist to alienate the records from the control of the Government of Canada does not imply that the Archivist certifies that such federal operational and legal requirements have been addressed or can be met if the records are alienated.

4. Need for Records Disposition Authorities when Downsizing

Government records are disposed of in accordance with Records Disposition Authorities granted by the National Archivist or through agreements for the direct transfer, to the National Archives (NA), of records deemed to have archival value.

If a Records Disposition Authority (the Authority) has previously been granted to destroy or dispose of all of the records, the records can be alienated from the control of the Government of Canada without further involvement by the National Archives (NA). That previous Authority must cover all records for a particular function or programme, including active and inactive records, headquarters/regional/field-office records and records on all media types, e.g., electronic records, audio-visual records.

If all or a portion of the records have been appraised as archival in the previous Authority, however, a separate, new Authority may be required; refer to the following Action Plan.

If the records have not been appraised for their archival value and thus are not covered by an Authority, a separate, new Authority is required before destruction or alienation can occur.

Subsection 6 (3) of the *National Archives of Canada Act* applies in cases where an entire government institution ceases its functions, and no other federal institution has been authorized to handle the residual or wrap-up activities of the abolished institution.

5. Action Plan

5.1 Defunct Institutions and Programmes: i.e., an entire function ceases to exist.

If another federal institution shares, continues or has been assigned accountability for all or part of the abolished programme/function, the records should be transferred to that institution. Disposition of the records will be conducted within the framework of the normal records disposition programme between that institution and the National Archives.

Example: The home insulation programme of Consumer and Corporate Affairs (CCA) was abolished, as was CCA itself, yet protection of consumers remains a federal function in the Department of Industry. Therefore, records of the defunct CCA programme were transferred to Industry Canada until their legal value expires. With an Authority in place, the records can then be destroyed or, if appraised to have archival value, transferred to the NA.

If no law, order in council, memorandum of understanding, or exchange of letters exists authorizing an institution to assume the residual functions or outstanding legal responsibilities of a defunct institution, the records (whether they have archival value or not) pass to the care and control of the National Archivist and should therefore be transferred to the NA.

Example: The Economic Council of Canada and the Department of Urban Affairs were both abolished, and no federal institutions continued their functions in any significant way. Therefore, invoking Subsection 6(3), their records passed to the control of the National Archivist.

5.2 Mergers: i.e., complete programmes and their records are subsumed or joined with some other programme(s) or function(s).

No special “downsizing” Authority is required and affected records will be disposed via the normal records disposition process.

If the existing organization of the records or the records themselves are threatened by this type of initiative (e.g., inherited file series are to be broken up into other registries or transferred inactive electronic records are left dormant on a shelf), direct transfer procedures may need to be immediately applied (i.e., transfer of dormant electronic records from the inheriting institution to the NA, or in case of paper or other records that are to be distributed into the successor agency's own information systems, the NA will provide advice on how to document the former organization and nature of the inherited records before they are so distributed).

- 5.3** Streamlining: i.e., programmes are reduced in scope or size but continue to exist, e.g., there are fewer regional or local offices, fewer board or commission members, fewer activities, or lower budgets.

No special “downsizing” Authority is required and affected records will be disposed via the normal records disposition process.

- 5.4** Uncertain or Partial Alienation: i.e., programmes are being assigned to some special entity, e.g., “government-owned, company-operated” or “not-for-profit government-controlled monopoly,” but some continuing reporting or funding relationship with the federal government will exist.

The key issue in these situations is “control of the record”, i.e., does the new entity hold control of the records or does the federal institution through which the new entity may continue to report or by which it may continue to be regulated? The parent or senior institution and its legal counsel must define the nature of its “control” relationship with the new entity.

If the new entity assumes control of the records, see Section 5.5, Alienated Records.

If a government institution subject to the National Archives of Canada Act retains or assumes control of the records, use procedures outlined in 5.2, Mergers.

- 5.5** Alienated Records: i.e., records are being removed from the jurisdiction and control of the Government of Canada.

If the National Archivist has already consented to the destruction or disposal of all the records involved, they may be alienated without further recourse to the National Archives by the present record-holding federal institution. The Authority used, however, must cover all records for the affected function or programme, including active and inactive records, headquarters, regional or field-office records, and records on all media types, e.g., electronic records, audio-visual records.

If all or some of the records proposed for alienation have been determined to have archival value in an existing Authority, or if no archival appraisal has been done at all, then the records must be appraised before alienation occurs, and a new Authority will be required.

*Existing Disposition Authorities should be reviewed because they may be outdated; cover the records of one class of office only, (e.g., headquarters, regional, or field offices); or they may not cover records on media other than paper.

In conducting its appraisal of records, the NA will endeavour to define “archival value” as narrowly as is possible, thereby allowing the transfer of as many records as possible to the new jurisdiction without encumbrance.

If records identified as having archival value are needed by the new jurisdiction to carry on the business activity involved, two options can be considered:

- the records could be copied; or
- the records could be loaned to the new entity.

Creating a copy of records for the use of the new entity should be done at the expense of the new entity or that of the transferring government institution. The new entity should be provided with the copies, originals should be retained by the alienating institution and disposed of within the context of normal records disposition activities.

If the records are to be loaned, the transferring government institution and the new entity must enter into an Agreement that contains explicit terms and conditions to the effect that the records are to be returned to the alienating institution after a negotiated but specific number of years, and that any loaned record is not to be altered or added to in any way, but is to be returned in the same condition as when it left federal custody. If the alienation initiative must be accomplished within a time frame that would preclude the possibility of conducting an archival appraisal prior to the transfer of records, the option to loan records could be employed in advance of an archival appraisal provided that the alienating institution prepares and submits a Records Disposition Submission covering the affected records to the NA before the loan agreement is implemented.

1.4 Retention Guidelines for Common Administrative Records of the Government of Canada

2

TRANSITORY RECORDS

2.1 Authority for the Destruction of Transitory Records

2.1 National Archives of Canada Authority for the Destruction of Transitory Records

December 1990

1 Approval

This authority provides approval to Ministers and government institutions for the destruction of *TRANSITORY RECORDS*.

2 Authority

The authority for this document is Section 5(1) of the *National Archives of Canada Act*, which states: “no record under the control of a government institution and no ministerial record, whether or not it is surplus property of a government institution, shall be destroyed or disposed of without the consent of the [National] Archivist [of Canada].”

3 Application

This authority applies to all government institutions and ministerial records as defined in the *National Archives of Canada Act*.

4 Definition

Record, as defined in Section 2 of the *Act*, “includes any correspondence, memorandum, book, plan, map, drawing, pictorial or graphic work, photograph, film, microform, sound recording, video tape, machine readable record, and any other documentary material, regardless of physical form or characteristics, and any copy thereof.”

TRANSITORY RECORDS are those records that are required only for a limited time to ensure the completion of a routine action or the preparation of a subsequent record. *TRANSITORY RECORDS* **do not** include records required by government institutions or Ministers to control, support, or document the delivery of programs, to carry out operations, to make decisions, or to account for activities of government.

5 Guidelines

Records Categories

For the purposes of records disposition, there are three broad categories of government records:

- records common to the internal administration and operations of institutions;
- records unique to the specific operational responsibilities of an institution; and,
- ministerial records.

The disposal of common records of institutions is authorized in the *General Records Disposal Schedules* of the Government of Canada. The disposal of those records unique to the specific operational responsibilities of government institutions is approved by the National Archivist based on a review of records retention and disposal submissions prepared by institutions. Ministerial records, as defined in the *Act*, are disposed of by agreement between the Minister and the National Archivist.

Information of transitory value is found in all three categories of records. Such information needs to be retained for only a very short period of time before destruction.

5.1 Textual (Hardcopy) Records

Textual records that are transitory may include:

- information in a form used for casual communication;
- versions that were not communicated beyond the individual who created the document;
- copies used for information, reference or convenience only; or
- annotated drafts where the additional information is found in subsequent version, except where retention is necessary as evidence of approval or the evolution of the document.

5.2 Electronic Records

Transitory records in electronic form may exist in a variety of forms and formats regardless of data processing environments, from large centrally managed mainframes to stand-alone personal computers. The examples described below are applicable regardless of the environment.

This authority should be applied to electronic records within the context of the standard operating practices that institutions support for the effective and efficient administration of their automated information systems.

Electronic records that are transitory may include:

5.2.1 Input/Source Records

Electronic records entered into a system during an update process and not required for audit or legal purposes.

- delete when the data have been verified and entered into the master file or database, or when no longer needed to support reconstruction of or serve as back-up to a master file or database

Electronic records of a master file or a portion of a master file that are transmitted or sent to another location.

- if the master file is retained, delete the version at the transmittal location when action is completed.

5.2.2 Intermediate Input/Output Records

Electronic records containing data that are manipulated, sorted and/or moved from one run (i.e. execution of a program) to a subsequent run in the process of creating or updating a master file or database.

- delete in accordance with system design specification

5.2.3 Valid Transaction File

Electronic records consisting of data that are used with a master file in the course of batch processing to create an updated master file. It excludes master files from one system that are used as transaction files in a second system.

- delete in accordance with system design specifications

5.2.4 System Audit Records

Electronic records generated during the creation or use of a master file or database that contain information on the operation of the system except where they are required to support the integrity of the master file or database.

- delete in accordance with system design specifications

5.2.5 Test Records

Electronic records consisting of routine or bench-mark data constructed or used for the purpose of testing system performance.

- delete in accordance with system design specifications

5.2.6 Print Files

Electronic files copied from a master file or database where the sole purpose is to produce hardcopy publications and/or printouts of tabulations, ledgers, registers and reports.

- delete in accordance with system design specifications

5.2.7 Electronic Documents

Electronic documents can include messages transmitted in a data communication system (e.g. E-Mail) and/or letters, memoranda, guidelines, directives and other documents normally generated or received in an office environment.

Electronic documents that are transitory may include:

- information in a form used for casual communication;
- process versions of electronic information that were not communicated outside the creating office
- electronic versions of documents used for information, reference or convenience only;
- draft versions of documents where annotations and additional information are incorporated into subsequent versions, except where retention is necessary as evidence of approval or the evolution of the document; and,
- electronic documents recorded and stored on electronic media such as hard disks or floppy diskettes, are used to produce a hardcopy version, and a duplicate is maintained in hardcopy files.

5.3 Photographic Records

Photographic records that are transitory may include:

- Process Photography, containing negatives created solely as an intermediate stage in printing operations, and where such negatives are used to create lithographic or photo off-set laces; and
- Outs, containing photographs which do not become part of a collection, and are discarded immediately after creation because of poor quality duplication or repetitiveness. “Outs” do not include photographic records which are include with a group of records or other photographs for even a short period of time which are then believed to have lost their usefulness and are slated for “culling” from the group.

5.4 Moving Image and Sound Records

Moving image and sound records that are transitory may include;

- intermediate film, video or sound recording material generated to prepare an audio, video, film or sound recording presentation or production, that are not required to reconstitute the completed production, and that are not defined as original footage or printing elements for final production.

6. Inquiries

Inquiries concerning the application of this approval should be addressed to the **Archives Development and Preservation Branch, National Archives of Canada.**

3

COMMON ADMINISTRATIVE RECORDS

3.1

General Administration Function (Authority No. 98/001)

**Records Disposition
Authority No. 98/001**

**Autorisation de disposition
des documents n° 98/001**

issued to

délivrée

**Government Institutions subject to
the *National Archives of Canada Act*
for
Common Administrative Records
related to
the General Administration Function**

**aux institutions fédérales assujetties à
la *Loi sur les Archives nationales du Canada*
pour
les documents administratifs communs
se rapportant à
la fonction administrative générale**

The National Archivist of Canada, pursuant to subsection 5(1) of the *National Archives of Canada Act*, consents to the destruction of all records described in the appended Functional Profile when institutions subject to the Act decide that these records have no remaining operational or legal value. All records subject to this Authority may be destroyed or otherwise disposed of upon the expiry of the retention periods established for them within federal government institutions.

Conformément au paragraphe 5(1) de la *Loi sur les Archives nationales du Canada*, l'Archiviste national du Canada accorde son consentement à la destruction des documents décrits dans le Profil fonctionnel qui figure en annexe lorsque les institutions assujetties à la Loi jugeront que les documents ne possèdent plus de valeur administrative ou juridique. Les institutions fédérales peuvent détruire ou se départir des documents visés par la présente autorisation à l'expiration des délais de conservation qu'elles leur auront assignés.

Appendices: Terms and Conditions
Functional Profile

Annexes : Modalités de transfert
Profil fonctionnel



Lee McDonald
Acting National Archivist of Canada /
Archiviste national du Canada par intérim

4/11/98
Date

3.1 APPENDIX I – TERMS AND CONDITIONS for the Disposition of Common Administrative Records in support of the General Administration Function of the Government of Canada

A. Key Definitions

Common Administrative Records – Records created, collected, or received by a federal government institution to support and document broad internal administrative functions and activities *common to or shared by all federal government institutions* (for example, finance and the management of human resources).

Operational Records – Records created, collected, or received by a federal government institution to support and document business functions, programmes, processes, transactions, services, and all other activities *uniquely or specifically assigned to that particular institution* by legislation, regulation, or policy.

General Administration Function (of the Government of Canada) – 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*, the *National Library Act*, the *Access to Information Act*, and the *Privacy Act*. For the purposes of identifying and explaining records disposition requirements, the General Administration Function has been divided into the following three sub-functions: management of government information, security, and administrative support. (The Functional Profile provides a more complete description of these sub-functions).

Office of Primary Interest – The federal government institution — department, agency, board, office, or commission — to which the authority, responsibility, and accountability to perform a particular function on behalf of the Government of Canada has been specifically assigned by legislation, regulation, policy, or mandate.

B. Scope of the Authority

- Authority No. 98/001 applies to all common administrative records in support of the General Administration Function of the Government of Canada (that is records documenting common administrative business functions, sub-functions, programmes, and activities), regardless of how the records are organized or internally controlled within each institution; it entirely supersedes Schedule 1 (Administration) of the GRDS (PAC 86/001).
- The scope of Authority No. 98/001 has been significantly reduced from the coverage under Schedule 1 (Administration) of the GRDS (PAC 86/001). A number of elements and categories of subjects, functions, record types, and records formerly covered have been excluded because

they potentially involve disposition decisions for records which are created, collected or received by the institution to support and document policies, programmes, and services related to its operations. The subjects and records descriptions contained in Schedule 1 of the GRDS (PAC 86/001) and excluded from Authority No. 98/001 will be appraised separately within their specific common administrative or operational functional context.

- Institutions with specific operational mandates as Offices of Primary Interest for aspects of the General Administration Function shall not apply Authority No. 98/001 to their operational records regarding those aspects of the General Administration Function. If, for any reason, an institution subject to the *National Archives of Canada Act* creates, collects, or receives General Administration Function records that are not common or administrative, the institution must seek a separate authority (for operational records) to dispose of such records. All government functions, subjects, record types, and records excluded from the scope of Authority No. 98/001 or any other Multi-Institutional Disposition Authority must be covered by authorities granted to individual federal institutions in the course of the Multi Year Disposition Plan. For example, Authority No. 98/001 does not apply to the operational records of institutions which have specifically assigned legislative mandates in the sub-function of security (for instance, the Canadian Security Intelligence Service, the Royal Canadian Mounted Police, and the Communications Security Establishment and, at a policy level, Treasury Board and the Privy Council).
- Authority No. 98/001 applies to **all** institutions subject to the *National Archives of Canada Act*, whether or not their General Administration Function activities follow Treasury Board or other central agency policies and guidelines. For example, some institutions, like Crown corporations, may not be required to follow central agency policies concerning the General Administration Function, yet these institutions are subject to the Act.
- Authority No. 98/001 does not supersede other Authorities requiring the preservation of archival records. It should be applied *after* the Transitory Records Authority, any operational records disposition authority (also referred to as an Institution-Specific Disposition Authority or ISDA), and any Multi-Institutional Disposition Authority (MIDA) for generic groups of records such as posters, records from a minister's or deputy head's office, and records generated by imaging systems. Some operational records Authorities (that is, ISDAs) also include the disposition of some common administrative records. The Terms and Conditions for the application of these ISDAs remain in effect.
- Authority No. 98/001 does not apply to records series or groupings or collections which mix common administrative and operational records.
- Authority No. 98/001 applies to electronic records, databases, and office systems —and any related technical documentation or contextual metadata information — created in support of the General Administration Function in all government institutions. This Authority does not apply, however, to electronic records, databases, or office systems — or any related technical or contextual metadata information — created by government institutions in support of any function uniquely or specifically assigned to them by legislation, policy, or mandate within their operational context or as an Office of Primary Interest.

- It is incumbent upon each government institution to understand and apply generally any legislation regarding the retention and disclosure of information and more specifically its own extant legislation. Each government institution is therefore required to determine the appropriate retention periods for its records, including those common administrative records covered by Authority No. 98/001.

C. Authorization to Destroy Records

All records created, collected, or maintained in any medium by a federal institution in support of the General Administration Function of the Government of Canada may be destroyed *provided that*:

- the records are not operational in nature;
- the records are not of a mixed operational and administrative character;
- the records do not support an administrative function in an Office of Primary Interest;
- the records are not otherwise excluded from the application of Authority No. 98/001 by virtue of the definitions and scope statement contained in this Appendix;
- the records are not anterior to 1946; and
- the retention periods of the records — established by the institution according to its legal and operational requirements — have expired.

A strict application of the above definitions and exclusions, and the prioritized use of the various Records Disposition Authorities will ensure that there are no records of archival value amongst the remaining common administrative records in support of the General Administration Function of the Government of Canada.

3.1 APPENDIX II – FUNCTIONAL PROFILE of the General Administration Function of the Government of Canada

The purpose of the Functional Profile is to facilitate the application of the Terms and Conditions (Appendix I) relating to the disposition of common administrative records created, collected or maintained by the Government of Canada in support of the General Administration Function. It consists of a template describing the three sub-functions associated with general administration, each sub-function further sub-divided into tasks, activities and processes, as appropriate.

1. Management of Government Information

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 programmes or activities which are common to all government institutions: Access to Information; Protection of Privacy; Records Management, including the Essential Records Programme; Management of Technology; Library Services; Correspondence Management; Forms Management; Manuals Management; Mail and Messenger Services; and Photocopying and Printing Services.

● Access to Information and Privacy

This programme/activity generally includes the business processes and activities which produce records created by government institutions in relation to the administration of the *Access to Information Act* and *Privacy Act*. More specifically, it includes individual requests for access to records under the acts.

● Records Management

This programme/activity generally includes the business processes and activities which produce records created by government institutions to manage their corporate records. More specifically, it includes the essential records programme, and the micrographic and imaging programs, and comprises elements such as developing, adopting and implementing classification systems; procedures and techniques for maintaining records; records inventories and records disposition authorities; it excludes the actual records that are designated as essential and which must be covered by Institution-Specific Disposition Authorities, and the actual records which are microfilmed or imaged.

- **Management of Technology**

This programme/activity generally includes the business processes and activities which produce records created by government institutions relating exclusively to common administrative functions for the management of technology. More specifically, it includes electronic systems development, maintenance, and technical assistance for office systems and databases that support common administrative functions; it excludes activities or records that support operational functions or operational automated information systems, or any mixture of operational and administrative functions.

- **Library Services**

This programme/activity generally includes the business processes and activities which produce records created by government institutions relating to the delivery of library services, sometimes referred to as documentation or reference services. It excludes the activities and records which form the actual intellectual holdings of these libraries, documentation, or reference centres. The disposal of “grey literature” and other reference support materials, including pamphlets, unpublished reports (no ISBN number), various media such as posters and films, may be the subject of another Multi-Institutional Disposition Authority.

- **Other Information Management Activities and Services**

This programme/activity generally includes the business processes and activities which produce records created by government institutions relating to correspondence management; forms management; manuals management; mail and messenger services; photocopying and printing services.

2. Security

This sub-function generally encompasses the business processes and activities which produce records created by government 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 violations. 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 investigation of such activities.

3. Administrative Support

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 parking; telecommunication services; and administrative support services such as word processing, stenographic, and translation services.

3.2 Real Property Management Function (Authority No. 2001/002)

**Records Disposition
Authority No. 2001/002**

**Autorisation de disposition
des documents n° 2001/002**

issued to

délivrée

**Government Institutions subject to
the *National Archives of Canada Act*
for
Common Administrative Records
related to
the Real Property Management Function**

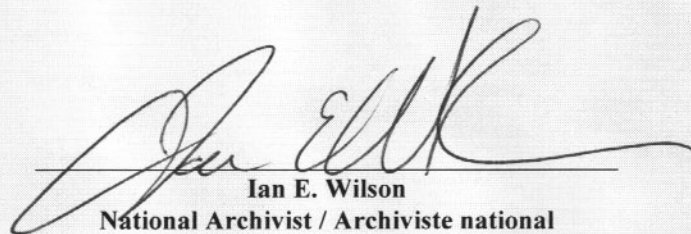
**aux institutions fédérales assujetties à
la *Loi sur les Archives nationales du Canada*
pour
les documents administratifs communs
se rapportant à
la fonction de la gestion immobilière**

The National Archivist of Canada, pursuant to subsection 5(1) of the *National Archives of Canada Act*, consents to the destruction of all records described in the appended Functional Profile when institutions subject to the Act decide that these records have no remaining operational or legal value. All records subject to this Authority may be destroyed or otherwise disposed of upon the expiry of the retention periods established for them within federal government institutions.

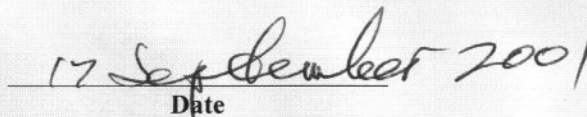
Conformément au paragraphe 5(1) de la *Loi sur les Archives nationales du Canada*, l'Archiviste national du Canada accorde son consentement à la destruction des documents décrits dans le Profil fonctionnel qui figure en annexe lorsque les institutions assujetties à la Loi jugeront que les documents ne possèdent plus de valeur administrative ou juridique. Les institutions fédérales peuvent détruire ou se départir des documents visés par la présente autorisation à l'expiration des délais de conservation qu'elles leur auront assignés.

Appendices: Terms and Conditions
 Functional Profile

Annexes : Modalités de transfert
 Profil fonctionnel



Ian E. Wilson
National Archivist / Archiviste national



Date

3.2 APPENDIX I – TERMS AND CONDITIONS for the Disposition of Common Administrative Records in support of the Real Property Management Function of Institutions subject to the *National Archives of Canada Act*

A. Key Definitions

Common Administrative Records – Records created, collected, or received by a government institution to support and document broad internal administrative functions and activities *common to or shared by all institutions* (for example, materiel management, comptrollership, or human resources management).

Operational Records – Records created, collected, or received by an institution to support and document business functions, programmes, processes, transactions, services, and all other activities *uniquely or specifically assigned to that particular institution* by legislation, regulation, or policy.

Office of Primary Interest – The federal government institution – department, agency, board, office, or commission – to which the authority, responsibility, and accountability to perform a particular function on behalf of the Government of Canada has been specifically assigned by legislation, regulation, policy, or mandate.

Office of Collateral Interest – The federal government institution – department, agency, board, office, or commission which is implicated in or associated with the performance of, or some aspect of, a function, the management of a program, or the delivery of a service for the Government of Canada by virtue of legislation, regulation, policy or mandate.

Real Property Management Function – Encompasses the functions, sub-functions, processes, activities, and transactions of administrative business, concerning the management of federal real property or other real property used or acquired by an institution, commonly conducted in and across all government institutions to support and facilitate the delivery of programmes and services. The main legislation underpinning the Real Property Management Function includes the: *Department of Public Works and Government Services Act, Federal Real Property Act, Department of Canadian Heritage Act, National Capital Act, Financial Administration Act, Historic Sites and Monuments Act, Natural Resources Act, and Expropriations Act.*

For the purpose of identifying and explaining records disposition requirements, the Real Property Management Function as set out in the Treasury Board of Canada Secretariat's real property policies can be applied conceptually to any government institution and is divided into five sub-functions related to the life-cycle management of real property immovable assets. A detailed description of each sub-function is contained in **Appendix II, Profile of the Real Property Management Function**. The five sub-functions (in bold type) are:

1. **assessing** and **planning** real property requirements,
2. **acquiring** real property assets and related services,
3. **operating** and **using** real property,
4. **maintaining** real property assets, and
5. **replacing, transferring** and **disposing** of real property assets.

B. Scope of the Authority

- Authority No. 2001/002 applies to all common administrative records in support of the Real Property Management Function of institutions subject to the *National Archives of Canada Act* (i.e., records documenting common administrative business functions, sub-functions, programmes, activities, and transactions), regardless of how the records are organized or internally controlled within each institution. It entirely supersedes Schedule 2 – *Buildings and Properties* of the GRDS (PAC 86/001).
- Authority No. 2001/002 applies to **all** institutions subject to the *National Archives of Canada Act*, whether or not their Real Property Management functional activities follow Treasury Board or other central agency policies and guidelines. For example, some institutions, like Crown corporations, may not be required to follow central agency policies concerning the Real Property Management Function, yet these institutions are subject to the Act.
- Authority No. 2001/002 applies to electronic records, databases, and office systems – and any related technical documentation or contextual metadata information – created in support of the Real Property Management Function in all government institutions. However, this Authority **does not** apply to electronic records, databases, or office systems – or any related technical or contextual metadata information – created by government institutions in support of any function uniquely or specifically assigned to them by legislation, policy, or mandate within their operational context, or as an Office of Primary Interest or Office of Collateral Interest.
- The scope of Authority No. 2001/002 has the same coverage over activities related to common or general purpose real property accommodations as that under Schedule 2 – *Buildings and Properties* of the GRDS (PAC 86/001), and includes common administrative activities related to real property environmental interests. A number of elements and categories of subjects, record types, and records may have been covered formerly under the “Consult the Public Archives,” “Submit for retention and disposal authority when obsolete,” or “Transfer to the Public Archives of Canada,” clauses in Schedule 2. These have now been **excluded** wherever they potentially involve disposition decisions for records which are created, collected or received by the institution to support and document policies, programmes, and services related to its operations,

and are thus operational in nature. The subjects and records descriptions contained in Schedule 2 of the GRDS (PAC 86/001) under these clauses, and excluded from Authority No. 2001/002, will be appraised separately within their institution-specific or operational functional context. Specifically **excluded** from this Authority are records relating to the management of any real property, including: national parks, national historic sites, historic canals, national battlefields, national conservation areas, heritage railway stations, federal heritage buildings, and monuments, designated or recognized by the Minister of Canadian Heritage as heritage property having national or historical significance, as these are by definition not common or administrative in nature.

- Institutions with specific operational mandates as Offices of Primary Interest (OPI) or Offices of Collateral Interest (OCI) for aspects of the Real Property Management Function **shall not** apply Authority No. 2001/002 to their operational records regarding those aspects of the Real Property Management Function. If, for any reason, an institution subject to the *National Archives of Canada Act* creates, collects, or receives Real Property Management functional records that are not common or administrative, the institution must seek a separate authority to dispose of such operational records. All government functions, subjects, record types, and records excluded from the scope of Authority No. 2001/002, or any other Multi-Institutional Disposition Authority, must be covered by Authorities granted to individual institutions in the course of a Multi-Year [Records] Disposition Plan. For example, Authority No. 2001/002 **does not** apply to the operational records of OPI institutions which have been assigned legislative mandates in the government-wide function of Real Property Management (for instance the: Department of Justice Canada, Environment Canada, Canadian Environmental Assessment Agency, Department of Canadian Heritage, Parks Canada Agency, Health Canada, Human Resources Development Canada, National Capital Commission, Department of Natural Resources, Department of Public Works and Government Services Canada, Royal Canadian Mounted Police, and the Treasury Board of Canada Secretariat as central agents of the government). Nor does Authority No. 2001/002 apply to the operational records of OCI institutions (for instance the: Department of National Defence, Department of Foreign Affairs and International Trade, Department of Transport, Canada Port Authorities, Federal Bridge Corporation Limited, National Battlefields Commission, Mackenzie Valley Land and Water Board, and Canada Lands Company Limited), and other Crown Corporations, Agencies, Commissions, or Boards as part of their specific legislative or policy mandates. This condition applies whether or not the institution uses the mandatory or optional real property common services of an Office of Primary Interest such as Public Works and Government Services or the Department of Justice Canada.
- Authority No. 2001/002 **does not** apply to records series or groupings or collections which mix common administrative and operational records.
- Authority No. 2001/002 **does not** supersede other Records Disposition Authorities requiring the preservation of archival records. It should be applied *after* the Transitory Records Authority, any operational Records Disposition Authority (also referred to as an Institution-Specific Disposition Authority or ISDA), and any Multi-Institutional Disposition Authority (MIDA) for generic groups of records such as posters, records from a minister's or deputy head's office, and records generated by imaging systems. Some operational records Authorities (for example, ISDAs) also include the disposition of some common administrative records. The Terms and Conditions for the application of these ISDAs remain in effect.

- It is incumbent upon each institution to understand and apply generally any legislation regarding the retention and disclosure of information and more specifically its own extant legislation. Each government institution is therefore required to determine the appropriate retention periods for its records, including those common administrative records covered by Authority No. 2001/002.

C. Authorization to Destroy Records

All records created, collected, or maintained in any medium by an institution in support of the Real Property Management Function may be destroyed *provided that*:

- the records are not operational in nature;
- the records are not of a mixed operational and administrative character;
- the records do not support an administrative function in an Office of Primary Interest;
- the records are not otherwise excluded from the application of Authority No. 2001/002 by virtue of the definitions and scope statements contained in this Appendix;
- the records are not anterior to 1946; and
- the retention periods of the records – established by the institution according to its legal and operational requirements – have expired.

A strict application of the above definitions and exclusions, and the prioritized use of the various Records Disposition Authorities will ensure that there are no records of archival value amongst the remaining common administrative records in support of the Real Property Management Function in institutions subject to the *National Archives of Canada Act*.

3.2 APPENDIX II – PROFILE of The Real Property Management Function of Institutions subject to the *National Archives of Canada Act*

The purpose of the Functional Profile is to facilitate the application of the Terms and Conditions (Appendix I) relating to the disposition of common administrative records created, collected or maintained by government institutions subject to the *National Archives of Canada Act* in support of the Real Property Management Function. It consists of a template describing the five major sub-functions associated with Real Property Management, and subdivided by activities, tasks, and processes as appropriate.

For the purposes of archival appraisal, records disposition, and records and file classification system design, a **Function** means: 1) any high level purpose, responsibility, task or activity which is assigned to the accountability agenda of an institution by legislation, policy or mandate; 2) typically common administrative or operational functions of policy development and program and/or delivery of goods or services; 3) a set or series of activities (broadly speaking a business process) which, when carried out according to a prescribed sequence, will result in an institution or individual producing the expected results in terms of the goods or services it is mandated or delegated to provide.

Real Property Management

The function of Real Property Management, as a broad conceptual description of a common or shared function within and across all government institutions, is the management of federal real property¹ as defined by the *Federal Real Property Act*, such as buildings, lands, fixed structures and related utility infrastructures, and other real property² assets. The *Federal Real Property Act* establishes ministers' authority to enter into transactions for acquiring, transferring, and disposing of real property, and the *Real Property Transactions Processes and Authority Policy* of the Treasury Board of Canada Secretariat sets thresholds above which Treasury Board (TB) approval is required before an institution carries out a transaction. This function involves how an institution manages its real property assets to ensure it meets its operational requirements for effective program delivery to the maximum long-term economic advantage of the government, to honour environmental objectives, to provide safe and adequate facilities, and to respect relevant government policies on the acquisition, use, maintenance, and disposition of real property by the Government of Canada. Real Property Management is described as a life-cycle approach to the management of real property assets of an institution or administered by an institution, as set out in the Treasury Board of Canada Secretariat's Real Property Management policies and related publications. The life-cycle approach

¹The *Federal Real Property Act*, section 2, defines **federal real property** as “... real property belonging to Her Majesty, and includes any real property of which Her Majesty has the power to dispose.”

²The *Federal Real Property Act*, section 2, defines **real property** as “... land whether within or outside of Canada, including mines and minerals, and buildings, structures, improvements and other fixtures on, above or below the surface of the land, and includes an interest therein.”

can be applied to any institution whether or not it is subject to federal central agency policies or guidelines. Real Property Management and its various sub-functions, as it is understood here, is governed by Federal, Provincial or other Acts, Statutes, Regulations, and Circulars and all other Appendices and Sections which consist of either mandatory or optional requirements as specified.

The Treasury Board Advisory Committee on Real Property (TBAC/RP), consisting of senior representatives from custodian, policy and service departments, advises the TB on federal government real property policies, practices and expenditures, and provides a forum for discussing real property issues. Departments having administration of real property must develop, maintain and apply appropriate organizational, technical, administrative and financial structures, policies, practices and systems to manage the real property in their custody. Custodian departments (those whose Minister has administration of real property for the purposes of the department's programs) are accountable for initiating all actions concerning the acquisition, use, and disposition of real property required to deliver their programs, and must obtain all services related to real property in accordance with the Treasury Board of Canada Secretariat's *Common Services Policy* for mandatory and optional services. For example, Public Works and Government Services Canada (as a common service organization, upon request from an institution) can provide services and advice on acquisition, management, or disposition of real property; and provide architectural and engineering services, including services in respect of the adoption and application of related codes, standards, procedures, guidelines and technologies. For a complete list of real property custodian organizations and the policy and service organizations, institutions should refer to the Treasury Board of Canada Secretariat's Real Property Management policies and publications.

This Functional Profile and Authority 2001/002 **does not** apply to any record created, collected, or received by an institution to support and document its operational real property business functions, programmes, processes, transactions, services, and all other activities uniquely or specifically assigned to that particular institution as an Office of Primary Interest or Office of Collateral Interest by legislation, regulation, mandate or policy. For example, institutions having an operational mandate to assess and plan, acquire, operate and use, maintain, or dispose of any real property, such as (but not restricted to): railways, ports, airports, canals or locks, drydocks, shipyards, harbours, waterways, roads or highways, bridges, tunnels, museums, galleries, art centres, cultural repositories, libraries, observatories, conservatories, post offices, training facilities, sites, buildings, structures, parks or monuments, correctional facilities and reformatories, radar installations, power generating facilities, land waste sites, mines and minerals, federal records centres, etc., cannot use Authority 2001/002 for those aspects of their Real Property Management activities. This condition applies whether or not the institution uses the mandatory or optional real property common services of an Office of Primary Interest such as Public Works and Government Services Canada or the Department of Justice Canada.

This Functional Profile and Authority 2001/002 **does not** apply to any record created, collected, or received by an institution to support and document its real property functions, programmes, processes, transactions, services, and all other activities relating to national parks, national historic sites, historic canals, national battlefields, national conservation areas, heritage railway stations, federal heritage buildings, and monuments that have been designated, classified, or recognized by the Minister of Canadian Heritage as heritage property having national or historical significance, as these are by definition not common or administrative in nature.

Real Property Management in this functional profile is divided into five sub-functions of the life-cycle of real property assets. The five sub-functions of the Real Property Management Function (RPMF) are listed below in bold:

1. **assessing** and **planning** real property requirements,
2. **acquiring** real property assets and related services,
3. **operating** and **using** real property,
4. **maintaining** real property assets, and
5. **replacing, transferring** and **disposing** of real property assets.

The Real Property Management functional profile applies to the following five common administrative sub-functions:

Assessing and Planning Real Property Requirements

This sub-function generally encompasses the business processes and activities which produce records created by government institutions while evaluating existing assets and resources, and assessing current and future organizational needs; developing short-term to maximum long-term strategic planning and life-cycle costing of acquisition alternatives; coordinating the development of real property objectives based on requirements for institutional programs and plans that are consistent with corporate goals, including environmental objectives, policy and legislation; keeping inventories and maintaining records of real property administered by departments and Crown corporations, including recording information in the Directory of Federal Real Property (DFRP) containing the central records of the real property holdings of the Government of Canada; seeking the administration of real property, through acquisition or transfer only when the property is required for the purposes of the department's programs; conducting regular reviews of the real property administered, linking it to program requirements, and confirming that the current use of it is appropriate; ascertaining the environmental condition of the property before acquisition and determining whether it is or can be made environmentally compatible with its intended use; and systematically examining and assessing the condition of the real property in inventory and using this information to determine when and how to acquire, maintain, preserve, and renew its value based on the full life-cycle costs of the property involved.

Acquiring Real Property Assets and Related Services

This sub-function generally encompasses the business processes and activities which produce records created by government institutions that add new real property to the federal inventory by purchase, lease, exchange, gift, easement, expropriation, or any other means, such as the acceptance of the surrender of a lease or the acceptance of the relinquishment of a licence or easement; transfer of administration of real property from a department or an agent Crown corporation to a department; or a transfer of administration and control of real property to the federal government. It also includes the contracting for or provision of services supporting the acquisition, use and maintenance of real property; for example, cleaning, utilities maintenance and repair, office design, fire-protection or investigating and reporting, snow removal, surveying, etc. Acquiring real property must be done in a manner consistent with the principle of sustainable development contributing to protecting and preserving the environment, and in a manner that protects their heritage character by arranging for the Department of Canadian Heritage to evaluate sites, and all buildings 40 years of age or older as to their heritage designation before acquiring, altering, dismantling, demolishing or selling them. The Minister of Canadian Heritage is responsible for approving heritage designations of real property based on criteria and a process for evaluation and designation of such heritage or historic character, upon the recommendations of the Federal Heritage Buildings Review Office or the Historic Sites and Monuments Board of Canada. The *National Capital Act* requires separate approval by the National Capital Commission for the acquisition, disposal and demolition of buildings on federal lands within the National Capital Region, as well as for exterior alterations and additions to them. When acquiring real property, departments must determine that the total consideration payable or receivable by the government is justified in relation to the market value of the real property using current appraisals or estimates. When proposing to acquire, lease, design, build or alter a building, institutions must have the plans, drawings or specifications reviewed by Labour Canada to ensure conformance with fire standards and codes.

Note: Whereas this sub-function includes the management of the RPFM common administrative activities and processes involved in contracting for or procuring related services it does not include the financial management or Comptrollership activities related to acquisitions. Records kept for the dual purpose of documenting Real Property Management and Comptrollership activities or transactions, whether these records are originals or copies kept by Real Property Management or Financial Management program areas for convenience, are also covered by the Records Disposition Authority for the financial Comptrollership function. In this case, the Terms and Conditions document attached to the MIDA 2001/002 describes the sequenced application of Records Disposition Authorities under the heading Scope of the Authority and shall be adhered to.

Operating and Using Real Property Assets

This sub-function generally encompasses the business processes and activities which produce records created by government institutions while operating and using real property assets such as, buildings, works, lands, communications systems, hydro-electric structures, utility infrastructures, sewers and drainage, or other fixed structures on, above or below the surface of the land; ensuring that real property is used for its intended purpose; using real property in a manner consistent with the principle of sustainable development contributing to protecting and preserving the environment, and in a manner that protects their heritage character; providing a safe, healthy and productive environment in facilities; ensuring barrier-free access to, and use of, real property owned or leased; ensuring the real property conforms to physical and fire standards and policies on occupational health and safety; and ensuring that the appropriate program department administers real property, and the total real property a department administers (referring to the stewardship between a department and the real property it uses for its program purposes and for which it is accountable) is limited to that required to directly support its program.

Maintaining Real Property Assets

This sub-function generally encompasses the business processes and activities which produce records created by government institutions while ensuring real property assets are properly maintained to extend the service life of the asset for as long as the property is required for the purposes of the institutions' programs; repairing, refurbishing, altering, improving, and reusing assets when economically feasible; submitting annual reports to the Treasury Board of Canada Secretariat reflecting changes made to accessibility plans and implementation progress on accessibility improvements completed to real property. Real Property must be managed and maintained to the maximum long-term economic advantage of the government, to honour environmental objectives, and to provide safe and adequate facilities.

Replacing, Transferring and Disposing of Real Property Assets

This sub-function generally encompasses the business processes and activities which produce records created by government institutions while replacing, exchanging, transferring, disposing, or selling-off real property when these assets are beyond cost-effective repair or are no longer required for the purposes of an institution's programs, including custody transfer of administration of real property that supports an adjustment to or transfer of program accountability, such as transfers to support the government's reassignment of program responsibility, transfers to support government restructuring, and transfers to recognize a more appropriate custodian; disposing of real property which includes alienating real property by sale, lease, exchange, gift, easement, or any other means, such as the surrender of a lease or the relinquishment of a real property from one department to another department or an agent Crown corporation, or a transfer of administration and control of real property from the federal government; and disposing of real property in a manner consistent with the principle of sustainable development contributing to protecting and preserving the environment, and in a manner that protects their heritage character.

When disposing of real property, departments must; determine that the total consideration payable or receivable by the government is justified in relation to the market value of the real property using current appraisals or estimates; ascertain the environmental conditions of the real property and determine whether or not remediation is necessary in consultation with legal and environmental advisors; provide the public with a fair and equitable opportunity to acquire real property from, and to dispose of it to, the government by soliciting offers where it is appropriate to do so; and consult with the Department of Canadian Heritage when selling a property containing a National Historic Site or part thereof, or with the Federal Heritage Buildings Review Office of Heritage Canada before disposing of recognized or classified heritage buildings. (**Note:** all records documenting activities related to any real property, or about the property itself, which has a recognized or classified heritage designation from the Department of Canadian Heritage are operational in nature and are, therefore, excluded from the scope of MIDA 2001/002 and this Profile)

All records documenting activities related to Canadian natural resources, mines, and minerals are operational in nature and, therefore, are excluded from the scope of MIDA 2001/002 and this Profile. All dispositions of mineral rights must be made through Natural Resources Canada.

All proposals for the alteration, demolition, or sale of sites, buildings or other works, or change to the use of public lands within the National Capital Region (NCR), must be submitted to the National Capital Commission (NCC) for approval prior to the commencement of the project, and no public lands in the NCR shall be sold without the approval of the NCC or Governor in Council.

Custodian departments must establish and maintain a database of their contaminated sites and their solid waste landfills, and provide this information (updated annually) to the Treasury Board of Canada Secretariat (TBS) for incorporation into the central *Federal Contaminated Sites Inventory* and the central *Federal Solid Waste Landfills Inventory*, both managed by TBS. This is mandatory for sites known to be contaminated as of 1 April 1998, and optional on contaminated sites that were remediated before 1 April 1998.

3.3 **Materiel Management Function (Authority No. 99/003)**

**Records Disposition
Authority No. 99/003**

**Autorisation n° 99/003
de disposer de documents**

issued to

délivrée

**Government Institutions subject to
the *National Archives of Canada Act*
for
Common Administrative Records
related to
the Materiel Management Function**

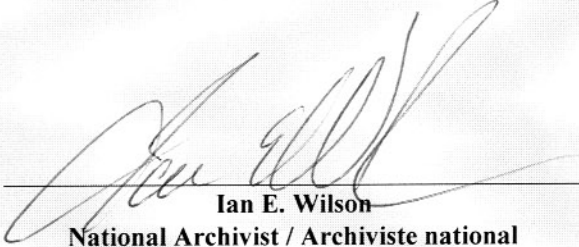
**aux institutions fédérales assujetties à
la *Loi sur les Archives nationales du Canada*
pour
les documents administratifs communs
se rapportant à
la fonction de la gestion du matériel**

The National Archivist of Canada, pursuant to subsection 5(1) of the *National Archives of Canada Act*, consents to the disposal of all records described in the appended Functional Profile when institutions subject to the Act decide that these records have no remaining operational or legal value. All records subject to this Authority may be destroyed or otherwise disposed of upon the expiry of the retention periods established for them within federal government institutions.

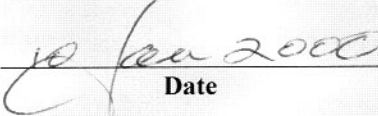
Conformément au paragraphe 5(1) de la *Loi sur les Archives nationales du Canada*, l'Archiviste national du Canada accorde son consentement à l'élimination de tous les documents décrits dans le Profil fonctionnel qui figure en annexe lorsque les institutions assujetties à la Loi jugeront que les documents ne possèdent plus de valeur administrative ou juridique. Les institutions fédérales peuvent détruire ou se départir des documents visés par la présente autorisation à l'expiration des délais de conservation qu'elles leur auront assignés.

Appendices: Terms and Conditions
Functional Profile

Annexes : Modalités de transfert
Profil fonctionnel



Ian E. Wilson
National Archivist / Archiviste national



Date

3.3 APPENDIX I – TERMS AND CONDITIONS for the Disposition of Common Administrative Records in support of the Materiel Management Function of the Government of Canada

A. Key Definitions

Common Administrative Records Records created, collected, or received by a federal government institution to support and document broad internal administrative functions and activities *common to or shared by all institutions* (for example, finances and the management of human resources).

Operational Records Records created, collected, or received by a federal government institution to support and document business functions, programmes, processes, transactions, services, and all other activities *uniquely or specifically assigned to that particular institution* by legislation, regulation, or policy.

Office of Primary Interest The federal government institution – department, agency, board, office, or commission – to which the authority, responsibility, and accountability to perform a particular function on behalf of the Government of Canada has been specifically assigned by legislation, regulation, policy, or mandate.

Materiel Management Function (of the Government of Canada) 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 (in bold type) as follows:

- Phase 1. **assessing** and **planning** requirements,
- Phase 2. **acquiring** materiel assets and related services,
- Phase 3. **operating**, **using** and **maintaining** materiel, and
- Phase 4. **replacing** and **disposing** of materiel assets.

(For a more complete description of each sub-function, see [The Functional Profile](#) in Appendix II).

B. Scope of the Authority

- Authority No. 99/003 applies to all common administrative records in support of the Materiel Management Function of institutions subject to the *National Archives of Canada Act* (i.e., records documenting common administrative business Functions, sub-functions, programmes, transactions, and activities) regardless of how the records are organized or internally controlled within each institution. It entirely supersedes Schedule 3 (Equipment and Supplies) of the GRDS (PAC 86/001).
- Authority No. 99/003 applies to **all** institutions subject to the *National Archives of Canada Act*, whether or not their Materiel Management functional activities follow Treasury Board or other central agency policies and guidelines. For example, some institutions, like Crown corporations, may not be required to follow central agency policies concerning the Materiel Management Function, yet these institutions are subject to the Act.
- Authority No. 99/003 applies to electronic records, databases, and office systems – and any related technical documentation or contextual metadata information – created in support of the Materiel Management Function in all government institutions. This Authority does not apply, however, to electronic records, databases, or office systems – or any related technical or contextual metadata information – created by government institutions in support of any function uniquely or specifically assigned to them by legislation, policy, or mandate within their operational context or as an Office of Primary Interest.
- The scope of Authority No. 99/003 has been reduced from the coverage under Schedule 3 (Equipment and Supplies) of the GRDS (PAC 86/001). A number of elements and categories of subjects, record types, and records which may have formerly been covered (under the “Consult the Public Archives” clause) have now been excluded because they potentially involve disposition decisions for records which are created, collected or received by the institution to support and document policies, programmes, and services related to its operations. Specifically excluded in this Authority from the former Schedule 3 are the four subject record groups: Aircraft; Clothing – Dress regulations and change of uniforms, etc.; and Ships – Large; Ships – Ocean-going and ice breakers, etc., including drydocks. The subjects and records descriptions contained in Schedule 3 of the GRDS (PAC 86/001) under the “Consult the Public Archives” clause, and excluded from Authority No. 99/003, will be appraised separately within their specific common administrative or operational functional context.
- Institutions with specific operational mandates as Offices of Primary Interest for aspects of the Materiel Management Function shall not apply Authority No. 99/003 to their operational records regarding those aspects of the Materiel Management Function. If, for any reason, an institution subject to the *National Archives of Canada Act* creates, collects, or receives Materiel Management functional records that are not common or administrative, the institution must seek a separate authority (for operational records) to dispose of such records. All government functions, subjects, record types, and records excluded from the scope of Authority No. 99/003 or any other Multi-Institutional Disposition Authority must be covered by Authorities granted to individual institutions in the course of the Multi Year [Records] Disposition Plan. For example, Authority No. 99/003 does not apply to the operational records of institutions which have specifically assigned legislative mandates in the function of Materiel Management (for instance,

the Treasury Board Secretariat, the Department of Public Works and Government Services Canada, Common Service Organizations, and the Department of National Defence for military missions) nor does it apply to the materiel assets acquired and used for Major Crown Projects.

- Authority No. 99/003 does not apply to records series or groupings or collections which mix common administrative and operational records.
- Authority No. 99/003 does not supersede other Records Disposition Authorities requiring the preservation of archival records. It should be applied *after* the Transitory Records Authority, any operational Records Disposition Authority (also referred to as an Institution-Specific Disposition Authority or ISDA), and any Multi-Institutional Disposition Authority (MIDA) for generic groups of records such as posters, records from a minister's or deputy head's office, and records generated by imaging systems. Some operational records Authorities (for example, ISDAs) also include the disposition of some common administrative records. The Terms and Conditions for the application of these ISDAs remain in effect.
- It is incumbent upon each government institution to understand and apply generally any legislation regarding the retention and disclosure of information and more specifically its own extant legislation. Each government institution is therefore required to determine the appropriate retention periods for its records, including those common administrative records covered by Authority No. 99/003.

C. Authorization to Destroy Records

All records created, collected, or maintained in any medium by a federal institution in support of the Materiel Management Function of the Government of Canada may be destroyed *provided that*:

- the records are not operational in nature;
- the records are not of a mixed operational and administrative character;
- the records do not support an administrative function in an Office of Primary Interest;
- the records are not otherwise excluded from the application of Authority No. 99/003 by virtue of the definitions and scope statement contained in this Appendix;
- the records are not anterior to 1946; and
- the retention periods of the records – established by the institution according to its legal and operational requirements – have expired.

A strict application of the above definitions and exclusions, and the prioritized use of the various Records Disposition Authorities will ensure that there are no records of archival value amongst the remaining common administrative records in support of the Materiel Management Function in institutions subject to the *National Archives of Canada Act*.

3.3 ANNEXE I — Modalités pour disposer des documents administratifs communs créés au soutien de la fonction « gestion du matériel » de l'administration fédérale

A. Définitions clés

Documents administratifs communs Documents qu'une institution de l'administration fédérale a créés, recueillis ou reçus afin d'étayer et de témoigner des vastes fonctions ou activités administratives internes que toutes les institutions *exercent ensemble ou dont elles se partagent* l'exercice (par exemple, les finances et la gestion des ressources humaines).

Documents d'exploitation Documents qu'une institution de l'administration fédérale a créés, recueillis ou reçus afin d'étayer et de témoigner des fonctions, programmes, processus, transactions, services et toutes autres activités *assignés à cette institution spécifiquement ou uniquement* aux termes d'une loi, d'un règlement ou d'une politique.

Bureau de premier intérêt L'institution fédérale – qu'il s'agisse d'un ministère, d'une agence, d'une commission, d'un bureau ou d'un autre organisme – qui tient son autorité et sa responsabilité pour exécuter une fonction particulière au nom de l'administration fédérale spécifiquement d'une loi, d'un règlement, d'une politique ou d'un mandat.

Fonction « gestion du matériel » (de l'administration fédérale) Réunit les fonctions, sous-fonctions, processus, activités et transactions de nature administrative ayant trait à la gestion des biens mobiliers tels que le mobilier, les ameublements, l'équipement, les fournitures, les véhicules et autres biens matériels utilisés ou acquis par une institution à l'interne ou dans ses tractations avec d'autres institutions afin de faciliter l'exécution de programmes et la prestation de services. La *Loi sur le ministère des Travaux publics et des Services gouvernementaux*, la *Loi sur la production de défense*, la *Loi sur les biens de surplus de la Couronne* et la *Loi sur la gestion des finances publiques* comptent parmi les principales lois qui sous-tendent la fonction « gestion du matériel ». Afin d'identifier et d'expliquer les exigences en matière d'élimination des documents, il est possible d'imaginer l'application de la fonction « gestion du matériel », telle qu'elle est énoncée dans la politique du Secrétariat du Conseil du Trésor sur la gestion du matériel, à n'importe quelle institution de l'administration et on peut la diviser en quatre phases de la gestion du cycle de vie des biens mobiliers, et ces phases regroupent huit sous-fonctions (indiquées en caractères gras) réparties comme suit :

Phase 1. **évaluation** et **planification** des besoins,

Phase 2. **acquisition** de biens matériels et de services connexes,

Phase 3. **fonctionnement, utilisation et entretien** du matériel et

Phase 4. **remplacement et aliénation** du matériel.

Pour une description plus détaillée de ces sous-fonctions, se reporter au Profil fonctionnel (Annexe II).

B. Portée de l'autorisation

- L'Autorisation n° 99/003 s'applique aux documents administratifs communs qui viennent étayer la fonction « gestion du matériel » des institutions fédérales assujetties à la *Loi sur les Archives nationales du Canada* (c'est-à-dire ceux qui témoignent des fonctions administratives communes, sous-fonctions, programmes et activités) sans égard à l'arrangement des documents ou au contrôle interne de ceux-ci au sein de chacune des institutions; l'autorisation remplace totalement le Plan n° 3 (Équipement et fournitures) des Plans généraux d'élimination des documents (PAC 86/001).
- L'Autorisation n° 99/003 s'applique à **toutes** les institutions assujetties à la *Loi sur les Archives nationales du Canada*, que leurs activités relatives à la fonction « gestion du matériel » respectent ou non les politiques et les lignes directrices du Conseil du Trésor ou d'autres organismes centraux. Ainsi, il se peut que des institutions (comme les sociétés d'État) ne soient pas obligées de respecter les politiques des organismes centraux pour ce qui est de la fonction « gestion du matériel », pourtant ces institutions sont assujetties à la Loi.
- L'Autorisation n° 99/003 s'applique aux documents électroniques, aux bases de données et aux systèmes de bureautique – ainsi qu'à la documentation technique ou aux renseignements contextuels sur les métadonnées qui s'y rapportent – créés au soutien de la fonction « gestion du matériel » au sein de toutes les institutions de l'administration fédérale. Cette autorisation ne s'applique toutefois pas aux documents électroniques, aux bases de données ou aux systèmes de bureautique – non plus qu'à la documentation technique ou aux renseignements contextuels sur les métadonnées qui s'y rapportent – créés par les institutions fédérales au soutien d'une fonction qui leur a été assignée exclusivement ou spécifiquement aux termes d'une loi, d'une politique ou de leur mandat dans le cadre de leurs opérations ou à titre de bureau de premier intérêt.
- La portée de l'Autorisation n° 99/003 a été sensiblement réduite par rapport à celle du Plan n° 3 (Équipement et fournitures) des PGÉD (PAC 86/001). Plusieurs des éléments et catégories de sujets, fonctions, types de documents et documents anciennement visés en vertu de la prescription « Consulter les Archives nationales » ont été exclus parce qu'ils sont susceptibles de mettre en cause des décisions relatives à l'élimination de documents créés, recueillis ou reçus par l'institution afin d'étayer ou de documenter des politiques, des programmes et des services reliés aux opérations de l'institution. Sont tout particulièrement exclus de cette Autorisation et figurant dans l'ancien Plan n° 3 les quatre groupes de sujet de document suivants : Aéronef; Habillement – Règlements relatifs à la tenue et changement d'uniformes, etc.; et Navires – grands; Navires – océanique et brise-glace, etc., y compris cales sèches. Les sujets et les descriptions de documents qui figuraient au Plan n° 3 des PGÉD (PAC 86/001) et qui ont été exclus de l'Autorisation n° 99/003 feront l'objet d'une évaluation distincte dans le cadre de leur contexte administratif commun spécifique ou de leur contexte fonctionnel opérationnel.

- Les institutions qui ont des mandats opérationnels spécifiques à titre de bureaux de premier intérêt à l'égard de certains aspects de la fonction « gestion du matériel » ne doivent pas appliquer l'Autorisation n° 99/003 à ceux de leurs documents d'exploitation qui ont trait à ces mêmes aspects de l'administration générale. Si, pour quelque raison que ce soit, une institution assujettie à la *Loi sur les Archives nationales du Canada* crée, recueille ou reçoit des documents qui portent sur la fonction « gestion du matériel » bien qu'il ne s'agisse pas de documents communs ou administratifs, l'institution doit demander une autorisation distincte (qui vise des documents d'exploitation) pour pouvoir disposer de ces documents. Les fonctions, sujets, types de documents et documents de l'administration fédérale exclus de la portée de l'Autorisation n° 99/003 ou de toute autre autorisation pluriinstitutionnelle doivent être visés par des autorisations accordées en particulier à des institutions fédérales dans le cadre d'un Plan pluriannuel d'élimination des documents. Ainsi, l'Autorisation n° 99/003 ne s'applique pas aux documents d'exploitation des institutions dont le mandat législatif spécifique a trait à la fonction « gestion du matériel » (comme, par exemple, le Secrétariat du Conseil du Trésor, les organismes de services communs et le ministère de la Défense nationale à l'égard de missions militaires) ni aux biens matériels acquis ou utilisés à l'égard de grands projets de l'État.
- L'Autorisation n° 99/003 ne s'applique pas à des séries, à des groupes ou à des collections qui réunissent à la fois des documents administratifs communs et des documents d'exploitation.
- L'Autorisation n° 99/003 ne remplace pas d'autres autorisations qui exigent la préservation de documents dotés d'une valeur archivistique. On devrait l'appliquer *après* avoir appliqué l'Autorisation de détruire des documents éphémères, les autorisations de disposer de documents d'exploitation (aussi appelées « autorisations spécifiques de disposer des documents ou ASDD ») et les autorisations pluri-institutionnelles qui visent des groupes de documents de même nature (ou génériques) tels que les affiches, les documents d'un cabinet de ministre ou du responsable d'une institution et les documents générés par des systèmes d'imagerie électronique. Il y a également des autorisations de disposer des documents d'exploitation (à savoir les autorisations spécifiques) qui visent aussi l'élimination de documents administratifs communs. Les modalités afférentes à ces autorisations spécifiques demeurent en vigueur.
- Il incombe à chacune des institutions de l'administration fédérale de comprendre et d'appliquer les dispositions législatives qui ont trait à la conservation et à la communication de l'information et, tout particulièrement, les dispositions législatives qui les concernent directement. Chaque institution a par conséquent le devoir de fixer les délais de conservation qui conviennent à ses documents, y compris les documents administratifs communs visés par l'Autorisation n° 99/003.

C. Autorisation de détruire des documents

Tous les documents créés, recueillis ou conservés sur quelque support que ce soit par une institution fédérale au soutien de la fonction « gestion du matériel » de l'administration fédérale peuvent être détruits *pourvu que* les conditions suivantes se trouvent réunies :

- les documents ne sont pas foncièrement des documents d'exploitation;
- les documents ne sont pas de nature mixte, c'est-à-dire en partie documents administratifs et en partie documents d'exploitation;
- les documents ne servent pas à étayer une fonction administrative dans un bureau de premier intérêt;
- les documents ne se trouvent pas soustraits à l'application de l'Autorisation n° 99/003 en raison des définitions et de l'énoncé sur la portée de l'autorisation qui figurent à la présente annexe;
- les documents ne sont pas antérieurs à 1946;
- les délais de conservation – que l'institution a assignés aux documents en fonction des exigences juridiques et opérationnelles – sont expirés.

Une application stricte des définitions et des exclusions que l'on vient d'énoncer ainsi que l'application des diverses autorisations de disposer des documents selon l'ordre de priorité indiqué feront en sorte qu'il ne se trouve pas de document doté d'une valeur archivistique parmi le reste des documents administratifs communs qui étayent la fonction « gestion du matériel » des institutions fédérales assujetties à la *Loi sur les Archives nationales du Canada*.

3.3 APPENDIX II – FUNCTIONAL PROFILE of the Materiel Management Function of the Government of Canada

The purpose of the Functional Profile is to facilitate the application of the Terms and Conditions (Appendix I) relating to the disposition of common administrative records created, collected or maintained by government institutions subject to the *National Archives of Canada Act* in support of the Materiel Management Function. It consists of a template describing the eight major sub-functions associated with Materiel Management, each sub-function further subdivided into tasks, activities and processes, as appropriate.

Materiel Management

The function of Materiel Management, as a broad conceptual description of a common or shared function within and across all government institutions, is the management of movable assets, such as furniture, furnishings, equipment, supplies, vehicles and other materiel used or acquired by an institution for the purpose of administratively supporting its mission and mandate. This function involves how an institution manages its movable assets to ensure it meets its operational requirements for effective program delivery, and achieves value for money when planning, acquiring, using and disposing of materiel assets. Materiel Management as a life-cycle approach to the management of the materiel assets of an institution, as set out and described in the Treasury Board Secretariat's *Materiel Management Policy*, can be applied to any institution whether or not it is subject to federal central agency policies and guidelines. Materiel Management and its various sub-functions, as it is understood here, are governed by Federal, Provincial or other Acts, Statutes, Regulations, and Circulars and all other Appendices and Sections which consist of either mandatory or optional requirements as specified. Materiel Management in this functional profile is divided into four Phases of the life-cycle of materiel assets within which are listed eight sub-functions (in bold type) as follows:

- Phase 1. **assessing** and **planning** requirements,
- Phase 2. **acquiring** materiel assets and related services,
- Phase 3. **operating**, **using**, and **maintaining** materiel, and
- Phase 4. **replacing** and **disposing** of materiel assets.

This Functional Profile **does not** apply in respect to assets belonging to Real Property Management, where "Real Property" refers to fixed or immovable assets (in contrast to materiel assets which are movable) and, under the *Federal Real Property Act*, means, ". . . land, whether within or outside Canada, including mines and minerals, and buildings, structures, improvements and other fixtures on, above or below the surface of the land, and includes an interest therein." Records related to the Real Property Management function are covered by another Records Disposition Authority.

This Functional Profile **does not** apply to the Materiel Management functions such as planning, procuring or maintaining materiel assets which are part of Major Crown Projects. According to the current Treasury Board policy, *Management of Major Crown Projects*, "A project is deemed to be a Major Crown Project when its estimated cost will exceed \$100 million and the Treasury Board (TB) would assess the project

as high risk. However, Treasury Board may require any project exceeding the sponsoring minister's delegated project approval authority to be managed as an MCP." Records relating to the Materiel Management or Real Property Management of Major Crown Projects should be covered by an Institution Specific Records Disposition Authorities as these MCP's normally have an operational character or a mixed operational/administrative character for the sponsoring institution.

This Functional Profile **does not** apply to any function or sub-functions directly related to the financial management or the Controllership of financial transactions which may take place with or by an institution during the process of acquiring materiel assets by means of contracts, purchase orders or documented in any other financial records.

The Materiel Management functional profile applies to the following eight sub-functions:

- **Assessing Requirements**

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 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.

- **Planning Materiel Requirements**

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 systems¹ and supporting technology when these systems are cost-effective and can improve the Materiel Management Function (MMF).

- **Acquiring Materiel Assets and Related Services**

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

¹ For example, the Assets Information Management system (AIM) is a current materiel management data base used for such tracking and accounting purposes.

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. However, 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 functions-based Records Disposition Authority. For the purposes of MIDAs the terms “contracts” and “contracting” are considered to be a subject in itself and not a function, or at most they may be considered an activity which must be related to a particular common administrative function. The activities related to contracting are governed primarily by Treasury Board Secretariat’s *Contracting Policy* and its Appendices, *Financial Administration Act*, *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 *National Archives of Canada Act*.

Whereas this sub-function includes the management of the MMF common administrative activities and processes involved in contracting, bidding, tendering, preparing standing offers, and use of purchase orders, it **does not** include the financial management sub-functions nor Controllershship of financial transactions related to acquisitions. Records kept for the dual purpose of documenting materiel management and financial transactions, whether these record are originals or copies kept by Materiel Management or Financial Management program areas for convenience, are also covered by the Records Disposition Authority for the Financial Controllershship function. In this case, the Terms and Conditions document attached to the MIDA No. 99/003 describes the sequenced application of Records Disposition Authorities under the heading **Scope of the Authority** and shall be adhered to.

- **Operating Materiel Assets**

This sub-function generally 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.

- **Using Materiel Assets**

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.

- **Maintaining Materiel Assets**

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 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.

- **Replacing Materiel Assets**

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 complete replacement is a better investment.

- **Disposing of Materiel Assets**

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.

3.4 Comptrollership Function (Authority No. 99/004)

**Records Disposition
Authority No. 99/004**

**Autorisation n° 99/004
de disposer de documents**

issued to

délivrée

**Government Institutions subject to
the *National Archives of Canada Act*
for
Common Administrative Records
related to
the Comptrollership Function**

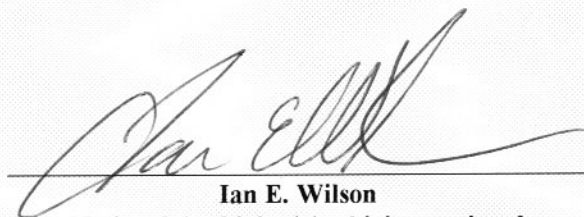
**aux institutions fédérales assujetties à
la *Loi sur les Archives nationales du Canada*
pour
les documents administratifs communs
se rapportant à
la fonction de contrôleur**

The National Archivist of Canada, pursuant to subsection 5(1) of the *National Archives of Canada Act*, consents to the disposal of all common administrative records described in the appended Functional Profile when institutions subject to the Act decide that these records have no remaining operational or legal value. All records subject to this Authority may be destroyed or otherwise disposed of upon the expiry of the retention periods established for them within federal government institutions.

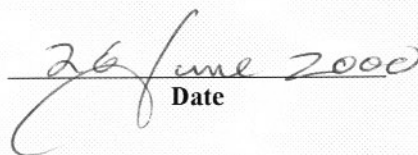
Conformément au paragraphe 5(1) de la *Loi sur les Archives nationales du Canada*, l'Archiviste national du Canada accorde son consentement à l'élimination des documents administratifs communs décrits dans le Profil fonctionnel qui figure en annexe lorsque les institutions assujetties à la Loi jugeront que les documents ne possèdent plus de valeur administrative ou juridique. Les institutions fédérales peuvent détruire ou se départir des documents visés par la présente autorisation à l'expiration des délais de conservation qu'elles leur auront assignés.

Appendices: Terms and Conditions
Functional Profile

Annexes : Modalités
Profil fonctionnel



Ian E. Wilson
National Archivist / Archiviste national



Date

3.4 APPENDIX I – TERMS AND CONDITIONS for the Disposition of Common Administrative Records in support of the Comptrollership Function of the Government of Canada

A. Key Definitions

Common Administrative Records – Records created, collected, or received by a federal government institution to support and document internal administrative functions and activities *common to or shared by all federal government institutions* (for example, materiel management and human resources management).

Operational Records – Records created, collected, or received by a federal government institution to support and document business functions, programmes, processes, transactions, services, and all other activities *uniquely or specifically assigned to that particular institution* by legislation, regulation, or policy.

Office of Primary Interest (OPI) – The federal government institution — department, agency, board, office or commission — to which authority, responsibility and accountability to perform a particular function on behalf of the Government of Canada has been specifically assigned by legislation, regulation, policy or mandate.

Comptrollership Function (of the Government of Canada) – Encompasses the functions, sub-functions, processes, activities, and transactions of administrative business concerning 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 the following three sub-functions:

- **External Audit,**
- **Financial Management,** and
- **Program Management.**

(For a more complete description of each sub-function, see the Functional Profile in Appendix II.)

B. Scope of the Authority

- Authority No. 99/004 applies to **all** common administrative records in support of the Comptrollership Function of the Government of Canada (i.e., records documenting common administrative business functions, sub-functions, programmes, transactions, and activities) regardless of how the records are organized or internally controlled within each institution. It entirely supersedes Schedule 4 (Finance) of the General Records Disposal Schedules (PAC 86/001), and covers many records related to Program Management not previously covered.
- Authority No. 99/004, including specific archival limitations and exclusions, applies to **all** institutions subject to the *National Archives of Canada Act*, whether or not their Comptrollership Function activities are exempted from provisions of the *Financial Administration Act*, or from following Treasury Board or other central agency policies and guidelines governing Comptrollership activities. For example, some institutions may not be required to follow central agency policies concerning the Comptrollership Function, yet these institutions are subject to the *National Archives of Canada Act*.
- Authority No. 99/004 applies to electronic records, databases, office systems – and any related technical documentation or contextual metadata information – created in support of the Comptrollership Function in all government institutions. This Authority does not apply, however, to electronic records, databases, or offices systems – or any related technical or contextual metadata information – created by government institutions in support of any function uniquely or specifically assigned to them by legislation, policy, or mandate within their operational context or as an Office of Primary Interest.
- The scope of Authority No. 99/004 covers all those subjects and records found in Schedule 4 of the GRDS (PAC 86/001). In this Authority, the Comptrollership Function has been divided into the following three sub-functions:
 - A) **External Audit** includes any independent examination and assessment exercised by a party external to the institution being audited, and one mandated to carry out such assessments of financial and program management defined by measurable results;
 - B) **Financial Management** includes financial reporting, classification of accounts, budgetary control, financial information systems, accounting and control of expenditures, accounting and control of revenue, accounting for assets and liabilities, accounting for special purpose funds, and revolving funds; and
 - C) **Program Management** includes expenditure management and supporting activities, capital plans and projects, agreements and arrangements with other levels of government, risk management, external user charges, alternative service delivery, and the review activities which incorporate both internal audit and program evaluation.

From this brief description of the Program Management sub-function, it is recognized that many records related to Program Management not previously covered in the older GRDS are now covered in Authority No. 99/004.

- Institutions which have specific operational mandates as Offices of Primary Interest (OPI) for aspects of the Comptrollership Function shall not apply Authority No. 99/004 to their operational records concerning those aspects of the Comptrollership Function. This restriction presently applies explicitly to the Treasury Board and its supporting Secretariat(s), the Department of Finance, the Privy Council Office, the Auditor General, and Public Works and Government Services Canada. These agencies can apply this authority only to their internal *common administrative records*. All government functions, subjects, record types, and records excluded from the scope of Authority No. 99/004 or any other Multi-Institutional Disposition Authority must be covered by Institution-Specific Disposition Authorities granted to individual federal institutions in the course of the Multi-Year Disposition Plan (MYDP).
- Authority No. 99/004 does not apply to record series or groupings or collections which mix common administrative and operational records.
- Authority No. 99/004 does not supersede other Authorities requiring the preservation of archival records. It should be applied *after* the Transitory Records Authority, any operational Records Disposition Authority relating to a specific institution (also referred to as an Institution-Specific Disposition Authority or ISDA), and any Multi-Institutional Disposition Authority (MIDA) for generic groups of records (such as posters, records from a minister's or deputy head's office, and records generated by imaging systems). Some operational records Authorities (for example, ISDAs) also include the disposition of some common administrative records. The Terms and Conditions for the application of these ISDAs remain in effect.
- It is incumbent upon each government institution to understand and apply generally any legislation concerning the retention and disclosure of information, and more specifically its extant legislation. Each government institution is required to determine appropriate retention periods for its records, including those common administrative records covered by Authority No. 99/004.

C. Authorization to Destroy and Exclusions

C.1 Authorization to Destroy

1.1 All records created, collected, or maintained in any medium by a federal institution in support of the Comptrollership Function of the Government of Canada may be destroyed *provided that*:

- the records are not operational in nature;
- the records are not of a mixed operational and administrative character;
- the records do not support an administrative function in an Office of Primary Interest;
- the records are not otherwise excluded from the application of Authority No. 99/004 by virtue of the definitions and scope statement contained in this Appendix;
- the records are not anterior to 1946; and
- the retention periods of the records – established by the institution according to its legal and operational requirements – have expired.

1.2 A strict application of the definitions and exclusions above, the eight (8) specific exclusions listed in section 2.1 below, and a prioritized use of various Records Disposition Authorities will ensure that there are no records of archival value amongst the remaining common administrative records in support of the Comptroller Function in institutions subject to the *National Archives of Canada Act*.

C.2 Exclusions

2.1 The eight specific exclusions to the general authorization to destroy are as follows:

- **external audits** performed by outside consultants (internal audits);
- **trust accounts** related to mandated operational functions;
- **major capital plans and projects** (planning and executing only);
- **payroll** activity recorded on the **employee personnel file**;
- **internal audit** and **program evaluation** final report files within an individual institution as part of its Review activity;
- **alternative service delivery**;
- **agreements with other levels of government**, where the institution plays the role of Office of Primary Interest; and
- **transfer payments, grants, and contributions**.

2.2 Apart from the general authorization to destroy (C.1.1) and eight specific exclusions (C.2.1), records within the scope of Authority No. 99/004 may be destroyed without further consultation with the National Archives. Before disposing of any record related to these eight specific exclusions, consult the expanded description of the specific exclusion below.

C.3 External Audits

3.1 Where an audit is executed by a central agency, or by any audit service offered by a common service agency, the institutional files related to the audit may be disposed of under Authority No. 99/004.

3.2 Where an audit is conducted by private sector consultants hired by the individual institution the records cannot be disposed of using Authority No. 99/004. These records must be disposed of through an Institution-Specific Disposition Authority.

C.4 Trust Accounts

- 4.1** Trust accounts involving long-term or indeterminate fiduciary responsibilities which affect the rights or entitlements of citizens and which arise from the mandate of an institution; records documenting the policies applied to the administration of such accounts; the trust agreements; and the audited annual statements of such accounts are all excluded from the scope of Authority No. 99/004 and must be disposed of through an Institution-Specific Disposition Authority.
- 4.2** The restriction in section 4.1 above does not apply to the disposition of interim financial statements and accounting documentation such as original receipts, vouchers, or ledgers for any trust account, nor does the restriction apply to short-term trust accounts that arise from the administration of contracts related to administrative activities of an institution or the pay or other financial aspects of Human Resources Management Function.

C.5 Capital Plans and Projects

- 5.1** Records related to **contracts and contracting** activities may be disposed of under Authority No. 99/004, unless they relate to the planning and executing of **major capital plans and projects**. Records documenting the policy development, planning, and evaluation of such plans and projects are excluded from the scope of Authority No. 99/004, and should be disposed of through an Institution-Specific Disposition Authority. For the purposes of this Authority, any capital plan and project with a budget equal to or greater than \$10 million is deemed to be a **major capital plan and project**.

C.6 Payroll

- 6.1** Payroll is largely administered as part of the Human Resources Management Function and portions of the payroll records such as pay transactions on the **personnel employee file** are excluded from the scope of Authority No. 99/004, and must be disposed of under Authority No. 98/005.
- 6.2** Payroll records (such as pay lists or payroll registers) which feed into financial administrative systems, including the central accounts and pay system administered by Public Works and Government Services, are disposed of under Authority No. 99/004.

C.7 Internal Audit and Program Evaluation — Review Activity

- 7.1** Within an individual institution, the review activity includes internal audit and program evaluation performed by review officers and not operational managers. Final internal audit and program evaluation reports together with files documenting management response, corrective action, and follow-up, are excluded from the scope of Authority No. 99/004 and must be disposed of through an Institution-Specific Disposition Authority.
- 7.2** Internal audit and program evaluation records and working files documenting methodology, procedures, interdependent liaison, and interaction with central agencies are disposed of under Authority 99/004.

C.8 Alternative Service Delivery

8.1 Alternative service delivery is primarily a program management support activity related to mandated operational functions. Records of this activity which document operational policy, policy development, planning, and program assessment are excluded from the scope of Authority No. 99/004. However, all alternative service delivery records which document common administrative functions may be disposed of under Authority No. 99/004.

C.9 Agreements with other levels of government

9.1 Where an institution acts as an Office of Primary Interest, records documenting agreements with other levels of government are excluded from the scope of Authority No. 99/004. Such records must be disposed of through an Institution-Specific Disposition Authority.

C.10 Transfer Payments, Grants and Contributions

10.1 Records documenting the mandated operational functions of individual institutions which administer transfer payments, grants, and contributions (conditional grants) are excluded from the scope of Authority No. 99/004. Such records must be disposed of through an Institution-Specific Disposition Authority.

10.2 Records documenting only the financial transactions related to transfer payments, accounting and control of expenditures and/or revenues, payment verification, budgeting and budgetary control of programs, transfer payments, grants and contributions, are considered to be *common administrative records*, and may be disposed of under Authority No. 99/004.

3.5 Human Resources Management Function (Authority No. 98/005)

**Records Disposition
Authority No. 98/005**

**Autorisation de disposition
des documents n° 98/005**

issued to

délivrée

**Government Institutions subject to
the *National Archives of Canada Act*
for
Common Administrative Records
related to
the Human Resources Management Function**

**aux institutions fédérales assujetties à
la *Loi sur les Archives nationales du Canada*
pour
les documents administratifs communs
se rapportant à
la gestion des ressources humaines**

The National Archivist of Canada, pursuant to subsection 5(1) of the *National Archives of Canada Act*, consents to the destruction of all records described in the appended Functional Profile when institutions subject to the Act decide that these records have no remaining operational or legal value. **Only the employee personnel file must be transferred to the National Archives of Canada when an individual leaves the Public Service.** Excluding the employee personnel file, all records subject to this Authority may be destroyed or otherwise disposed of upon the expiry of the retention periods established for them within federal government institutions.

Conformément au paragraphe 5(1) de la *Loi sur les Archives nationales du Canada*, l'Archiviste national du Canada accorde son consentement à la destruction des documents décrits dans le Profil fonctionnel qui figure en annexe lorsque les institutions assujetties à la Loi jugeront que les documents ne possèdent plus de valeur administrative ou juridique. **Seuls les dossiers du personnel concernant des employés doivent faire l'objet d'un transfert aux Archives nationales lorsque ces personnes quittent la Fonction publique.** Cette exception mise à part, les institutions fédérales peuvent détruire ou se départir des documents visés par la présente autorisation à l'expiration des délais de conservation qu'elles leur auront assignés.

Appendices: Terms and Conditions
 Functional Profile

Annexes : Modalités de transfert
 Profil fonctionnel



Lee McDonald

Acting National Archivist of Canada /
Archiviste national du Canada par intérim

4 / 11 / 98
Date

3.5 APPENDIX I – TERMS AND CONDITIONS for the Disposition of Common Administrative Records in support of the Human Resources Management Function of the Government of Canada

A. Key Definitions

Common Administrative Records – Records created, collected, or received by a federal government institution to support and document broad internal administrative functions and activities *common to or shared by all federal government institutions* (for example, finance and the management of human resources).

Operational Records – Records created, collected, or received by a federal government institution to support and document business functions, programmes, processes, transactions, services, and all other activities *uniquely or specifically assigned to that particular institution* by legislation, regulation, or policy.

Human Resources Management Function (of the Government of Canada) – Encompasses the functions, processes, activities, and transactions of administrative business concerning the management of human 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 Human Resources Management Function includes the *Financial Administration Act*, the *Public Service Employment Act*, the *Public Service Reform Act*, and the *Public Service Staff Relations Act*. For the purposes of identifying and explaining records disposition requirements, the Human Resources Management Function has been divided into the following eleven sub-functions: staffing; training and development; performance assessment; occupational safety and health; staff relations; compensation and benefits; human resources planning and utilization; classification; official languages; employment equity; and special programmes. (The Functional Profile provides a more complete description of these sub-functions).

Office of Primary Interest – The federal government institution — department, agency, board, office, or commission — to which the authority, responsibility, and accountability to perform a particular function on behalf of the Government of Canada has been specifically assigned by legislation, regulation, policy, or mandate.

Personnel or employee file – The official institutional file — containing documentation on service of an individual employee of the Crown — made or received by the institution in which that person is employed. According to Federal Employee Information Banks, an individual employee's personnel file is often divided into parts.

B. Scope of the Authority

- Authority No. 98/005 applies to all common administrative records in support of the Human Resources Management Function of the Government of Canada (that is, records documenting common administrative business functions, sub-functions, programmes, and activities), regardless of how the records are organized or internally controlled within each institution; it entirely supersedes Schedule 5 (Personnel) of the GRDS (PAC 86/001).
- Those subjects and records descriptions found in Schedule 5 of the GRDS (PAC 86/001) are all covered in this new Authority for the Human Resources Management Function. In the new Authority, the Human Resources Management (HRM) Function has been divided further into the following eleven sub-functions: staffing; training and development; performance assessment; occupational safety and health; staff relations; compensation and benefits; human resources planning and utilization; classification; official languages; employment equity; and special programmes.
- Institutions which have specific operational mandates as Offices of Primary Interest for aspects of the HRM Function shall not apply Authority No. 98/005 to their *operational records* concerning those aspects of the HRM Function. If, for any reason, an institution subject to the *National Archives of Canada Act* creates, collects, or receives HRM records that are not common or administrative, the institution must seek a separate authority for operational records to dispose of such records. All government functions, subjects, record types, and records excluded from the scope of this Authority (that is No. 98/005) or any other Multi-Institutional Disposition Authority must be covered by operational authorities granted to individual federal institutions as arranged through the Multi-Year Disposition Plan process. For example, Treasury Board and the Public Service Commission, as two Offices of Primary Interest for the Human Resources Management Function, should use this Authority only as it applies to their *common administrative records* concerning that Function, not their operational records.
- Authority No. 98/005 applies to **all** institutions subject to the *National Archives of Canada Act*, whether or not their Human Resources Management Function activities follow Treasury Board or other central agency policies and guidelines. For example, some institutions, like Crown corporations, may not be required to follow central agency policies concerning the Human Resources Management Function, yet these institutions are subject to the Act.
- Authority No. 98/005 does not supersede other Authorities requiring the preservation of archival records. It should be applied *after* the Transitory Records Authority, any operational records disposition authority (also referred to as an Institution-Specific Disposition Authority or ISDA), and any Multi-Institutional Disposition Authority (MIDA) for generic groups of records (such as posters, records from a minister's or deputy head's office, and records generated by imaging systems). Some operational records Authorities (that is, institution-specific) also include the disposition of some common administrative records. The Terms and Conditions for the application of these Institution-Specific Disposition Authorities remain in effect.
- Authority No. 98/005 does not apply to records series or groupings or collections which mix common administrative and operational records.

- It is incumbent upon each government institution to understand and apply legislation, including its own specific extant legislation, concerning the retention and disclosure of information. Each government institution is required to determine the appropriate retention periods for its records (for instance, those human resources records covered by Authority No. 98/005) by taking into account all relevant legislation, including the *Privacy Act*.
- When an employee is transferred from one institution to another, the official institutional personnel records of that employee shall be forwarded to the receiving institution; when an employee leaves the government, the official personnel records of that employee shall be forwarded to the National Archives Federal Records Centre, in Winnipeg, one year from the date of retirement or separation. Personnel files of deceased personnel shall be sent to the Federal Records Centre once all legal aspects have been completed.
- Operational authorities — also called Institution-Specific Disposition Authorities or ISDAs — may exist which preserve specific categories of the personnel file containing archival value because of the special mandates of particular institutions. Such operational authorities are the means by which to dispose of a particular exception to the generic personnel file.

C. Authorization to Destroy

All records created, collected, or maintained in any medium by federal institutions in support of the Human Resources Management Function of the Government of Canada may be destroyed *provided that*:

- the records are not operational in nature;
- the records are not of a mixed operational and administrative character;
- the records do not support an administrative function in an Office of Primary Interest;
- the records are not otherwise excluded from the application of this Authority by virtue of the definitions and scope statement contained in this Appendix;
- the records are not anterior to 1946; and
- the retention periods of the records — established by each institution according to its legal and operational requirements — have expired.

A strict application of the above definitions, exclusions, and the prioritized use of the various Records Disposition Authorities will ensure that there are no records of archival value amongst the remaining common administrative records in support of the Human Resources Management Function of the Government of Canada. Except for the personnel or employee file, all such records may therefore be destroyed upon the expiry of their retention periods established for them within each federal institution.

The *personnel* or *employee file* shall be retained by the employing institution for the duration of employment plus one (1) year; the institution shall then transfer it to the National Archives' Federal Records Centre (FRC) Manitoba Region [Contact the Personnel Records Unit at (204) 983-4495 for complete instructions]. The National Archives will destroy the *civilian personnel file* when the individual turns eighty (80) years of age or after the individual's death, assuming there is no further action pending.

3.5 APPENDIX II – FUNCTIONAL PROFILE of the Human Resources Management Function of the Government of Canada

The purpose of the Functional Profile is to facilitate the application of the Terms and Conditions (Appendix I) relating to the disposition of common administrative records created, collected or maintained by the Government of Canada in support of the Human Resources Management Function. It consists of a template describing the major eleven sub-functions associated with the federal Human Resources Management Function, each major sub-function further sub-divided into tasks, activities and processes, as appropriate.

1. Staffing

This sub-function generally encompasses the business processes and activities which produce records created in the course of identifying human resource needs in a federal institution. Inventories of candidates are developed and maintained based on the organization's anticipated human resources requirements, candidates are selected and appointed as these requirements materialize and, therefore, the staffing sub-function includes more specifically recruitment and promotion; probation; transfers and postings; deployments, assignments, and secondments; recourse; employment equity as it relates to staffing; and staffing bilingual positions.

Recruitment and Promotion

Includes information relating to all aspects of initial hiring and subsequent promotion, including the following:

- *delegated staffing*, such as accountability agreements with Treasury Board;
- *establishing qualifications*, such as selection standards and statement of qualifications;
- *priorities*, such as statutory and regulatory priority lists, data entered into the Priority Administration System, copies of the Staffing Priority Notification form, and occupational documentation on employees who are priorities;
- *appointments from within the public service*, such as all documentation relating to both competitive and non-competitive appointments (those based on individual or relative merit), acting appointments, exams and competitions, eligibility lists, data entered into databases, internal inventory systems, and competition notices and posters;
- *recruitment from outside the public service*, such as all documentation relating to vacancies, entry level recruitment, open competitions, recruitment programs (such as CO-OP and other post-secondary recruitment programs, Accelerated Engineer Training Program, and the Management Training Program), delegated authority, and casual employment, and special recruitment programmes;

- *area of selection*, such as all documentation related to broad area of selection frameworks (including delegated authority agreements), consultations with unions, and selection criteria (including those which consider employment equity);
- *assessment, selection, and appointment*, such as documentation relating to assessment methods, selection boards (including the Signed Statement of Persons Present at Screening/Rating Boards), screening, rating (including examinations), test results, assessments of candidates, statement of qualifications, accreditations and credentials, statement of willingness to become bilingual, language and diagnostic test results, medical examinations, security clearances, oaths of allegiance and office, eligibility lists, appeal notification, letter of appointment, and Record of Staffing Transaction.

Probation

Includes material on all appointments from outside the public service relating to an employee's probationary period, such as explicit standards and expectations, notice of rejection, and documentation relating to the performance levels of the employee.

Deployments, Assignments, and Secondments

Includes material on all aspects of deployments, assignments, and secondments, such as letters stating new job, departmental policies and procedures on deployment, the Record of Staffing Transaction, complaints about deployment and reviews of complaints, and documentation notifying employees of their right to refer complaints to the Public Service Commission.

Recourse

Includes material on all aspects of appointments that are appealed, once the necessary documentation has been provided to the PSC Appeals Directorate, and on the application of the Treasury Board *Policy on Harassment in the Workplace*.

Employment Equity (as it relates to Staffing)

Includes material on all aspects of employment equity as it relates to staffing, such as documentation on broad training and development programmes, employee services, central agency supporting activities, and recruitment programmes, and documentation on specific programmes and services, including the Management Trainee Program, the Career Assignment Program, the Interchange Canada Program, the Diversity Management Technology Centre, Technology Assisted Diversity, job accommodation, career progression towards executive levels, and all employment equity programmes related to staffing.

Staffing Bilingual Positions

Includes material on all aspects of staffing bilingual positions, such as documentation relating to imperative and non-imperative staffing (including non-imperative deployments), language proficiency assessments (including Second Language Evaluation tests), recourse, special submissions to exempt employees from language training, and related policies and procedures.

2. Training and Development

This sub-function encompasses the business processes and activities which produce records created in the course of identifying human resource needs in a federal institution. More specifically, it provides public servants with the knowledge, skills, and abilities needed to fulfil ongoing and anticipated human resources requirements.

Training and Development

Includes material on all aspects of training and development, including plans based on human resource requirements, and all documentation related to employment equity, courses, schedules, cost, granted leave, TB policies and standards and service-wide training goals, management training, communications training, language training, health and safety training, employee orientation, professional development training for trainers, and operational or in-house training; and all documentation such as audits, annual management reports, and departmental reports on training produced according to Training Information System (TIS) requirements.

Development of Supervisors, Managers, and Executives

Includes material related to all aspects of planned and continuous learning of present and future managers, including documentation on departmental policy; career development plans; participation in larger investment developmental programmes and activities, such as Interchange Canada Program, self-funded leave, and Management Trainee Program.

3. Performance Assessment

This sub-function encompasses the business processes and activities which produce records created in the course of identifying human resource needs in a federal institution. More specifically, the performance of employees in their assigned tasks is evaluated based upon regularly established objectives. Performance evaluation supports the identification of training requirements and the enabling of future career moves.

Performance Assessment

Includes material relating to all aspects of performance assessment, including departmental policies and procedures, and related documentation, such as employee objectives and expected results, and formal performance assessments.

4. Occupational Safety and Health

This sub-function encompasses the business processes and activities which produce records created in the course of identifying human resource needs in a federal institution. More specifically, it ensures the provision of a safe working environment for employees, including monitoring of injury on duty, injury prevention programmes, and the administration of the Employee Assistance Program.

Occupational Safety and Health

Includes material relating to all aspects of occupational safety and health, including documentation on the *Canada Labour Code*, Labour Canada (HRDC) and Health Canada directives (including the Public Service Health Program), occupational safety and health programmes, TB policies and standards, training, employee assistance services, monitoring (including inspection reports, investigation reports, testing reports, statistical reports, annual management reports, and multi-year human resources plans), cost, advice, research, and special studies.

Employee Assistance Program (EAP)

Includes material relating to all aspects of the EAP, including policies and directives, Code of Ethics, assessments of the programme, contracts for outside services, advice, medical diagnosis, referrals, training, monitoring (including statistics and summaries, and audits).

Working Conditions

Includes information relating to all aspects of working conditions, including the following:

- *clothing directive*, such as material relating to all aspects of appropriate clothing for the job, including TB delegated exceptions to the directive, standards and controls, number of employees issued clothing, cost, related directives, and related documentation;
- *workplace fitness programmes, smoking in the workplace, HIV and AIDS*, such as material relating to all aspects of workplace fitness programmes (including financial, legal, and safety considerations, and all monitoring of the programmes), smoking in the workplace and HIV and AIDS policies, including monitoring of the policies;
- *general directives and standards*, such as material relating to general directives and standards outlining specific or minimum working conditions to be fulfilled, two examples only being boiler and pressure vessels directive and hazardous confined spaces directive, and all documentation concerning the work and composition of occupational safety and health committees;
- *procedures, guides, and advisory notices* related to occupational safety and health, including fire protection services.

5. Staff Relations

This sub-function generally encompasses the business processes and activities which produce records created in the course of identifying human resource needs in a federal institution. More specifically, it relates to the management of relationships between labour and the employer which includes negotiating and interpreting collective agreements and other understandings with recognized labour representatives, including designation activities, grievance and recourse processes, and processes related to discipline and non-disciplinary demotion and termination of employment. Strikes also form part of the staff relations sub-function.

Collective Bargaining

Includes information on all aspects of negotiating collective agreements, their interpretation, and administration, including the following:

- *certification*, such as departmental lists of employees in bargaining units and those in positions of exclusion, reports to PSSRB on the application, composition, and appropriateness of the bargaining unit, notices to employees affected by the application for certification, information collected for Treasury Board on employees, including those in exclusionary, managerial, and confidential positions, and all material concerning the processing of the application for certification;
- *managerial or confidential positions*, such as material on the identification and justification of managerial or confidential positions, including consultations with bargaining agents and proposals submitted to Treasury Board, “Managerial or Confidential Position” forms, position descriptions, organization charts, letter of delegation of authority to respond to grievances and the grievance procedure chart; supervisor’s position description; notices to employees of their exclusion status; any information for inclusion in the TB Position Exclusion System (PES); any information relating to incumbents’ union dues; any facts and evidence and reports on objections to exclusions;
- *collective bargaining*, such as collective agreements, including terms and conditions of employment.

Designation Process

Includes material relating to all aspects of the designation process, including departmental reviews of positions, negotiations between departments and unions, referrals of positions in dispute to the Designation Review Panel, and PSSRB decisions; and all supporting documentation, such as notifications of positions to be designated, and reviews and updates of designation records.

Recourse

Includes information relating to all aspects of recourse concerning processes and decisions relating to staff relations, including appeals and conflict of interest, notably the following:

- *grievance process*, such as documentation on all grievances relating to collective agreements or arbitral awards, disciplinary actions, and termination or demotion of employment; grievance procedures and guidelines (including their approval and posting), collective agreements, departmental codes of discipline, and related advice from or in consultation with Treasury Board;
- *adjudication*, such as documentation forwarded to Treasury Board, including replies given at each level of the grievance procedure, the grievance, letters of discipline, termination, or demotion, and any other supporting documentation such as investigation reports, subpoenas, and payment records, as well as final decisions.

Discipline and Non-Disciplinary Demotion or Termination of Employment

Includes information relating to all aspects of discipline and non-disciplinary demotion or termination of employment, as outlined in the following categories:

- *discipline*, such as all documentation relating to the development and maintenance of, and amendments to, codes of discipline; disciplinary actions, including background and supporting documentation;
- *non-disciplinary demotion or termination of employment*, such as documentation sent to employees stating the reasons for demotion or termination of employment and the right to grieve, and supporting documentation.

Strikes

Includes material relating to strikes, such as documentation on planning for strikes, steps to take when a strike is expected, steps to take when a strike is imminent, information on the operational impact of a strike, number of employees on strike and at work, material on picketing of government premises, strike logs, and other detailed information; documentation of a legal nature, including prosecutions, back-to-work injunctions, affidavits, and supportive relevant documentary material such as objects, documents, and evidence from witnesses.

Union Dues Check-Off

Includes material relating to all aspects of deduction and remittance of union dues, including starting and stopping dues deductions, changing dues deductions, completing and distributing required forms, collecting arrears and overpayment refunds, and related documentation, such as applications for exemptions, pay input documents (or request for refund forms), and PSAC payroll identification form.

Transfer of Pregnant Employees

Includes material relating to the transfer of pregnant employees, such as policy implementation, complaints and grievances.

Conflict of Interest and Post-Employment Code

Includes material related to the Code, such as employee certification forms, confidential reports, and documentation related to divestment of assets or curtail activities, exit arrangements, as well as all departmental reports and audit and evaluation reports on the Code's application.

6. Compensation and Benefits

This sub-function generally encompasses the business processes and activities which produce records created in the course of identifying human resource needs in a federal institution. More specifically, it ensures that pay, pension, and benefits standards and practices are established that will provide a fair standard of compensation for work performed.

Compensation

Terms and Conditions

Includes material relating to all aspects of terms and conditions of employment, such as pay, leave, overtime, bilingualism bonus, delegation, discipline, retirement, death benefit, casual and seasonal employees, and any reviews and audits, as well as terms and conditions of employment for employees living outside of Canada, including reviews and monitoring of related regulations and directives.

Salary Administration Policy

Includes material relating to all policies directed at specific groups of employees, including reviews and audits of the application of these policies.

Rates of Pay

Includes material relating to rates of pay, including rates of pay for excluded and unrepresented employees.

Special Assignment Pay Plan

Includes material relating to the SAPP such as documentation concerning special recruitment, special projects, training and development, and pre-retirement projects; quotas, individuals taking on special assignments, rationale for the assignment, dates and possible extension of the assignment.

Retirement Planning

Includes material relating to retirement planning programmes, policies, activities, including inter-departmental arrangements, and retirement documentation provided to employees.

Employee Services

Includes material relating to all employee services such as travel and accommodation, taxis, and relocation guarantees.

Pay Administration

Includes material relating to pay administration such as documentation on collective agreements; terms and conditions of employment; pay rate selection; pay rate change; additions to basic pay; deductions from pay, including mandatory deductions such as pension and voluntary deductions; recovery of amounts due to the Crown; part-time, casual, and seasonal employees; and termination of employment.

Benefits

Life Insurance

Includes material relating to life insurance plans and policies for employees, including those excluded from collective bargaining, such as documentation on the insurer, the Board of Trustees, legislative authorities, pay, and eligibility.

Health Insurance

Includes material relating to all aspects of health insurance, such as all documentation on programmes concerning the following: general health care, supplementary coverage for employees in Canada, comprehensive coverage for employees serving outside Canada, the Executive Group, provincial health insurance, and eye and dental care.

Sick Leave and Long-Term Disability Insurance

Includes material relating to all aspects of sick leave and long-term disability insurance.

Compensation for Work-Related Injury or Death

Includes material relating to all aspects of work-related injury or death, including employment injury benefits (workers' compensation), provincial benefits, injury-on-duty leave, and related plans.

Maternity Benefits

Includes material relating to all aspects of maternity benefits, including documentation on the supplemental unemployment benefit plans, parental benefits, maternity leave without pay, sick leave, vacation leave, and compensatory leave.

7. Human Resource Planning and Utilization

This sub-function encompasses the business processes and activities which produce records created in the course of identifying human resource needs in a federal institution. More specifically, it includes the identification of future human resource requirements and the development of plans to meet these requirements. Resources are monitored and utilized in planning in the form of feedback to employees and management, allowing adjustments in resource allocations to take place over a period of time.

Human Resource Planning

Includes material relating to all aspects of human resource planning, including documentation leading to the determination of departmental and service-wide objectives, all levels of plans addressing human resource considerations, from individual career management to corporate level Multi-Year Human Resource Plans, and related documentation such as analyses, studies, reviews, and audits.

Human Resource Utilization

Includes all material relating to the utilization of resources for planning purposes, such as documentation on performance, attendance, leave, and FTE utilization.

8. Classification

This sub-function encompasses the business processes and activities which produce records created in the course of identifying human resource needs in a federal institution. More specifically, job classification, or evaluation, involves the analysis of functions resulting in the formulation of an organization structure and its positions. Classification actions are initiated and reviewed, and classification standards, policies, and procedures are developed and implemented. Employees may grieve classification decisions. The classification sub-function is based on Treasury Board policies relating to the classification system, classification delegation, training and accreditation, and classification grievances.

Classification System

Includes material relating to discrete occupational groups, occupational categories, relative salaries, pay rates, classification standards, notices of standard classification review, problems encountered in the application of the classification standards, data relating to the conversion of positions, and information on the development, review, and promulgation of classification standards.

Classification Delegation

Includes material relating to the delegation to deputy heads and their delegates to make classification decisions, such as their responsibilities for internal audit and review procedures, triennial review assessing the quality of classification decisions, job description (classification decision) approval and certification of effective date of duties, quarterly reports on corrective action, reviews prior to the reclassification of occupied positions, annual reports on classification monitoring, triennial reports on the review of a sample of classification decisions against established performance targets; quarterly inputs to any Treasury Board Secretariat positions information system; internal audit reports on the management and administration of classification.

Training and Accreditation

Includes material relating to all aspects of training classification specialists, including minimum requirements and departmental accreditation criteria, course information (e.g., Introductory Course in Classification), and written assessments of course participants' performance.

Classification Grievances

Includes material relating to classification grievances, including reviews of grievances, recommendations, and management's replies to classification grievances, as well as documented methods and time frames and decisions prepared as part of the monitoring of this policy.

9. Official Languages

This sub-function encompasses the business processes and activities which produce records created in the course of identifying human resource needs in a federal institution. More specifically, official languages policies and guidelines flow from the legal obligations imposed on the Treasury Board and federal institutions by the *Official Languages Act* (1988) and its pursuant regulations. Policies cover such areas as service to the public, language of work, and equitable participation, and the programme management measures to ensure that the policies are respected and successfully implemented.

Service to the Public (Communications with the Public)

Includes material on all aspects of service to the public in both official languages, including directives on the application of provisions of legislation, and actual communication with the public in various forms, such as signs, advertisements, information booklets sent to all citizens, publications, reports, documents on health, safety, or security, information sessions and consultations, participation or hosting of a national or international event; and particular agreements with Treasury Board on the application of provisions of legislation, as well as reviews and reports of the success of the application.

Language of Work

Includes material on all aspects of ensuring that the language of work meets the requirements of the **Official Languages Act**, such as rules and directives for designated bilingual or unilingual regions, the right to grieve in either official language, the right to have performance appraisals in the official language of choice; and including the provision of bilingual personal and central services (including information technology systems), and work manuals and forms.

Equitable Participation

Includes material on all aspects of equitable participation of members of the two official language groups, including policies and procedures.

Programme Management

Includes material on all aspects of managing official languages programmes, including documentation on the identification of functions or positions classified to reflect linguistic operational needs, departmental and Treasury Board requirements for communication with the public, language of work, and equitable participation, as well as translation; documentation which respects official languages legislation in the staffing process and in access to language training for employees; and documentation relating to the Bilingualism Bonus Directive; as well as all other documentation on administrative measures put in place to ensure policies are respected.

10. Employment Equity

This sub-function encompasses the business processes and activities which produce records created in the course of identifying human resource needs in a federal institution. More specifically, it includes programmes to ensure that the Public Service is representative of the Canadian population, and that civil servants are fairly compensated for the work they perform.

Employment Equity

Includes material relating to all aspects of employment equity, including enabling equitable representation and distribution of women, Aboriginal people, members of visible minority groups, and persons with disabilities, such as documentation on personal identification, analyses, consultations, action plans, and any policies and advice.

Provision of Services for Employees with Disabilities

Includes material relating to all aspects of provision of services for employees with disabilities.

11. Special Programmes

This sub-function encompasses the business processes and activities which produce records created in the course of identifying human resource needs in a federal institution. More specifically, some special programmes have an impact on how employees of the Government of Canada are managed such as the Work Force Adjustment. Other special programmes in place constitute incentives to employees, or options to pursue. Some special programmes have a limited life span, others do not.

Work Force Adjustment

Includes all material relating to work force adjustment, such as documentation on Early Retirement Incentive, Early Departure Incentive, and alternate placement; reasons for the action, the number, occupational groups, and levels of employees concerned; notices served; employees placed without retraining and needing training; new levels of surplus employees, cost of salary protection; lump sums paid to employees; and plans to minimize the effect of work force adjustment, including committee work and cooperation with other departments to redeploy or retrain.

Termination of Employment Due to Alternative Delivery Situations

Includes all material relating to the termination of employment of public servants due to alternative delivery situations, such as documentation on principles and guidelines for the treatment, identification, and termination of employment of departmental employees affected by the transfer of any work, business, or undertaking.

Incentive Award Plan, Award Plan for Inventors and Innovators, and Scholarships

Includes material relating to all aspects of the Incentive Award Plan, such as documentation on all long service, merit, special and suggestion awards; all corporate awards of excellence, outstanding achievement, and senior officer retirement certificates; all awards for inventors and innovators, including departmental award plans, payment structure of those plans; and all scholarships, fellowships, and bursaries.

Workplace Day Care Centres

Includes all material relating to the establishment of workplace day care centres, including surveys, statistics, policy evaluation data, and annual data from the lead department and the custodian department.

Executive Group

Includes all material relating to the EX category of employees, such as documentation on delegation of organizational authority; use of ADM and other ADM titles; classification of Executive Group positions; performance review and employee appraisal; deployment of executives; terms and conditions of employment; salary administration; National Defence Medical Centre Services; and pensions.

COMMON OPERATIONAL AND MEDIUM-SPECIFIC RECORDS



4.1 Institutional Records in the Office of a Minister (Authority No. 96/021)

**Records Disposition
Authority No. 96/021**

**Autorisation de disposition
des documents n° 96/021**

for

pour

**Institutional Records
in the Office of a Minister**

**les documents institutionnels
d'un cabinet de ministre**

The National Archivist of Canada, pursuant to subsections 5(1) and 6(1) of the *National Archives of Canada Act*, is of the opinion that all records in all media (including paper, electronic, photographic, cartographic, documentary art, and video records) under the control of an institution in the Office of a Minister are of historic or archival importance and are required to be transferred to the care and control of the National Archives of Canada in accordance with the appended terms and conditions, with the exception of "general correspondence" series, including enquiries from the public or mass writing campaigns lobbying for or against an issue, and *pro forma* responses to same, wherever said collections might be housed.

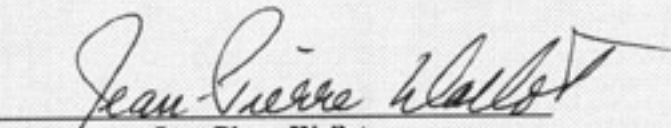
L'Archiviste national du Canada estime, aux termes des paragraphes 5(1) et 6(1) de la *Loi sur les Archives nationales du Canada*, que tous les documents sur tous supports (notamment les documents sur papier et les documents vidéo, électroniques, photographiques, cartographiques et d'art documentaire) qui se trouvent sous le contrôle d'une institution fédérale dans le cabinet d'un ministre ont une importance historique ou archivistique et doivent être transférés sous la garde et le contrôle des Archives nationales du Canada conformément aux modalités de transfert énoncées à l'Annexe, sauf les séries de correspondance d'ordre général, ce qui inclut les demandes de renseignements du public et les envois massifs de lettres orchestrés par les groupes de pression pour ou contre une question donnée, ainsi que les réponses à ces lettres faites pour la forme, peu importe où les séries se trouvent.

Appendix:

Terms and Conditions for the Transfer
of Archival Records

Annexe:

Modalités de transfert
des documents archivistiques



Jean-Pierre Wallot
National Archivist of Canada/Archiviste national du Canada

30/03/1996

Date

4.1 APPENDIX – TERMS AND CONDITIONS For the Transfer of Archival Records from among the Institutional Records in the Office of a Minister

A. Scope of the Authority

Records Disposition Authority No. 96/021 applies to records under the control of an institution in the Office of the Minister (institutional records) that are maintained in a distinct record-keeping system or series related to that Office. It shall not be applied to Cabinet documents, the Minister's personal and political records, ministerial records, or scattered ministerial correspondence on various policy and subject files under the control of the institution.

B. Identifying the Archival Records

Records Disposition Authority No. 96/021 must be applied within the following sequence.

Throughout the sequence of application below, the Records Disposal Authority for the Destruction of Transitory Records is applied to those records which meet the criteria for being transitory.

1. Apply any operational Records Disposition Authority (also referred to as an “Institution-Specific Disposition Authority or ISDA”) to the records. Segregate the records identified as archival by the authority from those without archival value.
2. Apply Records Disposition Authority No. 96/021 to the institutional records that are created or acquired by the Minister as part of directing and controlling the operations of the government institution for which he or she is responsible. Segregate the records identified by this authority as archival from those without archival value.
3. Apply any generic Multi-Institutional Disposition Authority (e.g., MIDA 96/022, 96/023, and 96/024), followed by any common administrative MIDA to the records. **Note:** records documenting the required direction, control, intervention, or signature of the Minister while fulfilling the responsibilities of the Office of the Minister are not considered common administrative in nature and are excluded from the common administrative MIDAs. Segregate the records identified by the authorities as archival from those without archival value.

C. Organizing the Archival Records for Transfer

1. Segregate the archival records by medium and box separately. Ensure that the context of special media (i.e., audio and video tapes, photographs, works of art) is preserved through appropriate documentation and labelling. Special care should be taken when boxing items framed in glass.
2. Provide appropriate finding aids in electronic format for each medium of record. For example, for textual paper files consult the document “Guidelines for the Transfer of Textual Archival Records to the National Archives of Canada” available through the NA web-site at the services to government web-page. All other transfers must be accompanied by whatever other finding aids exist, including, but not limited to, index cards, microfiche, or electronic tracking systems.

3. The transfer of archival records in electronic format, including physical and logical formats, and supporting metadata, shall be mutually determined by the Office of the Minister and the NA before the transfer can take place.
4. Transfer the archival records to the National Archives of Canada five years after the Minister leaves office.

D. Access to and Care of Transferred Records

Access to and care of the records transferred to the National Archives of Canada will be governed by the *Access to Information Act*, the *Privacy Act*, the *Treasury Board Security Policy*, and the policies and procedures of the National Archives of Canada governing the use of records by the public and departmental officials.

E. Further Information

For further information relating to these terms and conditions for the transfer of archival records of any medium (including, but not limited to, technical considerations), contact the National Archives of Canada.

4.2 **Records of
Deputy Heads
of Government
Institutions
(Authority
No. 96/022)**

**4.3 Electronic Imaging
Systems (Authority
No. 96/023)**

**4.3 Documents
afférents à des
systèmes d'imagerie
électronique
(Autorisation
n° 96/023)**

**Records Disposition
Authority No. 96/022**

for

**Records of Deputy Heads
of Government Institutions**
Subject to the *National Archives of Canada Act*

The National Archivist of Canada, pursuant to subsections 5(1) and 6(1) of the *National Archives of Canada Act*, is of the opinion that all records in all media (including paper, electronic, photographic, cartographic, documentary art, and video records) created or acquired by the deputy heads of government institutions, as defined by the *National Archives of Canada Act*, are of historic or archival importance and are required to be transferred to the care and control of the National Archives of Canada in accordance with the appended terms and conditions, with the exception of "general correspondence" series, including enquiries from the public or mass writing campaigns lobbying for or against an issue, and *pro forma* responses to same, wherever said collections might be housed.

- "Deputy Heads of Government Institution" includes Deputy Ministers of Departments and Presidents, Chairpersons and Executive Directors of Boards, Agencies, and Commissions.

Appendix:

Terms and Conditions for the Transfer
of Archival Records

**Autorisation de disposition
des documents n° 96/022**

pour

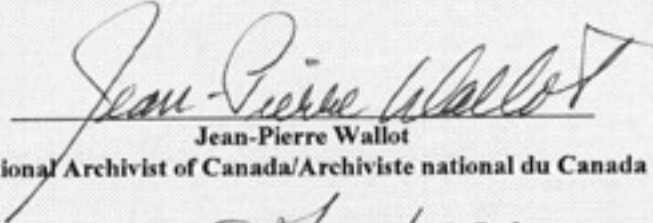
**les documents des responsables
d'institutions fédérales**
sujettes à la *Loi sur les Archives nationales du Canada*

L'Archiviste national du Canada estime, aux termes des paragraphes 5(1) et 6(1) de la *Loi sur les Archives nationales du Canada*, que tous les documents sur tous supports (notamment les documents sur papier et les documents vidéo, électroniques, photographiques, cartographiques et d'art documentaire) créés ou acquis par les responsables d'institutions fédérales, telles que définies dans la *Loi sur les Archives nationales du Canada*, ont une importance historique ou archivistique et doivent être transférés sous la garde et le contrôle des Archives nationales du Canada conformément aux modalités de transfert énoncées à l'Annexe, sauf les séries de correspondance d'ordre général, ce qui inclut les demandes de renseignements du public et les envois massifs de lettres orchestrés par les groupes de pression pour ou contre une question donnée, ainsi que les réponses à ces lettres faites pour la forme, peu importe où les séries se trouvent.

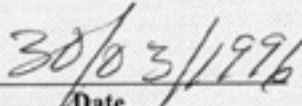
- «responsables d'institutions fédérales» comprend les sous-ministres des ministères et les présidents, présidents de conseils d'administration et directeurs administratifs de bureaux, offices, agences et commissions.

Annexe:

Modalités de transfert
des documents archivistiques



Jean-Pierre Wallot
National Archivist of Canada/Archiviste national du Canada



Date

4.2 APPENDIX – TERMS AND CONDITIONS For the Transfer of Archival Records of Deputy Heads of Government Institutions Subject to the *National Archives of Canada Act*

A. Scope of the Authority

Records Disposition Authority No. 96/022 applies to all government institutions subject to the *National Archives of Canada Act*, and covers records in all media created or acquired by the chief executive officer as part of directing and controlling the operations of the government institution for which he or she is responsible and maintained in a distinct record-keeping system or series related to that Office.

B. Identifying the Archival Records

Records Disposition Authority No. 96/022 must be applied within the following sequence.

Throughout the sequence of application below, the Records Disposal Authority for the Destruction of Transitory Records is applied to those records which meet the criteria for being transitory.

1. Apply any operational Records Disposition Authority (also referred to as an “Institution-Specific Disposition Authority or ISDA”) to the records. Segregate the records identified as archival by the authority from those without archival value.
2. Apply Records Disposition Authority No. 96/022 to the institutional records that are created or acquired by the Deputy Head as part of directing and controlling the operations of the government institution for which he or she is responsible. Segregate the records identified by this authority as archival from those without archival value.
3. Apply any generic Multi-Institutional Disposition Authority (e.g., MIDA 96/021, 96/023, and 96/024), followed by any common administrative MIDA to the records. **Note:** records documenting the required direction, control, intervention, or signature of the Deputy Head while fulfilling the responsibilities of that Office are not considered common administrative in nature and are excluded from the common administrative MIDAs. Segregate the records identified by the authorities as archival from those without archival value.

C. Organizing the Archival Records for Transfer

1. Segregate the archival records by medium and box separately. Ensure that the context of special media (i.e., audio and video tapes, photographs, works of art) is preserved through appropriate documentation and labelling. Special care should be taken when boxing items framed in glass.

2. Provide appropriate finding aids in electronic format for each medium of record. For example, for textual paper files consult the document “Guidelines for the Transfer of Textual Archival Records to the National Archives of Canada” available through the NA web-site at the services to government web-page. All other transfers must be accompanied by whatever other finding aids exist, including, but not limited to, index cards, microfiche, or electronic tracking systems.
3. The transfer of archival records in electronic format, including physical and logical formats, and supporting metadata, shall be mutually determined by the office of the Deputy Head and the NA before the transfer can take place.
4. Transfer archival records to the National Archives of Canada upon the expiry of the retention periods, or five years after the Deputy Head of the institution leaves office, whichever comes first.

D. Access to and Care of Transferred Records

Access to and care of the records transferred to the National Archives of Canada will be governed by the *Access to Information Act*, the *Privacy Act*, the *Treasury Board Security Policy*, and the policies and procedures of the National Archives of Canada governing the use of records by the public and departmental officials.

E. Further Information

For further information relating to these terms and conditions for the transfer of archival records of any medium (including, but not limited to, technical considerations), contact the National Archives of Canada.

**Records Disposition
Authority No. 96/023**

**Autorisation de disposition
des documents n° 96/023**

issued to

émise

Government Institutions

aux institutions fédérales

for records related to

pour des documents afférents

Electronic Imaging Systems

à des systèmes d'imagerie électronique

The National Archivist of Canada, pursuant to subsections 5(1) and 6(1) of the *National Archives of Canada Act*, authorizes the disposition of electronic images and source records, in accordance with the appended terms and conditions, when they have served the legal and operational requirements of the government institution as defined in the *National Archives of Canada Act*.

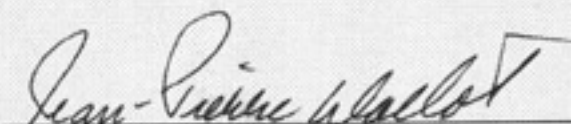
L'archiviste national du Canada autorise, aux termes des paragraphes 5(1) et 6(1) de la *Loi sur les Archives nationales du Canada*, l'élimination des images électroniques et des documents-source conformément aux modalités énoncées dans l'Annexe, lorsque l'institution fédérale telle que définie dans la *Loi sur les Archives nationales du Canada* n'en a plus besoin à des fins juridiques ou administratives.

Appendix:


Terms and Conditions for the Disposition of
Electronic Images and Source Records

Annexe:

Modalités d'élimination des images électroniques
et des documents-source



Jean-Pierre Wallot
National Archivist of Canada/Archiviste national du Canada



Date

4.3 APPENDIX – TERMS AND CONDITIONS for the Disposition of Electronic Images and Source Records

1. Scope

For the purposes of these terms and conditions, “source record” includes any correspondence, memorandum, book, map, plan, pictorial or graphic work, photograph, film, microform, or any other documentary material.

These terms and conditions apply to source records scanned into an electronic imaging system and to the electronic images themselves.

Where source records exist on both paper and microfilm, these terms and conditions apply to both media.

2. Exclusions

These terms and conditions do not apply to machine-readable records captured by an imaging system and for which there exists no hard-copy source record.

Except where an existing Records Disposition Authority permits the destruction of all the source records, source records which may have intrinsic value based on unusual physical characteristics or age are excluded from this Authority. Records having intrinsic value include, but are not limited to, the following examples:

- documents predating 1939;
- original proclamations, charters, testimonials, and intergovernmental agreements or treaties;
- documents with corporate seals affixed;
- oversized graphic materials;
- cartographic, architectural or engineering drawings;
- photographs, slides and negatives; and
- original artworks.

Source records which may have intrinsic value shall not be destroyed. Institutions must request authorization from the National Archivist to dispose of such source records **and** the related electronic images on a case-by-case basis.

3. Requirements for Imaging Systems in order to use this Authority

Where it is the intent of the institution to rely on the electronic images as the official or corporate “business record” (as opposed to the system providing “convenience” or “reference” copies), disposition of the source records and/or electronic images may take place as described in Section 4 below. Imaging Systems producing records which may be relied upon for these business or legal operational purposes should:

- comply with the ten principles described in Part IV, section 3.7 of the Canadian General Standards Board’s *Microfilm and Electronic Images as Documentary Evidence* (CAN/CGSB-72.11-93);
- be capable of identifying and grouping together images related to specific subjects, cases, functions, activities, or offices managed by the Institution; and
- support the extraction of individual images.

Institutions must also ensure that when hardware and software systems are replaced or updated, all electronic images are migrated to the new environment so that the records will remain available, understandable and usable.

If the imaging system meets these requirements, disposition of records may take place as follows.

4. Application

4.1 Where an existing Records Disposition Authority identifies some or all of the source records being scanned as having archival value:

- destroy the source records when no longer needed by the institution, if the imaging system meets the requirements set out in Section 3 above;
- seek an amendment from the National Archives to the existing Agreement (Terms and Conditions for the Transfer of Archival Records) in order to specify the technical conditions for the transfer of the now-imaged archival records to the National Archives of Canada.

4.2 Where there is no Records Disposition Authority applicable to the source records:

- destroy the source records when no longer needed by the institution, if the imaging system meets the requirements set out in Section 3 above;
- seek authorization from the National Archives of Canada for disposition of the electronic images through the normal Multi-Year Disposition Planning process.

4.3 Where an existing Records Disposition Authority permits the destruction of all source records being imaged:

- destroy the electronic images when they are no longer needed by the institution.

4.4 Where an electronic imaging system does not meet the requirements set out in Section 3 above, and is only used for “convenience” or “reference” purposes rather than as the legal, corporate record of normal business operations:

- authorization is hereby given to destroy the electronic image of the business record;
- for the disposition of the source originals in these cases, continue to apply a Records Disposition Authority if one exists, or seek one from the National Archives of Canada through the normal Multi-Year Disposition Planning process.

5. Further Information

For further information relating to these terms and conditions, contact the National Archives of Canada.

4.4 **Poster-Creating Areas of Government Institutions (Authority No. 96/024)**

**Records Disposition
Authority No. 96/024**

**Autorisation de disposition
des documents n° 96/024**

issued for

émise pour

**Poster-Creating Areas
of Government Institutions**

**les secteurs créateurs d'affiches
des institutions fédérales**

The National Archivist of Canada, pursuant to subsections 5(1) and 6(1) of the *National Archives of Canada Act*, is of the opinion that the posters created for and under the control of a government institution as defined in the *National Archives of Canada Act* are of historic or archival importance and are required to be transferred to the care and control of the National Archives of Canada in accordance with the appended terms and conditions.

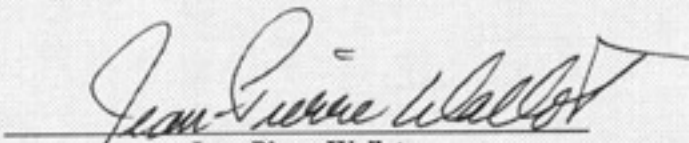
L'Archiviste national du Canada estime, aux termes des paragraphes 5(1) et 6(1) de la *Loi sur les Archives nationales du Canada*, que les affiches créées pour le compte d'une institution gouvernementale telle que définie dans la *Loi sur les Archives nationales du Canada* et qui se trouvent sous le contrôle de celle-ci ont une importance historique ou archivistique et doivent être transférées sous la garde et le contrôle des Archives nationales du Canada conformément aux modalités de transfert énoncées à l'Annexe.

Appendix:

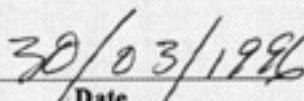
Terms and Conditions for the Transfer of Archival
Records

Annexe:

Modalités de transfert des documents
archivistiques



Jean-Pierre Wallot
National Archivist of Canada/Archiviste national du Canada



Date

4.4 APPENDIX – TERMS AND CONDITIONS for the Transfer of Archival Records From All Poster-Creating Areas of the Government Institutions

A. Scope of the Authority

Records Disposition Authority No. 96/024 applies to all posters and broadsides created by or for all institutions of the Government of Canada. A *poster* is defined as a single or multi-sheet notice, chiefly pictorial, made to attract the attention to events, activities, causes, goods, or services for posting, usually in a public place, and intended to make an impression from a distance. A *broadside* is a single textual notice, printed on one side only and intended to be read unfolded and publicly posted, such as proclamations, news-sheets, and handbills. This authority does not apply to posters and broadsides under the control of an institution that were not created by or for that institution, or to posters used to announce personnel-related activities such as competitions, secondments, and appeals.

B. Identifying the Archival Records

1. Identify and set aside two (2) copies of every poster created by or for the institution at the time of their printing/creation, and store in an appropriate area.

C. Organizing the Archival Records for Transfer

1. Prepare posters for transfer by keeping the records flat. Do not bend or roll posters.
2. Provide appropriate contextual file information from originating area, including record or file number. Each transfer should be accompanied by whatever other finding aids exist, including but not limited to lists, index cards, microfiche, or electronic tracking systems.
3. Transfer archival records to the National Archives of Canada as follows:
 - a) two (2) copies of all extant posters (pre-existing material) by 15 September 1997;
 - b) for future posters, transfer in annual increments at the end of each fiscal year (31 March).

D. Further Information

For further information relating to these Terms and Conditions for the Transfer of Archival Records (including, but not limited to, technical considerations), contact the National Archives of Canada.

**Records Disposition
Authority No. 2001/004**

issued to

**Government Institutions subject to the
National Archives of Canada Act
for
Audio-Visual Records
Stored on Behalf of Client Departments
by the
Communications Coordination Services
Branch
of
Public Works and Government Services
Canada**

The National Archivist of Canada, pursuant to subsections 5(1) and 6(1) of the *National Archives of Canada Act*, is of the opinion that records described in the Listing to the Terms and Conditions are of historic or archival importance. The National Archivist, therefore, requires their transfer to the care and control of the National Archives of Canada in accordance with the Terms and Conditions set out in the Attachment, and consents to the disposal of all other records described in the Terms and Conditions, when the *Client Department* decides that these records have no remaining operational or legal requirements, and upon the expiry of the retention periods established for them within federal government institutions.

Attachment:

- (1) Terms and Conditions for the Transfer of Archival Audio-Visual Records

Example

**Ian E. Wilson
National Archivist / Archiviste national**

Date

**Autorisation n° 2001/004
de disposer de documents**

délivrée

**aux institutions fédérales assujetties à
la *Loi sur les Archives nationales du Canada*
pour
les documents audio-visuels
entreposés au nom de ministères clients
par la
Direction générale des services de
coordination des communications
de
Travaux publics et Services
gouvernementaux Canada**

Conformément aux paragraphes 5(1) et 6(1) de la *Loi sur les Archives nationales du Canada*, l'Archiviste national du Canada estime que les documents décrits dans le Répertoire sur les modalités de transfert ont une importance historique ou archivistique. L'Archiviste national demande donc leur transfert sous le soin et le contrôle des Archives nationales du Canada, conformément aux modalités décrites à la pièce jointe et consent à la disposition de tous les autres documents décrits dans les modalités lorsque le *ministère client* décidera que ces documents ne possèdent plus de valeur administrative ou juridique, et à l'expiration des délais de conservation qu'elle leur aura assignés.

Pièce jointe :

- (1) Modalités de transfert des documents archivistiques audio-visuels

Exemple

Application of generic MIDA 2001/004

In the past, the National Archives of Canada (NA) has developed generic records disposition authorities that apply to records under the control of more than one institution and that share one or more characteristics, such as records created at the same hierarchical level in a number of institutions or records created in the same medium. These Multi-Institutional Disposition Authorities (MIDAs) of a generic nature are distributed to all institutions subject to the *National Archives of Canada Act*.

The generic MIDA (2001/004) covers Audio-Visual Records Stored on Behalf of Client Departments by Public Works and Government Services Canada (PWGSC). This MIDA was developed in partnership by the NA and PWGSC. Institutions which use the PWGSC film and audio-visual storage facilities as Client Departments will receive a **signed** Authority which is applied according to the attached Terms and Conditions and file list for the transfer of archival audio-visual records.

Institutions which do not use the audio-visual storage services provided by PWGSC cannot use MIDA 2001/004, but will receive or can view an **unsigned** example of this Authority on our corporate web-site (www.archives.ca) under the Services to Government web-page. Non Client Departments must have their audio-visual records covered by Institution-Specific Records Disposition Authorities (ISDAs).

Institutions that choose to become future Client Departments of PWGSC for the storage of their audio-visual records should contact their respective Information Systems Analyst at the NA in order to plan for (without the need of a disposition submission) the archival appraisal and transfer to the NA of archival audio-visual records of their specific institution. After these preliminary steps are completed a signed MIDA 2001/004 will be issued and the institution can then apply it according to the Terms and Condition and attached file list for archival audio-visual records.

For any questions or advice about the applicability of MIDA 2001/004, please contact the Records Disposition Business Centre by telephone at 947-1483, or by e-mail (rdbc@archives.ca).

4.5 APPENDIX – TERMS AND CONDITIONS for the Transfer of Archival Audio-Visual Records Stored on Behalf of Client Departments by the Client Services and Industry Relations Directorate, Communications Coordination Services Branch of Public Works and Government Services Canada

A. Scope of the Authority

1. Records Disposition Authority No. 2001/004 applies only to audio-visual records under the control of institutions subject to the *National Archives of Canada Act*; and stored on their behalf by the Client Services and Industry Relations Directorate, of Public Works and Government Services Canada (PWGSC), within the film and video storage facilities at 350 Albert Street, Ottawa, Ontario, and within the PWGSC off-site storage in Ottawa and Hull, Québec.
2. This authority is of a continuing nature.
3. No record transferred to the custody and control of the National Archives of Canada under the terms of this authority shall be destroyed without the prior consent of the creating/transferring agency or its successor institutions; in any case where former records of the creating/transferring agency that are in the custody and control of the National Archives are later recommended for destruction, the National Archives shall notify the creating/transferring agency or its successor institutions of this decision, and the creating/transferring agency or its successor institutions shall have the right to repossess the records to its (their) institutional custody and control.
4. The Authority applies to all relevant records created and/or collected by those institutions subject to the *National Archives of Canada Act* and maintained in the storage facilities provided by the Client Services and Industry Relations Directorate (CSIRD) of PWGSC (as per its mandatory status under Treasury Board's Common Services Policy), including any correspondence, memorandum, book, plan, map, drawing, diagram, pictorial or graphic work, photograph, film, micro-form, sound recording, videotape, machine readable record, and any other documentary material, regardless of physical form.
5. The Authority does not apply to the records created, collected, and maintained by the CSIRD and used in the maintenance of its storage and vaulting services.

B. General Dispositions

Organizational

1. These Terms and Conditions for the Transfer of Archival Records are crafted within the organizational context of the CSIRD as it existed at the time the archival appraisal was conducted; the CSIRD shall notify the National Archives of any departmental restructuring that might result in changes to the status of its vaulting and storage services programme as these terms and conditions may no longer be appropriate to identify records deemed to have archival value.

Copying of Records

2. In lieu of loaning archival records to other jurisdictions for a temporary period of time, the creating/transferring agency may choose to copy these records for the immediate operational use of the new jurisdictions, and retain the original records for transfer to the National Archives following the expiry of the appropriate retention period; in all cases, the original archival records shall be transferred to the National Archives.

C. Retention Periods

1. Every archival record identified by this Authority must be provided with a retention period equal to five years from the time of product completion, unless otherwise established by the creating/transferring agency in agreement with CSIRD and the National Archives, which has the capacity to be both implemented and monitored by the creating/transferring agency, CSIRD, and the National Archives, i.e., a retention period which specifies the duration of the archival record's institutional custody or control, and which specifies a point in time when the creating/transferring agency must transfer the archival record to the custody or control of the National Archives.
2. Archival records identified by this Authority shall be transferred to the National Archives five years after completion of the final audio-visual product (as specified in the storage agreement between the CSIRD and the creating/transferring agency).

D. Textual Records on Paper

General Provisions

1. In the event that the medium of the record and the method of its management change (for example, from paper based case files to electronic records in an electronic document management system), CSIRD shall contact the National Archives.

Case Files

2. CSIRD shall transfer to the National Archives of Canada, in conjunction with the related audio/visual records, the following files:

a) Rights and Releases

- i) Rights and Releases files pertaining to the audio-visual productions transferred to the National Archives of Canada on behalf of other client institutions.

Organization of Records and Finding Aids

3. (1) Prior to sending records to the control of the National Archives, CSIRD shall segregate the archival records from the others and box them separately; segregation must take place prior to storage of records in a Federal Records Centre.

(2) In cases where records subject to this authority are not or will not be stored in a Federal Records Centre, segregation shall take place before the records are transferred to the control of the National Archives.
4. Each transfer shall be accompanied by a comprehensive list which will indicate the box number, the file number, the file part number, the file title, and the outside dates of each file part.
5. The list shall be provided in electronic format.
6. The list in electronic format may be produced by using a commercial software (Word Processing, Data Base or ASCII) provided that the list meets the National Archives' input standards.
7. In any case where a transfer of records involves the creation of an electronic list from an existing computer system (such as an automated records management system), the technical specifications of that list shall be mutually determined by CSIRD and the National Archives before the transfer can take place.

E. Audio-Visual Records

General Provisions

1. The CSIRD shall consult with the National Archives of Canada prior to all transfers of media records.
2. All records contained in the Listing "A" shall be transferred, as one transfer, to the National Archives of Canada within twelve months of the issue of Records Disposition Authority 2001/004.

All audio-visual records created prior to 1995 not contained in Listing "A", and stored on behalf of client departments and agencies by the CSIRD, are deemed to have no archival or historic value by the National Archives of Canada.

3. The CSIRD shall segregate every five years, from the date this Record Disposition Authority is issued, all audio-visual productions in the custody of the institution, made by or for all client departments and agencies, which are no longer operational and which fall within the following categories:

a) Video;

- i) Master copies of final products on 1" format and/or Betacam SP and/or 3/4" formats in both official languages where available;
- ii) submaster copies of final products on Betacam SP and/or 3/4" formats in both official languages where available in cases where the Master copy does not exist.

b) Film;

- i) Master copies of final products on 16mm or 35mm formats in both official languages where available;
- ii) the original negatives;
- iii) the final product of audio mixing on optical or magnetic tape.

c) Audio;

- i) The Master copy of final products either on 1/4" and/or DAT format and/or audio cassette in both official languages where available.

4. Access to archival records transferred to the National Archives of Canada is restricted and original records will not be returned to creating/transferring agencies in their original form. Creating/transferring agencies may request a copy of the archival record transferred to the National Archives of Canada which will be produced at costs to the creating/transferring agency and on media supplied by the creating/transferring agency according to the copying resources available at the National Archives of Canada.