

Multi-Institutional Disposition Authorities (MIDA)

Presented by
Government Records Branch
2008



Library and Archives
Canada

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Agenda

Time	Item No.	Item
9:00 am – 9:15 am	1	Introduction
9:15 am – 9:20 am	2	Objectives
9:20 am – 10:15 am	3	MIDA Concepts
10:15 – 10:30 am		BREAK
10:30 – 12 noon	4 5 6	Common Administrative MIDAs Transitory Records Authority Media-Specific MIDAs
12 noon – 1:00 pm		LUNCH
1:00 pm – 1:30 pm	7	MIDAs for Specific Offices of Provenance
1:30 pm – 2:30 pm	8	MIDA for Operational Case File Records
2:30 pm – 2:45 pm		BREAK
2:45 pm – 3:45 pm	8	MIDA for Operational Case File Records (cont'd)
3:45 pm – 4:00 pm	9	Wrap-up and Questions



Objectives

At the end of this session you will:

- Understand the MIDA concept
- Know what MIDA tools are available and where to find them
- Be able to apply the MIDAs in your institution.



Context

- Treasury Board Policy on Information Management (2007)
- *Library and Archives of Canada Act* (2004), sections 12.1 and 13.1



What is a Records Disposition Authority or RDA?

The instrument that the Librarian and Archivist issues to enable government institutions to dispose of records which no longer have operational utility, either

- by permitting their destruction,
- by requiring their transfer to Library and Archives Canada *or*
- by agreeing to their alienation from the control of the Government of Canada.

RDAs are granted in two ways:

- on an [institution-specific basis](#) or
- on a [multi-institutional basis](#).



ISDAs vs MIDAs

Institutional Specific Disposition Authorities (ISDAs)

- a *Records Disposition Authority* related to records managed by a single government institution, and which allow the institution empowered to use the authority to dispose of records under certain terms and conditions.
- *ISDAs* take precedence over all other Records Disposition Authorities



ISDAs vs MIDAs (continued)

Multi-Institutional Disposition Authority

- a *Records Disposition Authority* granted by the Librarian and Archivist to government institutions on a multi-institutional basis, which relates to *records managed by all or a multiple number of government institutions*, and which allows the institutions empowered to use the authority to dispose of records under certain terms and conditions.



How does my institution obtain a Records Disposition Authority?

- To obtain a RDA or ISDA, LAC established the Government Records Appraisal and Disposition Program (GRAD Program) in 1991:
 - Government-Wide Plan
 - Memorandum of Understanding (MOU)
 - Archival Appraisal
 - Terms and Conditions
 - Application Guide (optional)
 - Approval of the RDA by the Librarian and Archivist of Canada



The RDA Equation

$$\text{RDAs} = \text{MIDAs} + \text{ISDAs}$$



Hierarchy of RDA Application

ISDAs (Institution Specific Disposition Authorities)

MIDAs by Specific Office of Provenance and by Medium

96/021 Institutional Records in the Office of a Minister

96/022 Records of Deputy Heads

96/023 Electronic Imaging Systems

96/024 Poster-Creating Areas of Government Institutions

2001/004 Audio-Visual Records

MIDA 2005/006 for Operational Case File Records

MIDAs for Common Administrative Records

98/001 General Administration Function

98/005 Human Resources Management Function

99/003 Materiel Management Function

99/004 Comptrollership Function

2001/002 Real Property Management Function



Disposition Context

- Predecessors to the MIDAs (GRDS)
- Development of the MIDAs



The MIDA Family

- **Common Administrative Records**

- General Administration Function, RDA 98/001
- Human Resources Management Function, RDA 98/005
- Materiel Management Function, RDA 99/003
- Comptrollership Function, RDA 99/004
- Real Property Management Function, RDA 2001/002

- **Media-Specific Records**

- Records Related to Electronic Imaging Systems, RDA 96/023
- Poster-creating Areas, RDA 96/024
- Audio-Visual Records, RDA 2001/004



The MIDA Family (continued)

- **Specific Offices of Provenance**
 - Institutional Records in the Office of a Minister, RDA 96/021
 - Records of Deputy Heads of Government Institutions, RDA 96/022
- **Operational Case File Records, RDA 2005/006**
- **Operational Records of Institutions with Identical Mandates**
 - 4 Pilotage Authorities, RDA 99/024
 - 19 Canadian Port Authorities, RDA 2002/001
- **Surplus Publications, RDA 2008/007**
- **Transitory Records Authority (1990)**
<http://www.collectionscanada.gc.ca/government/007/007007-1016-e.html>



Roles and Responsibilities

GC Institution

- Application of MIDAs
- Pre-requisite to application of the MIDA
 - Development of retention plans for records covered by MIDAs

LAC

- Advice
- Guidance

Exercise 1



Helpful Resources

- Retention Guidelines for the Common Administrative Records (How to Section)

<http://www.collectionscanada.gc.ca/government/002/007002-3100.4-e.html>

- IM Portal

http://www.informationmanagement.gc.ca/index_e.asp

- Establishing retention plans for operational records and other MIDAs

- **ARMA** <http://www.arma.org/records%20retention/index.cfm?key=retention>

- **Provincial governments**

- **QC:**

http://www.banq.qc.ca/portal/dt/services/archivistique_ged/publications/publications.jsp?bnq_resolution=mode_1024#guidecalendrier

- **ON:** <http://www.archives.gov.on.ca/english/rimdocs/guidlist.htm>

- **NARA**

- **FAQs:** <http://www.archives.gov/records-mgmt/faqs/scheduling.html#schedule>

- **Regulations:** <http://www.archives.gov/about/regulations/part-1228/b.html>



MIDA Concepts

Common Administrative Records

- records that are created, collected or received by a federal government institution to support and document broad internal administrative functions and activities *common to or shared by all federal government institutions*, for example: finance and the management of human resources.



MIDA Concepts (continued)

Operational Records

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



MIDA Concepts (continued)

- Other important points to remember
 - Applicability of MIDAs to records in *all media*
 - Records may include policy + general + subject specific files



MIDA Concepts (Continued)

Common Administrative MIDAs

1. What is a function?
2. What is an Office of Primary Interest?
3. What is an Office of Collateral Interest?



What is a function?

- any high level purpose, responsibility, task or activity which is assigned to the accountability agenda of an institution by legislation, policy or mandate;
- typically common administrative or operational functions of **policy development** and **program and/or delivery** of goods or services;
- a set or series of activities (broadly speaking a **business process**) which, when carried out according to a prescribed sequence, will result in an institution or individual producing the expected results in terms of the goods or services it is mandated or delegated to provide.
- To understand the difference between functions and subjects, consult: <http://www.collectionscanada.gc.ca/government/002/007002-3100.5-e.html>



What is an Office of Primary Interest?

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



What is an Office of Collateral Interest?

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



OPI and OCI: Two Questions on These MIDA Concepts

- Why is the concept of OPI important in relation to the MIDAs?
- Why is the concept of OCI important in relation to the MIDAs



Common Administrative MIDAs Explained

1. General Administration Function, RDA 98/001
2. Human Resources Management Function, RDA 98/005
3. Materiel Management Function, RDA 99/003
4. Comptrollership Function, RDA 99/004
5. Real Property Management Function, RDA 2001/002

Note: No archival records



What will I find in a MIDA?

- Structure of a MIDA
- Contents of a typical MIDA
 - Appendix I Terms and Conditions
<http://www.collectionscanada.gc.ca/government/disposition/007007-1017-e.html>
 - Appendix II Functional Profile
<http://www.collectionscanada.gc.ca/government/disposition/007007-1018-e.html>



General Administration Function, RDA 98/001

- Encompasses the functions, processes, activities, and transactions of administrative business concerning the administrative services commonly provided in and across all federal government institutions to facilitate the application of operational policies and the delivery of programmes and services.
- Includes three sub-functions:
 - Management of Government Information
 - Security
 - Administrative Support



Human Resources Management, RDA 98/005

- Encompasses the functions, processes, activities, & transactions of administrative business on the management of human resources commonly conducted in & across all federal government institutions to facilitate the application of operational policies & the delivery of programmes and services.
- eleven major sub-functions and each major sub-function is further sub-divided into tasks, activities and processes, as appropriate.

Staffing
Training and Development
Performance Assessment
Occupational Safety and Health
Staff Relations
Compensation and Benefits
HR Planning and Utilization
Classification
Official Languages
Employment Equity
Special Programmes



Materiel Management Function, RDA 99/003

- Materiel Management: the management of movable assets, such as furniture, furnishings, equipment, supplies, vehicles & other materiel used or acquired by an institution for the purpose of administratively supporting its mission and mandate
- four phases of the life-cycle of materiel assets within which are listed eight sub-functions

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



Comptrollership Function, RDA 99/004

- Encompasses the functions, sub-functions, processes, activities, and transactions of administrative business concerning the management of financial resources commonly conducted in and across all federal government institutions to facilitate the application of operational policies and the delivery of programmes and services.
- three sub-functions:
 - External Audit,
 - Financial Management, and
 - Program Management



Real Property Management Function, RDA 2001/002

- Encompasses the functions, sub-functions, processes, activities, and transactions of administrative business, concerning the management of federal real property or other real property used or acquired by an institution, commonly conducted in and across all government institutions to support and facilitate the delivery of programmes and services.
- five sub-functions for the life-cycle management of real property immovable assets
- <http://www.collectionscanada.gc.ca/government/007/007007-1031-e.html>

• assessing and planning real property management
• Acquiring real property assets and related services,
• Operating and using real property
• Maintaining real property assets, and
• Replacing, transferring and disposing of real property assets



Standard Exclusions

- records that are operational in nature;
- records that are of a mixed operational and administrative character;
- records that support an administrative function in an OPI;
- <http://www.collectionscanada.gc.ca/government/007/007007-1008-e.html#contents>



Standard Exclusions (continued)

- records that are otherwise excluded from the application of an Authority by virtue of the definitions and scope statements contained in the Appendix;
- records that pre-date 1946; and
- Records whose retention periods of the records – established by the institution according to its legal and operational requirements – have not expired.



Exercise 2 - Common Administrative MIDAs



Transitory Records Authority



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Transitory Records Authority (1990) (continued)

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



MIDAs for Media-Specific Records

1. Records Related to Electronic Imaging Systems, RDA 96/023
2. Poster-creating Areas, RDA 96/024
3. Audio-Visual Records, RDA 2001/004



Records Related to Electronic Imaging Systems, RDA 96/023

- Imaging Systems producing records which may be relied upon for the business or legal operational purposes should:
 - comply with the ten principles described in Part IV, section 3.7 of the Canadian General Standards Board's *Microfilm and Electronic Images as Documentary Evidence* (CAN/CGSB-72.11-93);
 - be capable of identifying and grouping together images related to specific subjects, cases, functions, activities, or offices managed by the Institution; and
 - support the extraction of individual images



Poster-Creating Areas, RDA 96/024

- applies to all posters and broadsides created by or for all institutions of the Government of Canada
 - **poster** → a single or multi-sheet notice, chiefly pictorial, made to attract the attention to events, activities, causes, goods, or services for posting, usually in a public place, and intended to make an impression from a distance
 - **broadside** → a single textual notice, printed on one side only and intended to be read unfolded and publicly posted, such as proclamations, news-sheets, and handbills



Audio-Visual Records, RDA 2001/004

- applies only to audio-visual records under the control of institutions subject to the *Library and Archives of Canada Act*; and stored on their behalf by the Client Services and Industry Relations Directorate, of Public Works and Government Services Canada (PWGSC), within the film and video storage facilities in Ottawa, Ontario and Gatineau, Québec.
- Transfer archival records identified by this Authority to LAC five years after completion of the final audio-visual product (as specified in the storage agreement between the CSIRD and the creating/transferring agency).



Guidelines for Managing ...

- Audio-visual records
 - <http://www.collectionscanada.gc.ca/government/002/007002-2049-e.html>
- Cartographic and Architectural Records
 - <http://www.collectionscanada.gc.ca/government/002/007002-2050-e.html>
- Documentary Art
 - <http://www.collectionscanada.gc.ca/government/002/007002-3011-e.html>
- Photographic Records
 - <http://www.collectionscanada.gc.ca/government/002/007002-2048-e.html>



MIDAs Covering Specific Offices of Provenance

1. MIDA for Institutional Records in the Office of a Minister, RDA 96/021
2. Records of Deputy Heads of Government Institutions, RDA 96/022



Institutional Records in the Office of a Minister, RDA 96/021

- Applies to records under the control of an institution in the Office of the Minister (institutional records) that are **maintained in a distinct record-keeping system or series** related to that Office.
- Do not apply to Cabinet documents, the Minister's personal and political records, ministerial records, or scattered ministerial correspondence on various policy and subject files under the control of the institution.
- Archival records → transfer to LAC five years after the Minister leaves office.
- Guidelines: <http://www.collectionscanada.gc.ca/obj/007/f2/007-1016-e.pdf>



Records of Deputy Heads of Government Institutions, RDA 96/022

- Applies to all government institutions subject to the *Library and Archives of Canada Act*, and covers records in all media created or acquired by the chief executive officer as part of directing and controlling the operations of the government institution for which he or she is responsible and **maintained in a distinct record-keeping system or series** related to that Office.
- Archival records → transfer to LAC upon the expiry of the retention periods, or five years after the Deputy Head of the institution leaves office, whichever comes first.



Hierarchy of Authorities for MIDA 96/021 and MIDA 96/022

1. Apply the ISDA if there is one. Most often the ISDA will take precedence over the MIDA.
2. Apply MIDA 96/021 and 96/022.
3. Apply other MIDAs as applicable.



MIDA for Operational Case File Records (2005/006)



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Outline of Presentation

- Context for the MIDA for Operational Case Files - MIDA 2005/006
- MIDA 2005/006
- Implementing MIDA 2005/006
- Obligations for:
 - Transfer
 - Destruction



Scope of MIDA 2005/006

- Applies to all government institutions subject to the *Library and Archives of Canada Act*.
- Enables the disposition of operational case file records upon the expiry of their retention periods while requiring the **transfer of certain archival records** to Library and Archives Canada.
- MIDA 2005/006, with a few exceptions, applies to all operational case file records series in all media created or acquired by a government institution as part of its business activities which are currently not covered by any other valid Records Disposition Authority.
- Uniqueness of the Case File MIDA: KEEP and DESTROY



Definition of a Case File Record

All case file records regardless of media must meet the following **three criteria** as described in the Terms and Conditions of the new MIDA:

1. document a single type, or series, of repetitive transaction(s) within a business process relating continuously to a particular item, object, entity, person, event, or thing.
2. contain replicated documentation in standardized formats and structures including (but not restricted to) forms, orders, pro forma letters and memos, contracts, invoices, vouchers, receipts, spreadsheets, announcements, bulletins, reports, and payments.
3. document transactions that have a definite beginning and an end within the same case file regardless of the size of the file or number of records within the file.



MIDA Criteria for Archival Value

The seven criteria for archival value are:

1. Records crucial for the protection of individual and/or collective rights and that document obligations of citizens.
2. Records of judicial or quasi-judicial decisions
3. Records that document decision-making by the Deputy Head (or equivalent), Minister, Cabinet, or the Prime Minister
4. Records that document federal responsibility in the areas of compensation and fiduciary obligations



Criteria for Archival Value

Continued...

5. Records that document federal responsibility and claims by or against the Canadian government under any of its domestic treaties, or bilateral and multilateral international treaty obligations.
6. Records that document specific investigative activities under a federal jurisdiction
7. Records that document and/or are used for creative or research activities in the cultural, social and scientific domains



Exclusions

- MIDA No. 2005/006 applies only to those records in operational files that meet all **three criteria** that define and limit what a case file is for the purpose of this Authority.
- MIDA No. 2005/006 does **not** apply to:
 - records that are already covered by an active and valid institution-specific Disposition Authority (ISDA)
 - common administrative records (see RDA No. 98/001, 98/005, 99/003, 99/004, 2001/002)
 - pre-1946 records
 - Institutional records in the Office of a Minister (see RDA No. 96/021)



Exclusions (continued)

MIDA No. 2005/006 does **not** apply to:

- Records of Deputy Heads of government institutions (see RDA No. 96/022)
- Records related to Electronic Imaging Systems (see RDA No. 96/023)
- Posters from Poster-Creating Areas (see RDA No. 96/024)
- Audio-Visual Records (see RDA No. 2001/004)
- Transitory records (see Authority for the Destruction of Transitory Records)
- Operational files that contain a **mix** of transactional and subject-based records.
- **Exercise**



Implementation:

March 2007 – March 2009

Role of Government of Canada Institutions:

- Agree to the Terms and Conditions of MIDA 2005/006
- Ensure that a valid records disposition authority does not apply to these records
- Verify applicability of the Case File MIDA against specific case file records series
- Complete an *Institutional Report* and verify with LAC



Implementation - Steps

1. Identify your potential case file universe:

- Identify operational case file records series that do not have RDA coverage and which have one or more of the following characteristics:
 - Have already set retention periods
 - Pose specific problems (e.g. storage)
 - Relate to defunct programs
 - Do not contain records which fall under one of the archival criteria



Implementation – Steps (continued)

- 2. Determine if MIDA 2005/006 applies to the operational records series identified in your potential case file universe**
- 3. Discuss these series with the LAC Archivist**
- 4. Develop a plan for the implementation of the Case File MIDA in your institution**
- 5. Complete and Submit an Institutional Report to LAC**



The Institutional Report

Institution Name: Government of Canada Institution

No. of Case File Records Series Covered by this Report:
Will there be further Institutional Reports submitted by the institution?

_____ Yes _____ No

Name of Case File Record Series	File Number/ Primary / secondary/ tertiary	Media	Applicable Archival Criteria	Headquarters Records with Archival Value?	Records in the Regions with Archival Value?	Current rate of file creation (i.e. 200/yr)	Extent of Records in Dormant Storage



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Implementation – Steps (continued)

- 6. LAC confirms applicability of RDA 2005/006 to record series identified by client institutions**
- 7. Ensure retention periods are set**
- 8. Disposition of records according to Terms and Conditions of RDA 2005/006**
 - Transfer
 - Destroy



Transferring Archival Records

- Ensure **Institutional Report** has been completed and confirmed by LAC
- **Contact** LAC archivist
 - Confirm the nature and extent of records to be transferred with the LAC archivist
 - Ensure that all relevant accompanying metadata (documentation) is included in the transfer of archival case files
 - “Sufficient Volume” clause
 - ♦ Library and Archives Canada may acquire **all or part** of a case file record series that has archival value
- **Segregate** archival from non-archival records
- Complete the **Notice of Transfer** form in RDACS
- Upon receipt of written confirmation from LAC, proceed with transfer through usual channels.



Destroying Records Without Archival Value

- Ensure **Institutional Report** has been completed and confirmed by LAC
- Ensure **retention periods** assigned to records have expired
- Complete the **Notice of Destruction** form in RDACS to confirm the nature and extent of records to be destroyed
- Proceed to destruction upon receipt of **written confirmation** from LAC



Hierarchy of RDA Application

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ISDAs (Institution Specific Disposition Authorities)

MIDAs by Specific Office of Provenance and by Medium

96/021 Institutional Records in the Office of a Minister

96/022 Records of Deputy Heads

96/023 Electronic Imaging Systems

96/024 Poster-Creating Areas of Government Institutions

MIDA 2005/006 for Operational Case File Records

MIDAs for Common Administrative Records

98/001 General Administration Function

98/005 Human Resources Management Function

99/003 Materiel Management Function

99/004 Comptrollership Function

2001/002 Real Property Management Function



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Questions?



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For further information

Contact:

LAC Recordkeeping Liaison Centre

Telephone: 819-934-7519

Fax: 819-934-7534

Email: centre.liaison.centre@lac-bac.gc.ca

LAC Web Site

<http://www.collectionscanada.gc.ca/information-management/index-e.html>



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