GUIDELINES FOR
MANAGING RECORDED INFORMATION
IN A MINISTER'S OFFICE

Of all national assets,
archives are the most precious;
they are the gift of one generation to another
and the extent of our care of them
marks the extent of our civilization.

Sir Arthur Doughty
    Dominion Archivist, 1904-1935

"A nation, like a man, is senile if it has no memory."

Northrop Frye

PREFACE

The collective memory depends on everyone.

In the rush of daily activity, it is easy to overlook the fact that information collected and preserved in the past is helping us make good decisions today. We are sometimes, however, reminded of our responsibilities towards our own future and that of our successors:

> C'est la mémoire du monde que vous préservez et que vous mettez en valeur. Les archives de tous les pays, en gardant la trace des actes d'hier et leurs cheminements, éclairent mais aussi commandent le présent. Ceux qui exercent une responsabilité savent bien qu'on ne définit pas des orientations dans l'ignorance du passé. . . . Cette mémoire disponible offre aux peuples du monde entier la possibilité de définir, de retrouver aussi leur identité, d'aborder leurs projets et d'assurer la défense de leurs droits en connaissance de cause : la connaissance de leur histoire, tout simplement.
>
> François Mitterrand (1988)

An inadequate picture of what we do today will serve poorly in times to come, when the current pressure and controversy are past and responsible individuals seek to learn from the practical experience of their predecessors:

> The objects and functions of the National Archives of Canada are to conserve private and public records of national significance and facilitate access thereto, to be the permanent repository of records of government institutions and of ministerial records, to facilitate the management of records of government institutions and of ministerial records, and to encourage archival activities and the archival community.
>
> (*National Archives of Canada Act* [1987])

As part of its mandate to preserve Canada's archival heritage, the National Archives collects the historical records of the Government of Canada and the archival papers of our prime ministers, cabinet ministers, senators and other parliamentarians.

The *National Archives of Canada Act* also states that ministerial

records, like records under the control of a government institution, cannot be destroyed without the consent of the National Archivist. The identification and preservation of the records of cabinet ministers are of prime concern to the Archivist.

Guidelines for Managing Recorded Information in a Minister's Office is designed as an aid to ministerial as well as departmental staff. It discusses the legislative and operational requirements that have an impact on how the information in a minister's office is organized and managed, and explains what records need to be kept, where to keep them, and how to dispose of them.

Readers may wish to view the video *A Matter of Record* for a summary treatment of the subject. The National Archives also provides courses, briefing sessions, and advice on managing information systems in the minister's office.

This text is based on extensive research and deliberation in the National Archives as well as in ministers' offices and government institutions. The main author is Steve Clark, Consultant, Government Records Branch.

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INTRODUCTION

The Challenge of Managing Information in a Minister's Office

Managing any large collection of information can be difficult. Managing the recorded information of a minister's office presents a particular challenge because of four key factors: the minister's many roles, the effects of technologies, the impact of laws and policies, and the special work environment.

A minister in Canada's federal system of government fulfils many roles. And each of those roles requires the appropriate set of information:

.   as a member of a political party, the minister requires information relating to party policy matters, caucus affairs, party organization, nominations, election campaigns, and local party machinery;

.   as a constituency representative, the minister exchanges correspondence with constituents, sends "householders" to constituents, and uses information relating to constituency case work and constituency office operations;

.   as a parliamentarian, the minister needs information on the business of the House of Commons, and on the views of constituents, the general public, caucus and opposition members concerning issues before the House. The minister also needs information on the operations of his or her office "on the Hill";

.   as a member of the Queen's Privy Council for Canada, the minister uses information concerning his or her responsibilities as head of one or more government institutions, as a member of one or more Cabinet committees, as the member chosen by the Prime Minister to carry out regional or other special responsibilities, and other information necessary for the day-to-day operations of a minister's office.

The modern minister's office is likely to take advantage of various information technologies. While a large volume of paper is still being used, the staff in a minister's office also use microcomputers, local area networks, and modems to receive, manipulate and send information. Technology increases the pace and volume of work and sometimes leads to confusion concerning the actual location of information.

Several important laws and policies come to bear on a minister's office. The principal ones deal with:

    .   access by the public to government information;

    .   prevention of unauthorized access to personal, classified or
         other sensitive information--when in storage, during active
         use, and while being transmitted;

    .   availability of information as legal evidence; and

    .   appropriate disposition methods for the different categories
         of records in a minister's office and the preservation of
         records that have historical value.

People working in a minister's office quickly realize that they are in a very special, complex environment. First, there are many locations to cope with--the office in the Houses of Parliament, the constituency office, the minister's office in the minister's department, and the minister's residence(s). Moreover, the minister's office deals with many other institutions: caucus, the party organization, the department or agency, the House and Senate, the Prime Minister's Office, the Privy Council Office, the regional minister and other ministers' offices, the many departments with mandates that relate to the minister's own interests, and a myriad of organizations at home and abroad. Within the minister's office, a variety of officials and support staff may become involved in records and information management.

And finally, there is constant pressure--to find and send information at top speed and with unfailing accuracy.

In a sense, the information functions of a minister's office constitute a long and complex communications link for receiving and transmitting vital facts and opinions to the minister. Consequently, the systems for managing the records of a minister's office must stress clarity, simplicity and security. The right information needs to be found and provided to the right person at the right time.

Conversely, because of the nature of the political environment, delays, confusion or errors can have serious consequences for an exempt staff official or a minister. A good system for managing information will help prevent loss, misplacement or unauthorized use of information.

What These *Guidelines* Are About

The purpose of these *Guidelines* is to assist in the design and operation of systems for managing recorded information in a minister's office--practical systems that meet the needs of the minister and staff and meet all legislative requirements.

Chapters 1 to 4 point out the major features and management requirements of the four categories of records that, according to the *National Archives of Canada Act* and related legislation and conventions, are created or received in the office of a minister:

.   ministerial records;

.   personal and political records;

.   records under the control of a government institution; and

.   records belonging to the Cabinet Paper System.

By the end of Chapter 4, readers will know why these categories must be kept separate from each other, and why the storage, retrieval and disposition of each must be managed to achieve efficient, effective service and to respond to the requirements of pertinent legislation--the *Access to Information*, *Privacy*, *Canada Evidence* and *National Archives of Canada* acts.

The second half of the *Guidelines* covers principles and practices to apply in managing these records.

Chapter 5 discusses the benefits and responsibilities of managing recorded information as they apply to a minister's office.

Chapter 6 deals with subject classification--the logical system for storing information and retrieving it on demand. It provides simple operational guidelines for identifying information so that records can be kept distinct, but can also be linked as needed. It suggests practices concerning the location and control of information.

Chapter 7 focuses briefly on the physical security of information. (Two appendixes provide checklists for reviewing security arrangements for information storage and transmission.)

Chapter 8 outlines the considerations that apply to the different categories of records when their active life in the minister's office is over. These considerations touch on the destruction of records, or their transfer to the National Archives or other locations.

These *Guidelines* are not meant to be exhaustive. They concentrate on what sets the minister's office apart from the institution in terms of managing information. Readers should work closely with those responsible for managing the information holdings of their institution. They may also seek further advice from the Privy Council Office regarding records belonging to the Cabinet Paper System, and from Treasury Board Secretariat and the National Archives regarding the other categories of records.

Chapter 1

MINISTERIAL RECORDS

What They Are

A ministerial record is defined in the *National Archives of Canada Act* as "a record of a member of the Queen's Privy Council for Canada who holds the office of a Minister and that pertains to that office, other than a record that is of a personal or political nature or that is under the control of a government institution."

In other words, ministerial records can be visualized as the information slice in a minister's office that pertains to portfolio business but does not fit into any other category--personal or political, institutional, or cabinet papers. Thus, the ministerial records category may include the following types of records:

- records that reflect internal deliberations involving a minister and his or her exempt staff on official matters relating directly to the minister's portfolio that are not referred to the minister's department(s) or agency(ies);

- records dealing with portfolio business that originated in the institution and were subsequently annotated by the minister or exempt staff;

- communications between ministers on policy matters directly relating to the portfolio of the minister in possession of the records;

- correspondence from the Prime Minister, the Privy Council Office, other ministers, and members of Parliament to the minister respecting his or her portfolio;

- records documenting official assignments from the Prime Minister which are outside of the minister's current portfolio but may be expected to lead to the creation of new institutions or additional responsibilities being assigned to existing institutions; and

- records concerning administrative matters that pertain only to the minister's duties or office.

Operational (non-administrative) records are unique to each portfolio or institution. Therefore, a subject classification guide for this type of record has not been included in this publication. However, examples of non-administrative documents belonging to the ministerial category are included in Appendix D. See Appendix B for a brief subject classification guide for ministerial records of an administrative nature.

The definition of ministerial records excludes them from application of the *Access to Information Act*, which provides "a right of access to information in records under the control of a government institution." Whether a particular document has been appropriately placed in the ministerial records category might, of course, be challenged under review procedures of Access to Information legislation.

Where to Keep Them

A procedure must be in place to ensure that ministerial records are kept distinct from other types of records in the minister's office. This can be accomplished by creating and maintaining a separate series of ministerial records files.

This series of files may include copies of relevant documents from institutional and other sources that help to present a complete picture of the subject concerned. In fact, it has been the custom in some government institutions for the minister and the deputy head to decide which institutional records should be copied for retention in the minister's office. This practice may continue with photocopies now forming part of the ministerial records set.

In special circumstances, the minister's office and the institution may agree to maintain a distinct set of copies of institutional records for the minister (see Chapter 3).

When You Are Through

At time of disposition (Chapter 8), ministerial records, being subject to the *National Archives of Canada Act*, must be transferred directly to the National Archivist.

The minister's office may contact the Manuscript Division of the National Archives to transfer ministerial records at any time during the minister's tenure. When the minister ceases to hold the portfolio in question, the minister's staff member responsible for ministerial records contacts the Archives in order to effect the immediate transfer of these records.

An agreement between the minister and the National Archivist covering access to ministerial records will be confirmed at this time. While institutional records are under the control of a government institution and are therefore subject to Access to Information legislation, access to ministerial records is determined through an agreement between a minister and the National Archivist. Generally, access would be limited for a specified period to the minister and to persons authorized by the minister.

Chapter 2

PERSONAL OR POLITICAL RECORDS

What They Are

Personal or political records (sometimes called "personal papers") typically include subjects that relate to:

- the minister's constituency business and role as a Member of Parliament;

- party political matters (such as leadership, party organization, caucus affairs, and political appointments);

- deliberations of Cabinet and its committees (other than documents that belong in the Cabinet Paper System--see Chapter 4); and

- the private life and personal interests of the minister.

Appendix C provides a model subject classification plan for personal or political records. Several illustrations of documents belonging to the personal or political category are included in Appendix D.

Where to Keep Them

Personal or political records are not subject to the *Access to Information Act*, the *Privacy Act*, or the records disposition provisions of the *National Archives of Canada Act*. They require their own separate holding.

When You Are Through

Personal or political records of ministers are theirs to dispose of as they wish. Fortunately, many ministers have, over the years, chosen to donate personal or political records to the National Archives of Canada. The Archives continues to encourage these donations.

The Archives is particularly interested in donations which include indexes to the records, and the software necessary to access electronic data processing (EDP) records which may be included.

In order to preserve personal papers of archival value in cases where a decision to donate to the National Archives can not be made immediately, records may be placed on temporary deposit in complimentary security storage at the Archives. The records remain the minister's property while on deposit.

Should ministers decide to donate the records on deposit to the National Archives, they will be making a gift to the nation of great historical value. Their records will be examined by professional archivists, and those records of archival value will be arranged, described and eventually made available to the public, in accordance with access provisions that are determined by the National Archivist in consultation with the donating minister. (Concerning confidences of the Queen's Privy Council for Canada that may be found among personal or political records, former ministers are bound to respect their oath as Privy Councillors and remain subject to the *Official Secrets Act*.)

Archival records are considered by Revenue Canada Taxation as gifts of cultural property. Donors may be eligible for tax credits when they make donations of personal or political records to the National Archives. (General information is contained in Revenue Canada's pamphlet P-113, "Gifts in Kind.")

Chapter 3

INSTITUTIONAL RECORDS

What They Are

Institutional records are records under the control of the government institution that is authorized to grant or deny access to the records, to govern their use, and, subject to the approval of the National Archivist, to dispose of them. They are subject to the provisions of the *National Archives of Canada Act*, the *Privacy Act* and the *Access to Information Act*.

In general, the information in institutional records pertains to the mandate of a government department or agency. They reflect the continuing business of the institution: its policies, programs, activities and services.

Where to Keep Them

Large volumes of recorded information tend to flow from a government institution to its minister's office; but little of it--or none at all--needs to stay there.

The government institution must retain a copy of any document under its control that it sends to the minister's office. Generally, the copy will appear in a holding associated with the office of origin, with the office of the deputy head, or both. In this fashion, the deputy head maintains control of the information that pertains to the institution, allowing the institution to carry out its responsibilities with respect to legislation like *Access* and *Privacy*.

The minister's office may (A) constantly return such documents to the institution; (B) add them to the set of ministerial records; or (C) keep them in a special set of copies of institutional records, where this has been arranged with the institution.

(A) <u>Constant return to the institution</u>

All records received in a minister's office that reflect institutional business and that originate within the institution or elsewhere may be sent to the institution either during the transaction of business, when an item of business has been completed, or when the information has been noted.

This practice encourages the minister's office to store only such information as is truly important to its operations.

(B) <u>Add institutional information to ministerial records</u>

The ministerial records series may contain material from various sources, including the institution, that pertains to the minister's portfolio responsibilities, and is neither a Cabinet paper nor a personal or political record.

Adding information from the institution to this series may make ministerial records files more useful, especially in a crisis and when the institution's holdings are inaccessible. On the other hand, it increases the volume of records that the minister's office must maintain and protect.

(C) <u>Keep special set of copies of institutional records</u>

Ideally, the information holdings that serve the institution can also meet the portfolio-related information needs of the minister's office.

However, for quick reference to those official matters in which both the institution and the minister's office are involved, the minister's office may wish to maintain a complete or partial set of copies of institutional records. Although this set may be located in the minister's office, it remains under institutional control.

To what extent this practice is followed will depend on the minister's managerial style, the institution's ability to provide the minister with relevant information in a timely manner, the nature and degree of the minister's involvement in transacting the institution's business, and the information-sharing procedures agreed upon by the minister and the deputy head.

When You Are Through

Records returned to the institution (see A above) are incorporated into its information holdings in accordance with the institution's policies and procedures. Eventually the institution's holdings are scheduled for disposition in accordance with National Archives' procedures.

Material from the institution that became part of the set of ministerial records (see B above) must be transferred, as part of that set, to the National Archives.

If there is a special collection of copies of institutional records in the minister's office (see C above), it must remain with the institution when the minister leaves or changes office. Such a collection constitutes a significant separate holding. The records are to be retained "en bloc" since, as a set, they may indicate the part the minister played in relation to all the activities of his or her institutions. This set is then scheduled for disposition in accordance with the following practices suggested by the National Archives:

- the usual retention period for the set of copies of institutional records is 10 years after the minister leaves that office;

- the records can be stored on departmental premises or in a Federal Records Centre of the National Archives for any portion of the 10-year period. The Centres protect institutional records from unauthorized access; records are only made available to staff who have the official permission of the controlling institution;

- the deputy head of the controlling institution is responsible for ensuring that all conventions are observed concerning access to records created during a previous minister's term of office;

- the records are transferred to the Government Archives Division of the Historical Resources Branch (National Archives) on expiry of the retention period; and

- personal information is disposed of by the controlling institution in accordance with the policy requirements of the *Privacy Act*.

Chapter 4

CABINET DOCUMENTS

What They Are

"Cabinet documents," for the purposes of this text, are records
designated by the Privy Council Office (PCO) as belonging to the
Cabinet Paper System. They are printed by the Privy Council Office
on controlled, colour-coded paper for circulation under that
Office's supervision to a limited number of authorized recipients,
mainly ministers and their immediate advisers. The Privy Council
Office provides guidance respecting the handling of Cabinet
documents, particularly the following documents which must be
returned to the PCO when they are no longer needed:

.   Cabinet agendas
.   Cabinet minutes
.   Cabinet committee agendas
.   Cabinet committee minutes
.   Cabinet committee reports
.   memoranda to the Cabinet
.   draft bills
.   records of Cabinet decisions

All Cabinet documents (and some documents found in the other three
categories referred to in these *Guidelines*) contain confidences
of the Queen's Privy Council for Canada. Therefore, they are
excluded from Access to Information and Privacy legislation. (The
Access Act and related legislation list documents that fall within
the broad group referred to as "confidences of the Queen's Privy
Council for Canada.")

Where to Keep Them

While in the minister's office, such documents are to be available
only to those persons who need to have access to them and have a
current security clearance at the appropriate level. They must not
be combined with any other set of records. The title and serial
number of Cabinet documents sent, received, and returned must be
maintained in a register along with other pertinent information.
For guidance on these matters, refer to the PCO handbook *Guidance
Manual for the Control and Handling of Cabinet Documents*.

When You Are Through

Documents belonging to the Cabinet Paper System are not subject
to Access to Information or Privacy legislation until they are 20
years old.

Cabinet papers are eventually transferred by the PCO to the
National Archives.

Chapter 5
MANAGING RECORDED INFORMATION: BENEFITS AND RESPONSIBILITIES

Introduction

This chapter explains both the benefits of managing recorded information in a minister's office and the responsibilities of ministerial staff under various information-related laws and policies.

What is Recorded Information Management?

Recorded information management is an encompassing term. It includes the management functions of planning, directing, organizing and controlling information holdings throughout their life cycle regardless of recording media.

The life cycle of information includes a number of stages: collection, organization and retrieval, maintenance and protection, transmission, and retention and disposition.

The recording media being used nowadays include paper, photographic, micrographic (film), optical, and magnetic.

Benefits of Managing Recorded Information

An efficient and complete system for managing recorded information in a minister's office will distinguish between the different categories of records.

Some of the reasons for establishing an efficient and effective program for managing recorded information in a minister's office are outlined below.

Supporting effective decision making

It is essential that information be made available quickly to ministers and their staffs for decision-making purposes. If information is not produced as and when required, it can reduce a minister's legislative and policy-making effectiveness as well as his or her responsiveness to constituents' needs.

A sound program for managing recorded information increases the speed and accuracy of retrieval by describing and classifying information consistently. Training staff is quicker and easier when uniform procedures are in place. Using automation intelligently, standardizing equipment and supplies, and reducing the amount of records duplication also contribute to efficient retrieval of the right information.

Preserving the historical record

The historical record a minister leaves behind contributes to the proper documentation and assessment of his or her career. The National Archives of Canada is responsible for ascertaining which records are of national archival significance, for collecting and caring for those records, and for making them available to researchers and the public in accordance with donors' agreements and Access to Information and Privacy legislation, regulations and policy.

Storage and protection

Information recorded on electronic, paper and other media needs to be managed in areas and via procedures that protect it from unauthorized access, disclosure, alteration, removal or destruction. Effective recorded information management practices provide measures to protect information classified in the national interest and other sensitive information from unauthorized access and disclosure. This aspect of a good system is particularly relevant in a minister's office where ministers and their staffs routinely handle confidences of the Queen's Privy Council for Canada.

Responding to requests for information

A well-organized program for managing recorded information will facilitate the retrieval of those records that are subject to the provisions of the *Access to Information, Privacy* and *Canada Evidence* acts. It will also help to protect the minister's interests on leaving office, or in documenting any decision or action that becomes the subject of scrutiny.

Responsibility for Managing Recorded Information

Information under the control of a government institution, but held in a minister's office pending the conclusion of an item of business, is managed in accordance with the Management of Government Information Holdings policy (Treasury Board, August 1989). This policy applies not just to paper but to all media. It is necessary, for example, to ensure that electronic messages and other documents that are not being retained electronically are captured in the paper system if they support decision making or program delivery.

With respect to information management practices, the minister's office may wish to identify one official to oversee this function. (Some ministers' offices follow this practice with respect to other matters such as security.) This official may consult departmental staff who are responsible for managing the information holdings of their institution, and may also draw on the expertise of the National Archives.

In addition, the Privy Council Office provides detailed guidance concerning records that belong to the Cabinet Paper System as well as other types of Cabinet confidences.

Chapter 6

HOW TO CLASSIFY AND ORGANIZE RECORDS

Introduction

As the scale and diversity of government activity have grown in
recent years, so has the complexity of the decision-making
process. Alternatives are considered against a myriad of statutory
instruments, strategies, policies, rules, precedents, guidelines,
practices and procedures.

The organization, policies, programs and functions of modern
government are, for the most part, documented by subject-based
information systems. These systems are essential to good
management; their design must be logical, so that timely decisions
can be taken in light of the appropriate information obtained at
a reasonable cost. This chapter provides a framework for
developing a sound subject classification and retrieval system.

The Block Numeric Subject Classification System

The system design suggested in the *Guidelines* is based on the
standard block numeric subject classification system used by most
government institutions. The block numeric system offers a simple
approach to subject classification and information retrieval. It
features an arrangement of broad subject categories called
sections or blocks, each of which is assigned a range (or block)
of primary numbers. These subject groupings are further subdivided
into related subject topics that are represented by individual
primary numbers. Some systems associate ascending primary numbers
with an alphabetical sequence of topics, but other subject
sequences can also be used. Primary numbers and subjects are in
turn broken down to the secondary and tertiary level as required.
Systems that follow the block numeric pattern are typically
supported by indexes that act as finding aids to the information
they contain. (For examples of the block numeric system, please
see Appendixes B and C).

There are a number of benefits to be realized from using the block
numeric system in the minister's office, including:

.   simplicity, ease and speed of operation in both
    classification and retrieval of information (keeping related
    subjects together limits the area of search);

.   flexibility of adding and deleting subject topics and sub-
    topics as required;

. almost unlimited expansion capability since large blocks of
unallocated primary numbers are available for future use;
and

. segregation of different departmental program elements.

There are common elements that make up the basic structure of any
block numeric classification system. A group of records is first
divided into broad groupings based on major program areas.
Sometimes these subject groupings mirror the organizational units
that make up the institution, e.g., the broad subject "marketing"
reflects the Marketing Division's program activity. In other
instances, a subject spans program divisions.

Broad subject areas are eventually subdivided into individual
primary subjects or series of primary subjects that reflect
various program elements. The subject areas and file captions form
a complete picture of the institution's mission and the way it is
carried out.

Appendix A describes basic techniques to be employed when using
the block numeric system in the minister's office.

Subject Description and Numbering

The key to future retrieval of records is classifying them
effectively by subject at or close to the time of their creation
or receipt.

If the government institution has a sound and comprehensive
subject classification system in place, the same system may be
implemented in the minister's office. Naturally, the version in
the minister's office will be less extensive because the latter
does not become involved in every aspect of every activity of the
department. The minister's records represent the minister's
selective involvement in departmental program areas.

In practical terms, this approach involves using the institutional
subject classification system to create primary subjects as
needed. Sub-files can be created on an "as required" basis, i.e.,
when several documents have been retained that pertain to a
particular subject. This approach may result in secondary and even
primary numbers being allocated differently in the minister's
office than in the institution. The examples shown below (Table
A) demonstrate the different ways in which the institutional
system can be used or adapted for use in the minister's office.

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                         TABLE A

+)))))))))))))))))))))))))))))))0)))))))))))))))))))))))))))))))),
*Number in Institutional System * Ministerial Record Number    *
/)))))))))))))))))))))))))))))))3)))))))))))))))))))))))))))))))1
*       (a) 2544-5              *              2544-5           *
*       (b) 2544-5              *              2544-3           *
*       (c) 2544-5              *              2544-1           *
*       (d) 2544-5              *              2540-1           *
.)))))))))))))))))))))))))))))))2)))))))))))))))))))))))))))))))-
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(a)   The same file number is being used for the same subject in both areas.

(b)   A subject has been assigned a lower secondary number in the minister's office. Due to a lower volume and less differentiation of records, fewer secondaries are needed there.

(c)   A subject has been placed on the general file in the minister's office. (The number "1" is always reserved for the general file.) The volume of records on this primary subject is so low that no specific secondaries are being used as yet.

(d)   A subject has been placed on the general file of a different (although related) primary subject because fewer primary numbers are being used.

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The minister's office may follow this approach both for ministerial records and, where applicable, for a separate collection of copies of institutional records. The National Archives will provide guidance in applying this approach to subject classification when requested.

Identifiers for Categories of Records

It is conceivable that four types of files--ministerial, institutional, personal/political and Cabinet papers--on the same subject might be circulating at the same time in the minister's office. Special identifiers can be used to keep them distinct. For instance, a unique prefix or suffix may be assigned to the file numbers of ministerial records. Particular file folder colours can also be reserved for ministerial records or personal/political records.

It is important that the categories are kept distinct and are not combined with one another. Should confusion occur in this regard, it is possible, for example, that ministerial or personal/political records might be sent to the institution. The result would be to change the status of such records to "institutional records," since all information received by the institution comes under institutional control.

Where Records Should Be Stored

The following chart illustrates the four separate holdings that may be in or associated with a minister's office. As noted in Chapter 3, the extension of the institutional collection into the minister's office is an undesirable option if the information holdings that serve the institution can also meet the information needs of the minister's office.

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                   LOCATION OF HOLDINGS
+))))))))))))))))))))))))))))))))))))))))))))))))))))))))))).
*                                    +))))))))))))),               *
*     Office of the Minister         * PERSONAL OR *               *
*                                    * POLITICAL   *               *
*                                    * RECORDS     *               *
*                                    .)))))))))))))-               *
*                                    +))))))))))))),               *
*   AAAAAAAA                       * MINISTERIAL *               *
*   A        A                       * RECORDS     *               *
*   A        A                       *             *               *
*   A        A     +))))))))),    .)))))))))))))-             *
*   A        A     * CABINET  *                                   *
.))))))))))))))))2))))))))))2)))))))))))))))))))))))))))))))-
+))0))))))))0)))))0))))))))))0))))))))))))))))))))))))))))),
*  *     *        * PAPERS   *                                 *
*  *     *        .)))))))))))-                                *
*  *     *                                                     *
*  *   .))))))))))))))))))))))))))))))))))),              *
*  *                                            *        *
*  *                 INSTITUTIONAL              *        *
*  *                 RECORDS                    *        *
*  *                                            *        *
*  *                                            *        *
*  *                                            *        *
*  *                                            *        *
*  *                                            *        *
*  .))))))))))))))))))))))))))))))))))))))))))))-    *  *
                                                        *
*                            Government Institution  *
*                                                       *
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Which of these holdings or collections is the best one for a particular record currently in a minister's office? The choice depends both on the subject matter of the record and on who is responsible for the collection in question. The following advice builds on the definitions and guidance given elsewhere in this text.
A record should be assessed as a unified whole to determine its appropriate category. For example, a document bearing handwritten annotations of a personal or political nature may be placed with personal or political records, regardless of the nature of the document before annotation.

All records, whatever their subject matter, may be sent to the institution. They become institutional records when they are received by the government institution. The government institution integrates the records with the appropriate part of its information holdings.

Records retained in the minister's office are to be put in the separate "ministerial records" collection if their subject matter pertains to the minister's portfolio responsibilities and they are not personal or political in nature. (See Chapter 1 for guidance on the scope of "ministerial records.")

Records retained in the minister's office may be put in the separate "personal or political" collection if their subject matter is personal or political in nature. (See Chapter 2 for guidance on the scope of "personal or political records.")

Records that belong in the Cabinet Papers category are to be assigned to the care of the Cabinet Papers Officer, who handles them in accordance with Privy Council Office instructions.

Chapter 7

SECURE TRANSMISSION AND STORAGE

Introduction

In carrying out its functions, the office of a minister receives, creates and transmits a considerable amount of information that is of a sensitive nature. This chapter focuses primarily on the physical security of information and the need to protect classified and other types of sensitive information from unauthorized access, disclosure, alteration, removal and destruction.

Security Policy

The Government of Canada's Security Policy sets out the requirements for government institutions and describes the roles of various bodies and institutions in implementing the policy on a government-wide basis. The National Archives, for example, is responsible for safeguarding classified and designated information transferred to its care and custody. The Archives is also responsible for declassifying and downgrading information transferred to its control for archival purposes in accordance with written agreements with the transferring department.

The Policy calls for government institutions to classify information (as Confidential, Secret or Top Secret) if its unauthorized disclosure or compromise could reasonably be expected to cause injury to the national interest, as set out in provisions of the *Access to Information Act* and the *Privacy Act*. It also calls for the designation of other types of information which, although they are not classified in the national interest, are also considered to be sensitive for other reasons (such as commercial confidentiality).

Implications for the Minister's Office

All prospective employees must be cleared for security purposes before their appointments take effect.

This requirement is set out in the personnel screening standards of *Information and Administrative Management: Security* (part of *Treasury Board Manual*) and in subsequent update letters. The policy applies to everyone working in ministers' offices, whether on the Hill or in a constituency office, including exempt staff, parliamentary staff, departmental staff, and people on loan, contract, secondment, interchange and the like.
The deputy head and the departmental security officer can initiate security clearances for ministerial staff.

The departmental security officer can also provide advice on physical and computer security measures to protect sensitive information.

Minister's office staff may wish to refer to *Information and Administrative Management: Security* as well as the booklet *Security Policy: A Manager's Handbook* (also from Treasury Board Secretariat) to ensure that their information handling practices are in line with those of the institution from a security perspective.

Checklists

These *Guidelines* include, as appendixes, two checklists that are derived from government physical security standards: Appendix E deals with security measures for the transmission and receipt of sensitive information; Appendix F is concerned with storage and protection.

Minister's office staff who are responsible for managing information may find Appendixes E and F useful in assessing their own internal security measures. It may also be beneficial to consider the Appendixes in relation to physical locations other than federal government buildings, such as the minister's Constituency office and Hill office.

Chapter 8

HOW TO DISPOSE OF RECORDS

Two provisions of the *National Archives of Canada Act* have a
direct bearing on the disposition of both institutional and
ministerial records:

> subsection 5(1) specifies that "No record under the control
> of a government institution and no ministerial record . . .
> shall be destroyed or disposed of without the consent of the
> Archivist";

> subsection 6(1) of the Act states that "The records of
> government institutions and ministerial records 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 or
> person responsible for the records."

Broadly speaking, organizations retain records for the length of
time that information is required to meet their administrative and
operational needs. The relative importance of the records can
range over time from supporting day-to-day decision making to the
settling of an occasional legal or financial dispute.

With the passage of time, several concerns arise. In the case of
electronic information systems, complete, accurate and current
documentation on both the system and the data must be available
if the data are to remain readable. With regard to more
traditional media, semi-active paper files that occupy expensive
office space should be transferred to low-cost storage as the need
for them diminishes.

When the records cease to be of operational value, they should be
disposed of. Disposition takes two forms: permanent preservation
of those that have archival or historical value; and approved
systematic destruction of the remainder.

Recognizing their significance in the life of the nation, the
National Archives preserves a large proportion of the records of
ministers. Some provide information on the evolution of government
policy, federal-provincial relations and other aspects of Canada's
political, social, cultural and economic development. Other
records reflect the local concerns of the minister's constituents
during his or her term of office.

Access by future researchers to records held by the National Archives will be determined according to the conditions that apply to the category of records concerned--for example, donors' agreements with respect to personal or political records and ministerial records, and Access to Information and Privacy legislation, regulations and policy regarding institutional records.

Systematic disposition of outdated records will unclog the filing system and contribute to the smooth running of a minister's office. The timely retrieval of information will help the minister move quickly on important issues. In addition, certain disposition practices should be followed when a minister leaves or changes office. The final section of Chapters 1 to 4 deals in detail with the disposition of each category of records maintained in the minister's office, including those records for which the institution or the Privy Council office is responsible.

APPENDIX A

SUBJECT CLASSIFICATION TECHNIQUES
FOR RECORDS IN A MINISTER'S OFFICE

1. Keep administrative (housekeeping) records, personal and political material, institutional files, and ministerial records segregated from each other. This will facilitate the eventual transfer and preservation of archival material and will also ensure that personal and political records are kept together and can be disposed of according to the minister's wishes.

2. Consult with the users of the records to determine how the records will be used and under what headings they will be requested. This information can help ascertain how the records should be arranged. For example, it may be desirable to keep all constituency material segregated from other documents.

3. Develop a subject classification system to suit your needs. The following points should be kept in mind:

    .   a group of subjects required by a large organization can be reduced to one or two primary subjects in a smaller one;

    .   a sub-subject file that is appropriate for a small organization may require a primary number and subject in a larger one; and

    .   separate primaries may be required for unique operational subjects in which a government institution is actively involved.

4. Leave gaps of unallocated numbers between primary subjects to allow for future expansion of the system. As time passes the quantity of records in any organization increases as does the need for more subject categories.

5. Allow the subject of the correspondence to govern the selection of the appropriate primary number and subject. Generally speaking, files reflecting the names of organizations such as associations, foundations, societies, etc. should be grouped together if a specific subject cannot be determined and they contain record material of a general nature such as minutes of meetings, annual reports, financial statements, notices of upcoming

    events and so forth. However, a file bearing the name of an individual or an organization can also be used as a sub-file

of a primary subject if it contains record material of a specific nature.

6. Always progress from the general to the specific. This simply means that a specific file (i.e., a secondary or tertiary) should not be created for a small amount of documentation that can be placed on a general file. As the general file grows and develops, specific related files are created as they are needed.

7. Keep the system simple and easy to operate. Arrange primary subjects in alphabetical or another easily recognized order to facilitate reference.

8. Never create speculative files on topics for which someone feels there may be a need in the future. Files should only be created when papers already exist that document that particular topic.

9. Use current terminology. When developing primary subject titles and descriptions, use the terminology found in the daily correspondence; this terminology accurately reflects organizational activities.

10. Be precise. Each subject title should be phrased so that it is as exclusive as possible since each primary subject and its component sub-files are a unique unit of information.

11. Use mnemonic aids whenever possible. Numbers representing years, sessions in Parliament, etc. are more meaningful than abstract numbers.

    e.g. <u>195 Canada Day</u>
         -0
         -1 General
         -90 Calendar Year 1990

12. Support the system with the required index entries. A subject classification system makes information retrieval possible; an index acts as the key to the system and makes rapid retrieval possible. The following index information should be available via screen display and printout:

    (a) a numerical index, which is an up-to-date listing of all files in existence and consists of a complete listing in numerical sequence of all subject classification groups, primary subject heading numbers within each group, and sub-subject numbers and file titles created under each primary subject heading number;

    (b) an alphabetical subject index made up of key words in the official file titles; and

    (c) an alphabetical cross-reference index consisting of acronyms and synonymous topics that refer to the official file title and number.

Depending on the operational needs of a minister's office, other index entries may be required such as:

    (d) an alphabetical listing of terms contained in significant documents that are cross-referenced to the official file title and number; and

    (e) an alphabetical cross-reference index for various source groupings such as other ministers, members of Parliament, prominent individuals, important organizations, etc.

13. Document Control

The large number of inquiries that are sent to the minister's office from constituents and the general public necessitates the creation of a document control index.

Since one of the most important goals of the minister's records office is to facilitate efficient correspondence processing, procedures must be in place to accomplish document-based activities such as correspondence recording, indexing, and action response tracking and control. These activities are normally accomplished with the assistance of a computer, either a stand-alone system or an extension of the institutional system.

14. Automation

The National Archives publication *Guidelines on Computer-Assisted Records Management* contains a generic set of records management functional and input/output requirements and is intended to support the subject classification system in a government institution. The publication also outlines features for recording and tracking executive correspondence that would apply to a minister's office.

The following data fields provide support for those activities associated with correspondence recording and action response tracking and control: the ministerial docket number, the file number, the name of the individual to whom the correspondence was referred, the organizational unit concerned, the reply due date, the date when a reply is signed by the minister, and recipients of copies.

A correspondence control system should have the capability of searching individual fields or combinations of fields. Other essential system functions include adding and modifying data, performing key-word searches, assigning ministerial docket numbers, and printing docket slips. The system should also be capable of producing ad hoc and standard reports such as an outstanding correspondence listing, constituents listing, and statistics showing correspondence trends on major issues.

APPENDIX B

SUBJECT CLASSIFICATION GUIDE:

MINISTERIAL ADMINISTRATIVE RECORDS

Primary Subjects

```
Administration - General
              - Office Services
              - Recorded Information Management
              - Security

Property Management - General
                    - Accommodation

Materiel Management - General

Finance - General
        - Budgets
        - Contracts

Human Resources - General
                - Employment and Staffing
```

SECTION 1

ADMINISTRATION

This Section includes a variety of subjects concerning administrative and managerial activities required for the proper functioning of a minister's office.

ADMINISTRATION -- GENERAL

Includes general subjects relating to the administrative functions and activities not shown elsewhere in the administrative block.

-0 Policy
-1 General
-2 Campaigns and Canvassing
-3 Communications
-4 Library Services

OFFICE SERVICES

Includes correspondence relating to internal office services, including duplication and reproduction services, secretarial and typing services, word processing, translation, moving of furniture and equipment, etc.

-0 Policy
-1 General
-2 Word Processing
-3 Printing Operations

RECORDED INFORMATION MANAGEMENT

Includes documentation relating to the records management program and operations of the records office, the management of EDP records and automated records management systems, etc.

-0 Policy
-1 General
-2 Automated Records Management System Study
-3 Information Tracking Study
-4 National Archives

<u>SECURITY</u>

Includes documentation relating to security standards and procedures that pertain to security administration, physical security, information technology security and the personnel screening process.

-0 Policy
-1 General
-2 Declassifying and Downgrading
-3 Electronic Security
-4 Records Office Security
-5 Reliability Checks

SECTION 2

PROPERTY MANAGEMENT

This Section includes subjects that involve the acquisition of accommodation, construction and alterations, repairs and maintenance, and utilities.

PROPERTY MANAGEMENT -- GENERAL

Includes correspondence of a general nature relating to buildings and properties, including maintenance, elevator services, building passes, building directories, etc.

-0 Policy
-1 General
-2 Alterations and Repairs
-3 Temporary Building Passes
-4 Utilities

ACCOMMODATION

Includes correspondence relating to current and future requirements and planning, including plans for expansion, allocation of space, floor plans, etc.

-0 Policy
-1 General
-2 Accommodation Study
-3 Boardroom

SECTION 3

MATERIEL MANAGEMENT

This Section covers the functions of procurement, maintenance, repair and related activities that terminate with the disposal or write-off of obsolete or surplus materials.

<u>MATERIEL MANAGEMENT -- GENERAL</u>

Includes documentation relating to the overall administration of materiel management activities, including procurement, supply, maintenance and disposal.

-0 Policy
-1 General
-2 Catalogues, Manuals, Price Lists
-3 Disposal and Surplus
-4 Furniture and Furnishings
-5 Stationery Supplies

SECTION 4

FINANCE

This Section includes financial subjects reflecting the receipt, control and expenditure of public funds as well as the administration of the budget for the Minister's Office.

FINANCE -- GENERAL

Includes correspondence relating to financial management functions and plans not shown elsewhere in this block.

-0 Policy
-1 General
-2 Claims
-3 Fees
-4 Travel Allowances and Expenses

BUDGETS

Includes documentation of a general nature relating to budgetary practices, procedures, and controls.

-0 Policy
-1 General
-2 Multi-Year Operational Plan (MYOP)
-3 Supplementary Estimates

CONTRACTS

Includes record material relating to guidelines, procedures and regulations that pertain to contract administration.

-0 Policy
-1 General
-2 Contract Review and Procedures
-3 Make or Buy Policy

SECTION 5

HUMAN RESOURCES

This Section includes subjects that relate to the employment of the Minister's exempt staff, including staffing, appointments, pay and benefits, training, relocation, official languages, separations, etc.

HUMAN RESOURCES -- GENERAL

Includes correspondence relating to the general administration of personnel management activities not shown elsewhere in this block.

-0 Policy
-1 General
-2 Exempt Staff Directory
-3 Official Languages

EMPLOYMENT AND STAFFING

Includes documentation relating to the staffing of positions, applications for employment, offers of services, recruitment programs, etc.

-0 Policy
-1 General
-2 Applications
-3 Summer Students

APPENDIX C

MODEL SUBJECT CLASSIFICATION SCHEME:

PERSONAL OR POLITICAL RECORDS

Primary Subjects

Personal or Political Records -- General

Appreciation, Congratulations, Condolences -- General

Appreciation, Congratulations, Condolences -- Constituency

Appreciation, Congratulations, Condolences -- Region

Cabinet System -- General

Cabinet System -- Briefs Presented to Cabinet

Cabinet System -- Cabinet Committee

Cabinet System -- Regional Responsibilities

Cabinet System -- Special Assignments

Communications -- General

Communications -- Government

Electoral Act

House of Commons

Invitations and Visits -- General

Invitations and Visits -- Constituency

Invitations and Visits -- Region

Issues and Concerns -- General

Issues and Concerns -- General -- External Affairs and
International Trade

Issues and Concerns -- Constituency

Issues and Concerns -- Region

Major Political Issues -- General

Major Political Issues -- Constituency

Major Political Issues -- Region

Order In Council Appointments -- General

Order in Council Appointments -- Boards, Commissions,
Councils

Order In Council Appointments -- Judicial

Political Parties -- General

Political Parties -- Government -- General

Political Parties -- Government -- National Organization

Political Parties -- Government -- Provincial Organization

Political Parties -- Government -- Provincial Cabinet

Political Parties -- Government -- Regional Caucus

Political Parties -- Government -- Travelling Caucuses

Riding Associations -- General

Riding Associations -- Minister's Riding

Speeches

PERSONAL OR POLITICAL RECORDS -- GENERAL

Includes correspondence of a personal nature received (or replied to) by the minister concerning matters not covered under specific primary subjects. Also includes information relating to any personal interests of the minister such as charitable organizations and any special issues that he or she may be involved with.

```
-0
-1   General
-2   Appreciation
-3   Birthdays and Anniversaries
-4   Congratulations
-5   Flags and Pins
-6   Humane Treatment of Animals
```

APPRECIATION, CONGRATULATIONS, CONDOLENCES -- GENERAL

Includes correspondence initiated by the minister's office and sent to non-constituents concerning appointments, promotions, achievements, election results, etc. Also includes letters of appreciation sent to the minister in response.

```
-0
-1   General
-2   Appreciation
-3   Birthdays and Anniversaries
-4   Congratulations
-5   Season's Greetings
```

APPRECIATION, CONGRATULATIONS, CONDOLENCES -- CONSTITUENCY

Includes correspondence initiated by the minister's office and sent to constituents concerning appointments, promotions, achievements, election results, etc. Also includes letters of appreciation sent to the minister in response.

```
-0
-1   General
-2   Appreciation
-3   Birthdays and Anniversaries
-4   Congratulations
-5   Season's Greetings
```

APPRECIATION, CONGRATULATIONS, CONDOLENCES -- REGION

Includes correspondence initiated by the minister's office and sent to individuals residing in the minister's region of responsibility concerning appointments, promotions, achievements, election results, etc. Also includes letters of appreciation sent to the minister in response.

-0
-1   General
-2   Appreciation
-3   Birthdays and Anniversaries
-4   Congratulations
-5   Season's Greetings

CABINET SYSTEM -- GENERAL

Information of a general nature concerning the operation of the modern Cabinet system and the circulation and consideration of documentation on which full Cabinet discussions and decision making are based.

-0
-1   General
-2   Prime Minister's Office
-3   Records Management of Cabinet Documents

Note: Cabinet Committees are a separate primary subject. See below.

CABINET SYSTEM -- BRIEFS PRESENTED TO CABINET

Briefing books and related material, including copies of briefs presented to the minister by private interest groups and organizations. Also includes information concerning administrative arrangements, attendance lists and briefing notes for each session.

-0
-1   General
-2   Construction
-3   Consulting Engineers
-4   Municipalities

CABINET SYSTEM -- CABINET COMMITTEE

Records concerning meetings of a specific Cabinet committee of which the minister is a member. Includes memoranda for the minister prepared by the department regarding agenda items and their implication for the institution, memoranda for the minister from the Secretary of the Cabinet Committee, briefing notes, synopsis of agenda items, prospective attendance lists, etc.

-0
-1   General
-2   Cabinet committee meetings arranged and identified chronologically.

Note: Cabinet papers are not included as part of this primary subject but are returned to the Privy Council Office in accordance with instructions issued by that institution.

CABINET SYSTEM -- REGIONAL RESPONSIBILITIES

Correspondence concerning the minister's responsibilities, as a regional minister, for special assignments and undertakings assigned by the Prime Minister.

-0
-1   General
-2   Briefing Notes

CABINET SYSTEM -- SPECIAL ASSIGNMENTS

Correspondence related to special assignments undertaken by the minister at the request of the Prime Minister and not related to the minister's portfolio.

-0
-1   General
-2   Briefing Notes

COMMUNICATIONS -- GENERAL

Documentation of media interviews, including transcripts and recordings. Includes clippings which make reference to the minister and policies related to the minister's mandate. Also includes personal releases issued by the minister and copies of mailings of a national, regional or constituency nature.

-0
-1   General
-2   Media/Public Relations
-3   Press Clippings
-4   Releases

COMMUNICATIONS -- GOVERNMENT

Includes correspondence dealing with the issue of government advertising. Also includes record material relating to government advertising that does not come under the purview of the minister.

-0
-1   General
-2   Institution
-3   Other Government Institutions

ELECTORAL ACT

Correspondence pertaining to the undertakings outlined in the *Canada Elections Act* for a holder of public office, including the lists of contributors and receipts required under the *Act*. Also includes correspondence and briefs regarding proposed amendments to the *Canada Elections Act* and fund-raising practices.

-0
-1   General
-2   Fund-raising
-3   Proposed Amendments

HOUSE OF COMMONS

Records reflecting communication between a minister and the Party Whip or House Leader on a minister's House of Commons duties and the scheduling of legislative programs through the House.

-0
-1   General
-2   House Leader

INVITATIONS AND VISITS -- GENERAL

Correspondence between the minister's office and individuals from outside the minister's constituency and region of responsibility who are interested in meeting the minister and having him or her address gatherings and social functions such as luncheons, banquets, conferences, annual meetings, etc.

-0
-1   General

(Series of files, one for each letter of the alphabet, containing correspondence from persons whose names begin with that letter.)

INVITATIONS AND VISITS -- CONSTITUENCY

Correspondence between the minister's office and individuals from the minister's constituency who are interested in meeting the minister and having him or her address gatherings and social functions such as luncheons, banquets, conferences, annual meetings, etc.

-0
-1   General

(Series of files, one for each letter of the alphabet, containing correspondence from persons whose names begin with that letter.)

INVITATIONS AND VISITS -- REGION

Correspondence between the minister's office and individuals from the minister's region of responsibility who are interested in meeting the minister and having him or her address gatherings and social functions such as luncheons, banquets, conferences, annual meetings, etc.

-0
-1   General

(Series of files, one for each letter of the alphabet, containing correspondence from persons whose names begin with that letter.)

ISSUES AND CONCERNS -- GENERAL

Correspondence with individuals and organizations from outside the minister's constituency and region of responsibility relating to matters that do not come under the purview of the minister. Includes letters of acknowledgement, replies by the minister and exempt staff, redirection of inquiries to the appropriate government or non-government institution, and copies of replies from other government agencies.

-0
-1   General
-2   Crank/No Address
-3   Agriculture
-4   Energy, Mines and Resources

ISSUES AND CONCERNS -- GENERAL -- EXTERNAL AFFAIRS AND INTERNATIONAL TRADE

Correspondence with individuals and organizations from outside the minister's constituency and region of responsibility relating to matters that come under the purview of the Minister of External Affairs and International Trade. Includes letters of acknowledgement, replies by the minister and exempt staff, redirection of inquiries to the Department of External Affairs and International Trade, and copies of replies from that institution.

-0
-1   General
-2   Arms Reduction
-3   Central America
-4   South Africa

(Series of files, one for each letter of the alphabet, containing correspondence from persons whose names begin with that letter; or series of case files arranged alphabetically by name of individual or organization.)

Note: The Department of External Affairs and International Trade has been included here as an example. There may be a requirement to create primary subjects for other government institutions to which a large number of inquiries and requests for information are directed.

ISSUES AND CONCERNS -- CONSTITUENCY

Correspondence with individuals and organizations from the minister's constituency relating to matters that do not come under the purview of the minister. Includes letters of acknowledgement, replies by the minister and exempt staff, redirection of inquiries to the appropriate government or non-government institution, and copies of replies from other government agencies.

-0
-1   General
-2   Crank/No Address
-3   Agriculture
-4   Energy, Mines and Resources

ISSUES AND CONCERNS -- REGION

Correspondence with individuals and organizations from the minister's region of responsibility relating to matters that do not come under the purview of the minister. Includes letters of acknowledgement, replies by the minister and exempt staff, redirection of inquiries to the appropriate government or non-government institution, and copies of replies from other government agencies.

-0
-1   General
-2   Crank/No Address
-3   Agriculture
-4   Energy, Mines and Resources

MAJOR POLITICAL ISSUES -- GENERAL

Voluminous correspondence from the general public, i.e., individuals and organizations from outside the minister's constituency and region of responsibility concerning major issues that do not come under the purview of the minister.

-0
-1   General
-2   Abortion
-3   Capital Punishment
-4   Pornography

(Series of files, one for each letter of the alphabet, containing correspondence from persons whose names begin with that letter; or series of case files arranged alphabetically by name of individual or organization.)

MAJOR POLITICAL ISSUES -- CONSTITUENCY

Voluminous correspondence from individuals and organizations in the minister's riding concerning major issues that do not come under the purview of the minister.

-0
-1   General
-2   Abortion
-3   Capital Punishment
-4   Pornography

MAJOR POLITICAL ISSUES -- REGION

Voluminous correspondence from individuals and organizations in the minister's region of responsibility concerning major issues that do not come under the purview of the minister.

-0
-1   General
-2   Abortion
-3   Capital Punishment
-4   Pornography

ORDER-IN-COUNCIL APPOINTMENTS -- GENERAL

Includes information of a general nature concerning Order-in-Council appointments and re-appointments to the Senate, the judiciary and federal agencies.

-0
-1   General
-2   Vacancy Lists

ORDER-IN-COUNCIL APPOINTMENTS -- BOARDS, COMMISSIONS, COUNCILS

Documentation, including curriculum vitae and letters of recommendation to ministers and the Governor General in Council, concerning appointments and re-appointments to various federal institutions. Also includes minister-to-minister correspondence seeking regional support for nominations and information regarding existing and upcoming vacancies.

-0
-1   General
-2   Appointments and Salary Schedules
-3   Appointments (by region)
-4   Register of Names

(Series of files, one for each letter of the alphabet, containing correspondence from persons whose names begin with that letter; or series of case files arranged alphabetically by name of individual or organization.)

ORDER-IN-COUNCIL APPOINTMENTS -- JUDICIAL

Letters of recommendation, curriculum vitae and correspondence with the Minister of Justice regarding the availability of would-be nominees for federal judicial appointments.

-0
-1   General
-2   Judicial Register

(Series of files, one for each letter of the alphabet, containing correspondence from persons whose names begin with that letter; or series of case files arranged alphabetically by name of individual or organization.)

POLITICAL PARTIES -- GENERAL

Includes information of a general nature that does not relate specifically to the party forming the government.

-0
-1   General
-2   Electoral Districts
-3   Leadership Polls
-4   Shadow Cabinet

POLITICAL PARTIES -- GOVERNMENT -- GENERAL

Includes documentation of a general nature concerning the party in power.

-0
-1   General
-2   International Liaison

<u>POLITICAL PARTIES -- GOVERNMENT -- NATIONAL ORGANIZATION</u>

Record material documenting the role of the governing party's national executive, committees and caucus in policy formulation, constitutional matters, election strategy, convention organization, leadership reviews, youth strategy, etc.

```
-0
-1    General
-2    Fund-raising
-3    Meetings of Ministerial Assistants
-4    Newsletters
-5    Policy Workshop
-6    Speakers Bureau List
```

<u>POLITICAL PARTIES -- GOVERNMENT -- PROVINCIAL ORGANIZATION</u>

Documentation dealing with the role of the governing party's provincial executive, committees and caucus in raising and allocating funds, organizing conventions and workshops, formulating policy, developing a youth strategy, etc.

```
-0
-1    General
-2    Provincial Conference and Policy Workshop
-3    Fund-raising
```

<u>POLITICAL PARTIES -- GOVERNMENT -- PROVINCIAL CABINET</u>

Documentation relating to the minister's responsibilities for coordinating political activities in a number of ridings in a province as well as identifying priority projects for that province and examining national priorities from that province's perspective.

```
-0
-1    General
-2    Initiatives, Issues and Priorities
-3    Meetings of the Cabinet Committee of Provincial
      Ministers
-4    Provincial Briefing Book
```

POLITICAL PARTIES -- GOVERNMENT -- REGIONAL CAUCUS

Records concerning meetings of senators and members of Parliament from a particular geographical area or region for which the minister is responsible.

-0
-1   General
-2   Agenda and Minutes
-3   Urban Transportation

POLITICAL PARTIES -- GOVERNMENT -- TRAVELLING CAUCUSES

Records documenting arrangements made by the minister's staff and riding associations regarding visits of ministers and members of Parliament to various constituencies in order to participate in town-hall meetings, workshops and press conferences.

-0
-1   General
-2   Lists of Participants
-3   Schedules

      (Series of files arranged alphabetically by name of riding.)

RIDING ASSOCIATIONS -- GENERAL

Reports for ridings located in the minister's geographical area of responsibility concerning fund-raising, opposition activity, riding association programs, government performance, assessment, recommendations, etc.

-0   Policy
-1   General

      (Series of files arranged alphabetically by name of riding.)

RIDING ASSOCIATIONS -- MINISTER'S RIDING

Correspondence between the minister's office and the riding association concerning the federal government's presence in and the minister's political links to the constituency.

-0
-1   General
-2   Fund-raising
-3   List of Members
-4   Minutes of Meetings
-5   Press Clippings
-6   Riding Reports
-7   Riding Study

SPEECHES

Texts of speeches and speaker's notes for addresses made by the minister to various organizations, interest groups and riding associations.

-0
-1   General
      Speeches arranged alphabetically, for example:

      Speech--Appraisers Institute
            --Canadian Police College
            --Lenville-Grimcoe Riding Association

APPENDIX D

EXAMPLES OF RECORDS BELONGING TO DIFFERENT CATEGORIES

The category to which a record belongs is decided not only by its subject content but also by subsequent actions that determine its physical location. For example, if a letter addressed to the minister is referred to institutional officials for action, it becomes an institutional record. On the other hand, if it is retained in the minister's office, it is either a ministerial record or a personal/political record depending on its content.

If an information copy of a letter addressed to the minister is provided to the institution, that copy becomes an institutional record. Conversely, a copy of an institutional record becomes a ministerial record when filed with other ministerial papers.

The examples which follow demonstrate where, in view of their content, records may be filed within the minister's office. In every case, the minister could opt to send or return the record to the institution -- causing it to become an institutional record.

Example A

Content: An analysis of a Cabinet document prepared by the institution.

Recommended location: If the subject matter pertains to the minister's portfolio, place the document in the set of ministerial records. The deputy head has kept a copy which is under the control of the institution (the copy is an institutional record).   If the information conveyed in the memo pertains to matters that extend beyond the minister's portfolio, place it in the set of personal or political records.

Example A

MINISTERIAL/
PERSONAL OR POLITICAL

Deputy Minister   Sous-ministre

S E C R E T

MEMORANDUM TO THE MINISTER OF _____

Meeting of the Cabinet Committee on Economic and Regional
Development, Tuesday, 00/00/1900,
Room 000-A

      Attached for your information are analyses of the
documents to be discussed at the Cabinet Committee on Economic and
Regional Development. I wish to draw your attention specifically
to the briefing material prepared on the documents entitled " _
_____," and "_____."

Signed by

Deputy Minister

Example B

Content: A reply that has been prepared by institutional officials to a question raised in the House of Commons concerning the minister's department.

Recommended location: Place it in the set of ministerial records. The deputy head has kept a copy which is under the control of the institution (the copy is an institutional record).

MINISTERIAL

MEMORANDUM   NOTE DE SERVICE

TO/A: Legislative Assistant to the Minister of_____

FROM/DE: Assistant Deputy Minister of _____

SUBJECT: <u>QUESTION RAISED IN THE HOUSE OF COMMONS</u>

     Enclosed you will find the reply to the question raised in the House of Commons by _____, M.P., on 00/00/1900, concerning the possibility of budget cuts to the department's regional office operations budget.

     Should you require any further information, please contact _____, Budget Officer, at 000-0000.

Example C

Content: The Prime Minister brings to the attention of a newly
          appointed minister two priority issues that pertain to
          the mandate of the minister's portfolio.

Recommended location: Place the document in the ministerial
                         records set.

Example C

MINISTERIAL

Canada
PRIME MINISTER * PREMIER MINISTRE

<u>Secret</u>

Ottawa, Ontario

Dear Colleague:

     As you take up your duties as Minister of _____, I would like to outline two issues to which you should pay particular attention. The first is the relationship between initiatives in the private sector and government initiatives. While I will rely on your advice for measures which should be undertaken to strengthen our policies, you should ensure through extensive consultation with the members of the Priorities and Planning Sub-Committee on _____ that such initiatives would not undercut our efforts in this important area.

     As you are aware, the Ministerial Task Force on _____ recommended, subject to my concurrence, a review of the Government's relationship with _____. Your predecessor had signalled the importance of a very cautious approach to redefining this relationship in order to avoid a repetition of the situation which characterized the public debate on Bill _____ when it was introduced by the previous administration. To assist in my decision as to whether this study should proceed, I would ask you to provide me with a further assessment of the risks attendant on such a study and the degree to which those risks could be managed.

     I am pleased that you have accepted the portfolio of Minister of _____ and wish you every success in this position.

Yours sincerely,

(signed by Prime Minister)

The Honourable _____
Minister of _____
House of Commons
Ottawa, Ontario

Example D

Content: A member of the exempt staff briefs the minister
         concerning the removal of a clause from a bill
         sponsored by the minister's department.

Recommended location: Place the document in the ministerial
                        records set.

MINISTERIAL

OFFICE OF THE MINISTER OF_____

TO/A: Minister

FROM/DE: _____
            Legislative Assistant

RE: C-O TERRITORIAL OIL AND GAS PRODUCTION BILL

))

The Committee proceedings for Bill C-O are progressing quickly and there is a consensus among those involved that this is a good bill that should be passed as soon as possible.

Only one controversial clause remains in the Bill and, with the appropriate permission, there is consensus for its removal. The necessary correspondence to the Prime Minister and House Leader is attached, awaiting only your signature.

I have scheduled your appearance before the Committee for clause-by-clause analysis of the Bill.

Please contact me if you have further questions or require a more detailed briefing.

signed by

Legislative Assistant

Example E

Content: The institution briefs the minister on the status of a
          bill that has passed through the committee stage of the
          legislative process. The memorandum has been annotated
          by the minister.

Recommended location: Place the document in the ministerial
                           records set. The deputy head has kept
                           a copy which is under the control of
                           the institution (the copy is an
                           institutional record).

Example E

MINISTERIAL

Government   Gouvernement
of Canada   du Canada

Deputy Minister of _____ Sous-ministre des _____

THE MINISTER

Legislative Committee on Bill C-00 -- Clause-by-Clause Reading

      The purpose of this memorandum is simply to confirm for the record the successful completion of clause-by-clause reading by the Legislative Committee on Bill C-00.

      All government amendments were approved including those respecting the deletion of the contentious clauses on _____ and _____. All opposition amendments were defeated with the exception of one which was considered an improvement to the Bill. The only significant area of disagreement in the defeated opposition amendments related to the meaning of the term "___ ____" in the definition of "_____."

      The Bill will now be referred back to the House for final approval.

               signed

               Deputy Minister

Example F

Content: A member of Parliament notifies the minister about
         public reaction to a matter that relates to the
         minister's portfolio.

Recommended location: Place the document in the ministerial
                         records set.

Example F

MINISTERIAL

John Smith, M.P.

Chief of Staff
Office of the Minister of XYZ
Suite 000
000 Street
Ottawa, Ontario

Dear Mr. Chief of Staff:

My office is being lobbied on the topic of X, which is under the control of your Minister. Of the fifty-two letters on this topic which I have received, I am sending three to your office. Each of these letters, I believe, will be of interest to your Minister and may require his direct response.   I have notified each individual that his or her letter has been forwarded to your office.

Sincerely,

John Smith, M.P.

Example G

Content: The views of a non-constituent on a major political
         issue that is outside the minister's portfolio.

Recommended location: Place   the   document   in the
                         personal/political records set.

Example G

PERSONAL OR POLITICAL

Mr. _____
Minister of Budget
House of Commons
Ottawa, Ontario

Dear Sir:

I am writing you concerning the abortion law to be discussed in
Parliament in the near future.

I believe that no person, institution or government should
tolerate, encourage or decree abortion.

Thank you for your careful consideration of this important matter.

Sincerely,

signed by non-constituent

Example H

Content: A cabinet colleague presents his views on a matter that
          will be brought before a committee of Cabinet and that
          is beyond the portfolio of the minister.

Recommended location: Place   the   document   in the
                         personal/political records set.

PERSONAL OR POLITICAL

Minister of Tourism   Ministre du Tourisme

The Honourable   L'honorable

Joseph Travel, P.C., M.P.

The Honourable Jackson Moneypenny
Minister
Department of Budget
House of Commons
Ottawa, Ontario

Dear Jack:

I understand that, at the February 30, 1999, meeting of the CCERD, our colleague, the Honourable H. Bogart, will be presenting a Memorandum to Cabinet on the selling of Parks Canada land to the Ontario provincial government. As I will be unable to attend this meeting, I would like to pass my views to you, as a member of the CCERD, on this matter.

The paper recommends that unexploited lands in parts of Ontario owned by Parks Canada be sold to the Ontario government for the purpose of creating a centre for the observation of North American wildlife. Several forest areas in Southern Ontario are mentioned as being possible locations for the Ontario government's project.

It is my strong opinion that the sale of these lands to encourage the creation and development of such a centre would be beneficial to a region which has been losing its tourist appeal in the past decade. A centre of the stature proposed by the Ontario government would attract tourists, who are more and more interested in activities related to the natural sciences and the observation of wildlife. Moreover, the sale

of these lands would establish a stronger relationship between the two governments on the matter of tourism. This could lead to the

establishment of more co-operative projects, which have been a
priority of my Department.

Yours sincerely,

Joseph Travel, P.C., M.P.

Example I

Content: Information concerning a polling program conducted by a committee of the minister's political party.

Recommended location: Place the document in the personal/political records set.

Example I

PERSONAL OR POLITICAL

NEW FEDERALIST PARTY OF CANADA

00/00/1900

Hon. Donald North
Minister for Economic Growth
House of Commons
Ottawa, Ontario

Dear Minister:

On behalf of the National Organization Committee, I am pleased to announce that the Party will once again offer a pre-writ Riding Polling Program to all constituencies. Enclosed you will find a description of the program.

The program is modelled after last year's approach with a number of significant improvements:

1. The riding will now have the option of having all phases of the survey, including telephone field work, conducted professionally.

2. The questionnaire will allow for more testing of local issues.

3. Sampling methodology has been enhanced to ensure the reliability of results.

Best of all, of course, we are able to offer the program at less than half the price of one independently conducted by a national research house.

If you have any questions regarding the program, either Ralph Eastman, our National Director, or I would be pleased to answer them.

Good luck with your election planning.

Michael E. Westwick

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National Secretary

Example J

Content: Correspondence between two Chiefs of Staff concerning
           a policy that involves both their ministers'
           portfolios.

Recommended location: Place the document in the ministerial
                         records set.

MINISTERIAL

OFFICE OF THE MINISTER OF DEPARTMENT X

c.c. Chief of Staff
     Parliamentary Secretary
     Minister's Office File

00/00/1999

Chief of Staff
Department Y
Building D
Ottawa, Ontario

Dear Chief of Staff:

My Minister concurs that the initiation of the _____
policy requires the coordination of both of our offices. I think,
therefore, that we should be prepared to coordinate our endeavours
regarding the planning of this policy initiative and the
announcement of new expenditures.

I suggest that we meet next Tuesday at 12:10 p.m. Our ministers
may want to discuss this further, and I suggest a meeting the
following day for this purpose. Please confirm this tentative
scheduling.

Sincerely,

_____
Chief of Staff
Minister's Office of Department X

APPENDIX E

CHECKLIST -- TRANSMITTAL AND RECEIPT OF INFORMATION

The following checklists have been included as operational aids to test the awareness of records management staff concerning the provisions of government physical security standards. With the exception of A.3 and B.7, the answers to the questions should be "yes."

A.   Preparation for transmittal

1.   Is designated information, other than that considered extremely sensitive, placed in a single unmarked gum-sealed envelope for transmittal outside an institutional facility or mail system?

2.   Is classified and extremely sensitive designated information placed in a sealed double envelope for transmittal outside an institutional facility or mail system?

3.   Does the outer envelope bear a security marking? (The answer is "no.")

4.   Does the inner envelope bear the security marking of the contents?

5.   Is the inner envelope containing top secret or secret information closed with an approved seal?

6.   Before top secret information is transmitted outside an Operations Zone, is a record made of its transmittal?

7.   Is the intended recipient of top secret information notified in advance of shipment?

8.   For classified information intended for the classified diplomatic courier bag system, is the outer envelope addressed to the Manager, Mail Room Operations, Department of External Affairs and International Trade?

9.   Does the inner envelope addressed to the intended recipient overseas show the security marking and the words "By Classified Diplomatic Courier Bag"?

10.   Are the containers used for transmitting personal information securely sealed and addressed clearly in accordance with the guidelines provided by the postal or courier service being used?

B.   Means of transmittal

1.   Is top secret information transmitted in an approved locked case by an authorized individual cleared to Level III or via classified diplomatic courier bag?

2.   Is one of the following methods used for secret and confidential information transmitted within Canada and to the U.S. and the U.K.?

a)   a reliable postal or courier service that offers proof of mailing, a record while in transit and a record of delivery;

b)   an authorized individual with an appropriate security clearance using a locked case tagged with a forwarding or return office address; or

c)   classified diplomatic courier bag service.

3.   Is one of the following methods used for secret and confidential information transmitted to all other foreign countries?

a)   classified diplomatic courier bag; or

b)   an authorized security-cleared messenger using a locked case tagged with a forwarding or return office address.

4.   Is one of the following methods used for sending extremely sensitive information?

a)   a reliable postal or courier service that offers proof of mailing, a record while in transit, and a record of delivery; or

b)   an authorized individual with enhanced reliability status using a locked case tagged with a forwarding or return office address.

5.   Is designated information other than that considered extremely sensitive sent by first-class mail or by an authorized individual?

6.   Are bulky or heavy packages containing classified or designated information double wrapped?

7.   Does the outer wrapping bear a security marking? (The answer is "no.")

8.   Is the inner wrapping addressed and security marked?

APPENDIX F

CHECKLIST -- STORAGE AND PROTECTION OF INFORMATION

The following checklists have been included as operational aids to test the awareness of records management staff concerning the provisions of government physical security standards. The answers to the questions should be "yes."

A.   Records office security

1.   Is the records office or that part of it where classified or designated information is stored and serviced designed and managed as a Security Zone?

2.   Is classified and designated information filed and circulated in file jackets that are marked accordingly?

3.   If unclassified, designated and classified information are kept together on one file, is the file classified to the level of the most sensitive document on that file and the file jacket marked accordingly?

4.   Does the records office limit access to:

    a)   top secret and secret files to those security-cleared employees whose names appear on access lists approved by the responsible manager;

    b)   confidential files to those employees who have been security cleared; and

    c)   designated files to those employees with enhanced reliability status?

B.   Mail room security

1.   Are areas where mail is opened managed as Security Zones?

2.   Is mail that is to be opened by the recipient delivered unopened to the recipient?

C.   Storage equipment

1.   Whenever classified or designated information is not being used, is it stored in a locked container or on open shelving in an approved secure room?

2.   Are keys, or recorded information that would allow a key to be produced, afforded safeguards commensurate with the highest classification of information to which they provide access?

3.   When a key is issued, is the location of the container it opens and the name of its custodian recorded and kept by the custodian's supervisor?

4.   Are assigned keys changed in the following circumstances?

   a)   every twelve months;

   b)   when any person having access to the container is transferred, released or no longer requires access; and

   c)   when the container has been or may have been compromised.

5.   Is a record of the date of, and reason for, all key changes maintained by the appropriate departmental security organization?