Graphical user interface, text, application

Description automatically generated with medium confidence

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**For information and assistance with identifying and handling records, making records transfers, records destruction procedures, and more, consult the** [**Corporate Information Management website**](https://archives.gnb.ca/CIM/Default/en-CA)**.**

## **INTRODUCTION**

**What is *CPRS*?**

The *Classification Plan and Retention Schedules for* *Common Records* (*CPRS*) is used for the management of common records of the Government of New Brunswick. It is a hybrid function-based, block-numeric file classification plan providing a framework for the organization and description of records. The classification plan is accompanied by retention and disposition schedules. A schedule determines the length of time the record is kept, and states what happens at each stage of the record’s lifecycle.

**To whom does the *CPRS* apply?**

The *CPRS* applies to the common records of all New Brunswick public bodies as defined in the [*Right to Information* *and Protection of Privacy Act*](https://laws.gnb.ca/en/ShowPdf/cs/R-10.6.pdf) *(RTIPPA).*

**What are Common Records?**

Common records are those used by all public bodies for routine business.   
**Note:** The *CPRS* applies to common records regardless of format (e.g., e-mail, paper, video, microfilm, digital records).

**What are Operational Records?**

Operational records are created for specific public bodies and are unique to each organization. For example, only the Department of Education and Childhood Development is responsible for school records, therefore, these are operational records for that department and are not covered by the *CPRS*. Decisions regarding the length of retention for operational records are made on a case-by-case basis through the development of an individual *Records Retention and Disposition Schedule*. Public bodies, with the assistance of Corporate Information Management (CIM) Unit strategists develop and update operational schedules.

**How does the *CPRS* work?**

This section explains how the *CPRS* is used to classify, file, and retrieve records. It also explains how to read and apply the *Records Retention and Disposition Schedules* to manage records through the active, semi-active, and final disposition stages.

The *CPRS* provides users with a list of activities, followed by a series of *suggested* transactional or subject titles describing the common records found in public bodies. Activity and transaction/subject titles should *only* be used where there are records (i.e., do not make up file folders when there are no records to be filed within them).

**Organizational Structure of the *CPRS***

The *CPRS* classifies records at three levels:  
  
 Functions/groups,  
 Activities/primaries, and  
 Transactions or subject/secondaries

As you move down through these classification levels, they become more specific. Each level is discussed further below.

**Functions or Groups**

Main functions are the highest level in the file structure and describe common business functions within GNB. The *CPRS* is divided into six main functions/groups which are assigned block numbers:

|  |  |
| --- | --- |
| Administration | 0100-0499 |
| Facilities and Asset Management | 0500-0699 |
| Financial Management | 0700-0999 |
| Human Resources Management | 1000-1399 |
| Information Technology Management | 1600-1799 |
| Access, Privacy, and Information Management | 1800-1899 |

**Activities or Primaries**

Each main function/group consists of several activities/primaries. Activities/primaries are more specific and are arranged in numerical order within each of the six main functions. The first activity/primary in each of the main functions is assigned to “General”. The “General” activity is used to classify records whose function applies to the main group as a whole or for records that do not fit into a more specific activity/primary.

**Example:** Financial Management 0700-0999 **→** Function  
 **0795 Budgeting** **→ Activity**

Each activity has a four-digit classification number and title (seen here as 0795 Budgeting). Each activity also has a scope note that describes the business activities and types of records which should be included/filed under that primary. Cross references to other activities/primaries are listed under the scope note.

**Transactions or Secondaries**

Transactions or secondaries are the most specific level of the file structure.

**Example:** Financial Management 0700-0999 **→** Function  
 0795 Budgeting **→** Activity  
 **Budget estimates** **→ Transaction**

Frequently used transactional or secondary subjects are suggested for use. The *CPRS* is specifically designed to provide users with flexibility in naming their secondaries as long as the correct retention schedule is applied at the activity/primary level. Public bodies may use the listed secondary titles, or they may create their own secondaries.

It is important to note that you are not required to use the numbers for your own file plans (although it may be convenient) as long as records are clearly identified and linked to the proper retention schedule.

**Tertiaries**

Tertiary folder levels are used only in Human Resources, Employee Records Management.

**Example:** 1050-3B is represented as

Human Resources Management à Function

1050 - Employee Records Management à Activity

1 - Employee History (transaction/secondary) à Transaction

**3B - Work Plans (transaction/subject/tertiary) à Tertiary**

**What is a Retention and Disposition Schedule?**

A records schedule is a timetable that describes the lifespan of a record from the time of its creation through active and semi-active stages to its final disposition either as waste or as a record of legal or historical value to be permanently preserved.

**Active Period (A)**

The column labeled ‘A’ refers to the period of time records are active in office. A date as specified by a retention schedule acts as a trigger which officially closes each file. The triggers are as follows:

**Cy = Calendar year** – January 1st to December 31st

**Fy = Fiscal year** – Refers to April 1st to March 31st

**SO = Superseded or Obsolete** – A specific date closes the record. Examples of this trigger are: “until updated of replaced”, “until transferred or disposed of”, etc.

The retention period is often followed by a plus (+) sign and a number followed by a “y” to indicate the number of years the records are kept in the public body after the file closes.

**Semi-Active Period (SA)**

Paper records no longer required in the office on a regular basis are sent to the Records Centre for storage. The column labeled ‘SA’ refers to the number of years paper records are stored in the Records Centre.

**Final Disposition (FD)**

“FD” refers to the final disposition of the records. This indicates that the records have reached the end of the lifecycle.

**There are several possibilities for the final disposition (FD) of government records which are indicated by a retention schedule. All CPRS schedules are disposed of in one of two ways:**

**D = Destroy** requires records to be shredded, recycled, deleted, etc. Departments and agencies are responsible for making the appropriate arrangements for the destruction of records that are not stored in the Records Centre.

**SR = Selective Retention** requires records be transferred to the Provincial Archives for appraisal. An archivist assesses the records and permanently preserves some, none, or all of the records.

**How do I read a Retention Schedule in the *CPRS*?**

The retention schedule listed below includes the activity identifier (0185 Committees Management), a description of the records in this schedule as well as a list of examples. Outlined further below is the retention period, retention rationale, and filing notes.

|  |  |  |
| --- | --- | --- |
| **0185 COMMITTEES MANAGEMENT** | **ADMINISTRATION** | CPRS 2023 |
| **Description:**  Documents the planning, development, and management of committees, boards, commissions, councils, panels, subcommittees, task forces, and working groups, whether internal, interdepartmental, and/or intergovernmental, in relation to specific strategies, initiatives, and collaborations.  **Examples:**  Committee agendas and minutes, appointments, delegations, designations, meeting notices, task force meeting minutes and documentation, reports presented to advisory groups, federal/provincial/territorial meeting notices and documentation, terms of reference, panel discussion notes, board minutes, and constitutions.  *For records documenting a department/agency’s relation to a Royal Commission or Board of Inquiry, see primary 0175.* | | |

|  |  |
| --- | --- |
| **Active:** | Cy+4y |
| **Semi-Active:** | 5y |
| **Digital Records:** | Cy+9y |
| **Final Disposition:** | SR |

|  |  |
| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by committee  - by task force  - by panel  - by council  - other |

The retention period of **CPRS 0185 COMMITTEES MANAGEMENT** is Cy+4y/5y/SR thus\*

* The active period is a calendar year plus 4 years which means that these records are in the office of creation until the end of the year plus an additional 4 years. Then,
* The records are semi-active in the Records Centre for 5 years before
* They are transferred to the Provincial Archives for the process of selective retention.

**How do I file records using the *CPRS*?**

To file a record in CPRS, first identify the activity or subject of the record or the file. For example, a Pcard invoice shows that a catered lunch for a business meeting was purchased. The payment of the bill would be an activity under the Financial Management function/group of CPRS. Within the list of activities/primaries, 0725 Accounts and Banking would be the appropriate activity/primary. The transaction/secondary would be – Pcard invoicing. This classification/file number is assigned to the file.

The [*Table of Concordance*](#_Appendix_F_–)(see Appendix B) will be helpful to those updating their file plans and applying the *CPRS 2023*.

**Index**

Use the [index](#_INDEX_1) to find where you can file your records. Each entry leads to an activity.

**Assistance**

If you require assistance with classifying records and implementing the *CPRS*, please contact your public body’s Records Manager or contact the Corporate Information Management Strategists at 453-2897 or [records.centre@gnb.ca](mailto:records.centre@gnb.ca).

## **ADMINISTRATION 0100 – 0499**

*Administration is the function which documents general administrative activities within the organization. The records in this function include audits, committees, partnerships, public relations, legislation development, project and program management, and various other administrative activities.*

**PRIMARY FUNCTIONS, PRIMARY NUMBERS, AND RETENTION SCHEDULES**  
(ALPHABETICAL LISTING)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| [Acts and Legislation Development](#_0125__) | 0125 | SO | 5y | SR |
| [Administration – General](#_0100__) | 0100 | Cy+1y | 0y | D |
| [Agreement and Contract Management](#_0140__) | 0140 | SO | 15y | SR |
| [Associations, Clubs, and Societies Management](#_0155__) | 0155 | Fy+4y | 0y | D |
| [Auditing](#_0145__) | 0145 | Fy+1y | 5y | D |
| [Business Continuity Planning](#_0235__) | 0235 | SO | 5y | SR |
| [Campaigning and Canvassing](#_0170__) | 0170 | Cy+1y | 0y | D |
| [Commissions of Inquiry Relations](#_0175__) | 0175 | SO+1y | 5y | SR |
| [Committees Management](#_0185__) | 0185 | Cy+4y | 5y | SR |
| [Communications and Publishing](#_0395__) | 0395 | Cy+4y | 5y | D |
| [Conferences, Symposia, and Workshops Administration](#_0215__) | 0210 | Cy+4y | 0y | D |
| [Feedback Management](#_0210__) | 0205 | SO | 5y | SR |
| [Inventions, Patents, and Copyrights](#_0315__) | 0315 | Cy+4y | 5y | SR |
| [Legal Matters Management](#_0325__) | 0325 | Cy+4y | 5y | D |
| [Legislative Matters Management](#_0330__) | 0330 | Cy+4y | 5y | D |
| [Liaison](#_0335__) | 0335 | Cy+1y | 3y | D |
| [Mail, Postal, and Courier Services](#_0350__) | 0350 | Cy+1y | 0y | D |
| [Memoranda to Executive Council](#_0240__) | 0240 | SO | 0y | D |
| [Organizational Planning](#_0400__) | 0400 | Fy+4y | 5y | SR |
| [Policy and Procedures Development](#_0220__) | 0215 | SO | 5y | SR |
| [Program Management](#_0200_PROGRAM_MANAGEMENT) | 0305 | SO+2y | 5y | SR |
| [Project Management](#_0205__PROJECT) | 0310 | SO+1y | 5y | SR |
| [Public Relations](#_0385__) | 0385 | Cy+4y | 5y | SR |
| [Reporting and Statistics – General](#_0440__) | 0440 | Fy+1y | 4y | D |
| [Reporting – Annual](#_0445__) | 0445 | Fy+1y | 4y | D |

**ADMINISTRATION 0100 – 0499**

**PRIMARY FUNCTIONS, PRIMARY NUMBERS, AND RETENTION SCHEDULES**  
(NUMERICAL LISTING)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| [0100](#_0100___1) | Administration – General | Cy+1y | 0y | D |
| [0125](#_0125__) | Acts and Legislation Development | SO | 5y | SR |
| [0140](#_0140__) | Agreement and Contract Management | SO | 15y | SR |
| [0145](#_0145__) | Auditing | Fy+1y | 5y | D |
| [0155](#_0155__) | Associations, Clubs, and Societies Management | Fy+4y | 0y | D |
| [0170](#_0170__) | Campaigning and Canvassing | Cy+1y | 0y | D |
| [0175](#_0175__) | Commissions of Inquiry Relations | SO+1y | 5y | SR |
| [0185](#_0185__) | Committees Management | Cy+4y | 5y | SR |
| [0205](#_0210__) | Feedback Management | SO | 5y | SR |
| [0210](#_0215__) | Conference, Symposia, and Workshop Administration | Cy+4y | 0y | D |
| [0215](#_0220__) | Policy and Procedures Development | SO | 5y | SR |
| [0235](#_0235__) | Business Continuity Planning | SO | 5y | SR |
| [0240](#_0240__) | Memoranda to Executive Council | SO | 0y | D |
| [0305](#_0305_PROGRAM_MANAGEMENT) | Program Management | SO+2y | 5y | SR |
| [0310](#_0310__PROJECT) | Project Management | SO+1y | 5y | SR |
| [0315](#_0315__) | Inventions, Patents, and Copyrights | Cy+4y | 5y | SR |
| [0325](#_0325__) | Legal Matters Management | Cy+4y | 5y | D |
| [0330](#_0330__) | Legislative Matters Management | Cy+4y | 5y | D |
| [0335](#_0335__) | Liaison | Cy+1y | 3y | D |
| [0350](#_0350__) | Mail, Postal, and Courier Services | Cy+1y | 0y | D |
| [0385](#_0385__) | Public Relations | Cy+4y | 5y | SR |
| [0395](#_0395__) | Communications and Publishing | Cy+4y | 5y | D |
| [0400](#_0400__) | Organizational Planning | Fy+4y | 5y | SR |
| [0440](#_0440__) | Reporting and Statistics – General | Fy+1y | 4y | D |
| [0445](#_0445__) | Reporting – Annual | Fy+1y | 4y | D |

|  |  |  |
| --- | --- | --- |
| **0100 ADMINISTRATION - GENERAL** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the general administration functions and activities for which there is no specific primary.  **Examples:**  General enquiries, redirected correspondence, thank you letters, condolence letters, letters of congratulations, invitations, printing requests, copying requests, translation requests, contact information for regional offices, administrative support services, and letters from companies on services provided.  *For letters of congratulations for programs, see primary* [*0305*](#_0305_PROGRAM_MANAGEMENT)*.*  *For letters of congratulations for projects, see primary* [*0310*](#_0220__PROJECT)*.*  *For complaints, see primary* [*0205*](#_0205__)*.*  *For Access to Information requests, see primary* [*1830*](#_1830__)*.* | | |

|  |  |
| --- | --- |
| **Active:** | Cy+1y |
| **Semi-Active:** | 0y |
| **Digital Records:** | Cy+1y |
| **Final Disposition:** | D |

|  |  |
| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by event  - by service  - by date  - other |

|  |  |  |
| --- | --- | --- |
| **0125 ACTS AND LEGISLATION DEVELOPMENT** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the organizational development, preparation, or amendment to bills, acts, regulations, and/or statutory orders for internal departments/agencies as well as other jurisdictions.  **Examples:**  Proposals and requests for legislative changes, revisions to legislation, recommendations, amendments to bills, meeting agendas, meeting notes, and draft documentation.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).* | | |

|  |  |
| --- | --- |
| **Active:** | SO (until updated) |
| **Semi-Active:** | 5y |
| **Digital Records:** | SO+5y |
| **Final Disposition:** | SR |

|  |  |
| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by act  - by bill  - by regulation  - by order  - by jurisdiction  - other |

|  |  |  |
| --- | --- | --- |
| **0140 AGREEMENT AND CONTRACT MANAGEMENT** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the preparation, development, amendment, and negotiation of agreements, contracts, and Memoranda of Understanding (MOU) including federal, provincial, territorial, municipal, foreign, and other government agreements and contacts.  **Examples:** Financial contracts, service contracts and agreements, federal/provincial agreements, treaties, International agreements, meeting minutes, meeting agendas, drafts, charters, accords, proposals, signed agreements, and signed contracts, electronic contracts, electronically signed contracts.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  Note: Crown Land Leases are scheduled under Energy and Natural Resources 1987-DNR-24.  *For collective agreements management, see primary* [*1190*](#_1190__)*.* | | |

|  |  |
| --- | --- |
| **Active:** | SO (until expired) |
| **Semi-Active:** | 15y |
| **Digital Records:** | SO+15y |
| **Final Disposition:** | SR |

|  |  |
| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by agreement  - by contract  - by memoranda of understanding  - by treaty  - by accord  - other |

|  |  |  |
| --- | --- | --- |
| **0145 AUDITING** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the audits, evaluations, investigations, and reviews conducted by an assigned external or internal auditor. Also documents the adequacy and effectiveness of the systems of internal control, as well as the quality of performance of the organization for which it may have a regulatory responsibility.  **Examples:**  Background information, financial audits, records management audits, program audits, draft documentation, statements, internal audit reports, audit investigation reports, program assessments, performance measurement documents, and program review documents.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).* | | |

|  |  |
| --- | --- |
| **Active:** | Fy+1y |
| **Semi-Active:** | 5y |
| **Digital Records:** | Fy+6y |
| **Final Disposition:** | D |

|  |  |
| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by audit type  - by name  - by subject  - by date  - other |

|  |  |  |
| --- | --- | --- |
| **0155 ASSOCIATIONS, CLUBS, AND SOCIETIES MANAGEMENT** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the participation in outside organizations, corporate or board membership in federations, associations, societies, foundations, leagues, and orders for reasons of mutual professional and individual interests.  **Examples:**  Membership fee notices, notices of meetings, agendas of meetings, minutes of meetings, and reports.  *For records relating to the payment of fees, see primary* [*0725*](#_0700__)*.*  *For records relating to the establishment, organization, or function of Conferences, Symposia, and Workshops, see primary* [*0210*](#_0215__)*.* | | |

|  |  |
| --- | --- |
| **Active:** | Fy+4y |
| **Semi-Active:** | 0y |
| **Digital Records:** | Fy+4y |
| **Final Disposition:** | D |

|  |  |
| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by association  - by organization  - by society  - by foundation  - by league  - other |

|  |  |  |
| --- | --- | --- |
| **0170 CAMPAIGNING AND CANVASSING** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the participation and contributions made to special causes such as campaigns and charities supported by the organization.  **Examples:**  Fundraising records for United Way, records relating to Run for the Cure campaigns, daffodil sales for cancer research documentation, blood donor clinic schedules and announcements, casual day events documentation, Red Shield Appeal records, requests for IWK Hospital Telethon donations. | | |

|  |  |
| --- | --- |
| **Active:** | Cy+1y |
| **Semi-Active:** | 0y |
| **Digital Records:** | Cy+1y |
| **Final Disposition:** | D |

|  |  |
| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by charity  - by campaign  - by event |

|  |  |  |
| --- | --- | --- |
| **0175 COMMISSIONS OF INQUIRY RELATIONS** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the organization’s interaction with the commissions of inquiry, boards of inquiry, and Royal Commissions established under the [*Inquiries Act*](https://laws.gnb.ca/en/showfulldoc/cs/2011-c.173/20230322) or other legislation.  **Examples:**  Documents the organization’s interaction with the commissions of inquiry, boards of inquiry, and Royal Commissions established under the *Inquiries Act* or other legislation. | | |

|  |  |
| --- | --- |
| **Active:** | SO (until inquiry concluded) +1y |
| **Semi-Active:** | 5y |
| **Digital Records:** | SO+6y |
| **Final Disposition:** | SR |

|  |  |
| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by commission  - by board |

|  |  |  |
| --- | --- | --- |
| **0185 COMMITTEES MANAGEMENT** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the planning, development, and management of committees, boards, commissions, councils, panels, subcommittees, task forces, and working groups, whether internal, interdepartmental, and/or intergovernmental, in relation to specific strategies, initiatives, and collaborations.  **Examples:**  Committee agendas and minutes, appointments, delegations, designations, meeting notices, task force meeting minutes and documentation, reports presented to advisory groups, federal/provincial/territorial meeting notices and documentation, terms of reference, panel discussion notes, board minutes, and constitutions.  *For records documenting a department/agency’s relation to a Royal Commission or Board of Inquiry, see primary* [*0175*](#_0175__)*.* | | |

|  |  |
| --- | --- |
| **Active:** | Cy+4y |
| **Semi-Active:** | 5y |
| **Digital Records:** | Cy+9y |
| **Final Disposition:** | SR |

|  |  |
| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by committee  - by task force  - by panel  - by council  - other |

|  |  |  |
| --- | --- | --- |
| **0205 FEEDBACK MANAGEMENT** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the general feedback and related correspondence received from the public, private organizations, as well as other government organizations regarding services performed by the organization.  **Examples:**  Letters of complaint, Stakeholder feedback, complaint documentation forwarded from the Ombudsman’s Office, may include comments received via social media or website.  For help in determining if feedback received via social media or website is a record see [Managing and Preserving Social Media (2022).](https://archives.gnb.ca/CIM/App_Handlers/FileDownloadHandler.ashx?id=11&section=1.2&culture=en-CA) | | |

|  |  |
| --- | --- |
| **Active:** | SO (until resolved) |
| **Semi-Active:** | 5y |
| **Digital Records:** | SO+5y |
| **Final Disposition:** | SR |

|  |  |
| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | **Complaints which progress to a higher level of authority should be placed in the appropriate function file. Petitions should also be placed in the appropriate function file.**  - by subject  - by date  - by name  - other |

|  |  |  |
| --- | --- | --- |
| **0210 CONFERENCE, SYMPOSIA, AND WORKSHOP ADMINISTRATION** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the participation, establishment, organization, and function of conferences, symposia, seminars, and workshops conducted both online and in person.  **Examples:**  Conference agendas, notices of conferences, minutes, arrangement and preparation documentation, audio and video recordings, and reports. | | |

|  |  |
| --- | --- |
| **Active:** | Cy+4y |
| **Semi-Active:** | 0y |
| **Digital Records:** | Cy+4y |
| **Final Disposition:** | D |

|  |  |
| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by conference  - by symposium  - by workshop  - other |

|  |  |  |
| --- | --- | --- |
| **0215 POLICY AND PROCEDURES DEVELOPMENT** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the development and revision of departmental administrative and operational policies, procedures, standards, guidelines, and best practices documentation.  **Examples:**  Research material, drafts, working papers, reports, procedures and guidelines, business rules, meeting notes, review documentation, consultation documents, and final approved documentation.  *If your organization’s core functions include the development of government/ department/ agency-wide policy and procedures, see associated Operational Retention and Disposition Schedules.* | | |

|  |  |
| --- | --- |
| **Active:** | SO (until updated) |
| **Semi-Active:** | 5y |
| **Digital Records:** | SO+5y |
| **Final Disposition:** | SR |

|  |  |
| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by policy  - by procedure  - by guideline  - by standard  - other |

|  |  |  |
| --- | --- | --- |
| **0235 BUSINESS CONTINUITY PLANNING** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the planning operations to continue in the event of emergencies such as earthquakes, fires, floods, hurricanes, tornadoes, vandalism, terrorism, and epidemics. May include the evaluation of potential emergencies, and the response, recovery, and resumption of business in cases of emergency.  **Examples:**  Disaster plans, business continuity plans, copy of emergency evaluation procedures, essential records protection plans (vital records plans), emergency-response plans, emergency preparedness plans.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).* | | |

|  |  |
| --- | --- |
| **Active:** | SO (until updated or replaced) |
| **Semi-Active:** | 5y |
| **Digital Records:** | SO+5y |
| **Final Disposition:** | SR |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | **The disaster recovery plan is a vital record, and a copy must be stored offsite.**  - by plan  - by type  - other |

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| **0240 MEMORANDA TO EXECUTIVE COUNCIL** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the organization’s interaction with Executive Council Office; submissions to the Board of Management, Policy and Priorities Committee, or Cabinet; and decisions received from these bodies.  **Examples:**  Submissions includeMemoranda to Cabinet, Memoranda to the Policy and Priorities Committee, Memoranda (or submissions) to Board of Management, reports and recommendations, Orders-in-Council (OIC), applications, meeting agendas, meeting minutes, budget submission decisions, briefing material.  The Executive Council is the Office of Primary Responsibility for this function and manages these records under an operational schedule.  *For committee management, see primary* [*0185*](#_0185__)*.* | | |

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| **Active:** | SO (until no longer required and when government changes) |
| **Semi-Active:** | 0y |
| **Digital Records:** | SO |
| **Final Disposition:** | D |

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| **Retention Rationale:** | *\*By convention, a new government does not have access to the records of the previous government. The opinions of a sitting Minister are protected when expressed amongst cabinet colleagues. This is to ensure Ministers may freely state opinions while in power without fear of repercussion.*  *Subsection 10(8) of the* [*Archives Act*](https://laws.gnb.ca/en/ShowTdmDetailed/cs/A-11.1/)*, Chapter A11.1 provides that after a period of twenty years following the date of creation, Executive Council records “are available for public inspection”.* |
| **Filing Notes:** | - by submission\*\*  - by decision\*\*  - by Order-in-Council  - other\*\*  \*\*Where necessary, a completed *Confidential Record Form* is placed in the appropriate file. See [Appendix A](#_Appendix_A_–). |

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| **0305 PROGRAM MANAGEMENT** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the planning, coordination, direction, and/or administration of an organization’s operational programs; and documents the development and execution of plans in relation to program goals and objectives.  **Examples:**  Program proposals, program reports, applications for funding, program plans, list of goals and objectives, mission statements, and program review reports.  *For program client records or for program records which document core functions of your organization, see operational retention and disposition schedules.* | | |

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| **Active:** | SO (until program completed, defunct, or 10 years, whichever is sooner) +2y |
| **Semi-Active:** | 5y |
| **Digital Records:** | SO+7y |
| **Final Disposition:** | SR |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by program  - other |

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| **0310 PROJECT MANAGEMENT** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the planning, coordination, direction, and/or administration of an organization’s operational projects; and documents the development and execution of plans in relation to project goals and objectives.  **Examples:**  Project research documentation, project business cases, project material, project reports, applications for funding, project plans, list of goals and objectives, communication with project partners, and mission statements. | | |

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| **Active:** | SO (until completion of project) +1y |
| **Semi-Active:** | 5y |
| **Digital Records:** | SO+6y |
| **Final Disposition:** | SR |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by project  - by other |

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| **0315 INVENTIONS, PATENTS, COPYRIGHTS** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents matters relating to patents, copyrights, industrial designs, trademarks, logos, and other government owned intellectual property.  **Examples:**  Software copyright, logo design documentation, brand development records, applications for copyrights, applications for patents, infringement documentation, violation documentation, permissions to use copyrighted material, copies of copyright agreements.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For official contract or agreement, see primary* [*0140*](#_0140__)*.* | | |

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| **Active:** | Cy+4y |
| **Semi-Active:** | 5y |
| **Digital Records:** | Cy+9y |
| **Final Disposition:** | SR |

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| **Retention Rationale:** | Retention based on anticipated business needs. |
| **Filing Notes:** | - by copyright  - by patent  - by brand  - by invention  - other |

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| **0325 LEGAL MATTERS MANAGEMENT** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the provision of advice and opinions related to legal matters of the organization including the review and assessment of legal risks in policies, projects, or programs for which the organization has responsibility, and civil suits.  **Examples:**  Copies of legal opinions, copies of legal advice, copies of legal decisions, risk assessments, references to judicial decisions, references to legal challenges and issues, lists of commissioners of oath, background material, and powers of attorney.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).* | | |

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| **Active:** | Cy+4y |
| **Semi-Active:** | 5y |
| **Digital Records:** | Cy+9y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based anticipated reference needs.  As per the [*Archives Act* 10(7)](https://laws.gnb.ca/en/showfulldoc/cs/A-11.1/#codese:10-ss:7)*,* legal opinions are not available for public inspection until 50 years following the date of their creation. |
| **Filing Notes:** | **Original legal opinions/affidavits should be placed in the appropriate function file.**  - by case name  - other |

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| **0330 LEGISLATIVE MATTERS MANAGEMENT** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the legislative actions taken on matters of interest to the organization.  **Examples:**  Briefing papers, summary notes, throne speeches, debate documentation, questions and answers, motions for papers, notices of motions, briefing books, notices of petitions, bills, proposals and requests, and orders of the day.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).* | | |

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| **Active:** | Cy+4y |
| **Semi-Active:** | 5y |
| **Digital Records:** | Cy+9y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by subject  - by type  - other |

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| **0335 LIAISON** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the exchange of information between the organization and other government or non-government organizations and partnerships with entities such as universities, public schools, hospitals, interest groups, municipalities, and other businesses.  **Examples:**  Notifications of appointment, background information, correspondence relating to the sharing of publications, program information, policies, and curriculum.  *For official agreements, see primary* [*0140*](#_0140__)*.*  *For project planning and communications with partners, see* [*0310*](#_0220__PROJECT)*.* | | |

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| **Active:** | Cy+1y |
| **Semi-Active:** | 3y |
| **Digital Records:** | Cy+4y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by organization  - by agency  - by department  - by group  - by institution  - other |

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| **0350 MAIL, POSTAGE, AND COURIER SERVICES** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the organization’s use of postal and private courier services including Canada Post, mail delivery systems, postal regulations, and service interruptions.  **Examples:**  Postal rate increase notices, logbooks, and damaged mail reports. | | |

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| **Active:** | Cy+1y |
| **Semi-Active:** | 0y |
| **Digital Records:** | Cy+1y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by type  - by date |

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| **0385 PUBLIC RELATIONS** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the promotion of the organization’s public image through development of media communications, branding, implementation of communications plans and events, and responses to media requests. Also documents the organization of public events such as exhibits, fairs, and shows; speeches, presentations and lectures by government officials or designates; and diplomatic visits and tours by members of the Royal Family, heads of state, heads of government, ambassadors visiting New Brunswick and Lieutenant Governor and Premier events.  **Examples:**  Briefings, news releases, press releases, press conferences, radio commercials, draft magazine ads, newspaper ads, social media ads, social media posts, public website content, branding tools, brochures, pamphlets, working papers, exhibit display boards, lists of events for trade shows, schedules of dates and times of events, proclamations, invitations, itineraries, lists of contacts, news clippings, draft Minister speeches, copies of final Deputy Minister speeches, copies of Premier’s speeches, machinery of Government presentations, outlines of lectures.  *For records relating to publishing, see primary* [*0395*](#_0395__)*.* | | |

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| **Active:** | Cy+4y |
| **Semi-Active:** | 5y |
| **Digital Records:** | Cy+9y |
| **Final Disposition:** | SR |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | **Original speeches and presentations should be placed in the appropriate function file.**  - by type  - by subject  - by date  - by event  - other |

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| **0395 COMMUNICATIONS AND PUBLISHING** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the planning, design, development, implementation, maintenance, and administration processes relating to the communication and publishing of information through books, pamphlets, and Intranet, Internet or Extranet sites.  **Examples:**  Website design, branding information and protocols, standards, website posting requests, release schedules, date release and control, proposals, specifications, background material, markup language files, inventories, pamphlets design, and brochure layouts.  See [Managing and Preserving Social Media (2022)](https://archives.gnb.ca/CIM/App_Handlers/FileDownloadHandler.ashx?id=11&section=1.2&culture=en-CA) for assistance in determining whether information on social media constitutes a record.  *\*Contact the Digital Records Archivist to discuss automated web crawling to capture website content.*  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For invoices and purchase orders, see primary* [*0725*](#_0700__)*.*  *For records relating to inventions, patents, and copyrights, see primary* [*0315*](#_0315__)*.*  *For press releases, see primary* [*0385*](#_0385__)*.*  *For library management, see primary* [*1890*](#_1890___1)*.*  *For website content, file under the appropriate function.* | | |

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| **Active:** | Cy+4y |
| **Semi-Active:** | 5y |
| **Digital Records:** | Cy+9y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by publication\*  - by distribution channel  - by date  - by subject  - other  \*Four (4) copies (in English and French) of every publication produced by a government organization must be deposited with the Legislative Library. This includes material which is posted to the Internet. In this case a copy of the material or the URL may be e-mailed to the Library. Please refer to the [*Legislative Library Act*](https://laws.gnb.ca/en/ShowTdm/cs/2011-c.185/) for specific information. |

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| **0400 ORGANIZATIONAL PLANNING** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the activities of department-wide planning and its participation in government-wide planning activities including the analysis of business functions, development of missions, process improvement initiatives, innovation design, and strategic planning.  **Examples:**  Organizational charts, work plans, strategic planning documentation, Internal Services Alignment initiatives, business plans, continuous improvement plans, organizational restructuring drafts, mission statements, mandates, operational performance measurement systems, quality management systems, improvement studies, office surveys, International Standards Organization (ISO) manual, background material, framework meeting notes.  *For Policy and Procedures Development, see primary* [*0215*](#_0220__)*.*  *For Program Administration, see primary* [*0305*](#_0305_PROGRAM_MANAGEMENT)*.* | | |

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| --- | --- |
| **Active:** | Fy+4y |
| **Semi-Active:** | 5y |
| **Digital Records:** | Fy+9y |
| **Final Disposition:** | SR |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by type  - by unit  - other |

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| **0440 REPORTING AND STATISTICS - GENERAL** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the development of administrative and operational reports and statistics.  **Examples:**  Weekly quality assurance reports, monthly reports, quarterly reports, final statistical reports, and relevant report development documentation.  *For Annual Reports, see primary* [*0445*](#_0445__)*.* | | |

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| **Active:** | Fy+1y |
| **Semi-Active:** | 4y |
| **Digital Records:** | Fy+5y |
| **Final Disposition:** | D |

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| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | **File reports and statistics with records according to function when required. For example, if a program or project is under review or being monitored, statistics and reports generated during that process are a part of the review or monitoring function.**  - by subject  - by type  - by date  - other |

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| **0445 REPORTING - ANNUAL** | [**ADMINISTRATION**](#_ADMINISTRATION___1) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the development and approval of the organization’s annual reports in preparation for submission to the Legislative Assembly.  **Examples:**  Draft reports, working and planning papers, background material, submissions, drafts, revisions, approvals, and final reports.  *For general reporting and statistics, see primary* [*0440*](#_0440__)*.* | | |

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| **Active:** | Fy+1y |
| **Semi-Active:** | 4y |
| **Digital Records:** | Fy+5y |
| **Final Disposition:** | D |

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| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by branch  - by division  - by unit  - other |

# **FACILITIES AND ASSET MANAGEMENT 0500 – 0699**

*Facilities and Asset Management is the function that supports the acquisition, maintenance, protection, and disposal of physical and real property used by government. Physical property consists of movable property such as equipment, furniture, office supplies, and vehicles which the government owns or leases. Real property consists of immoveable property which the government owns, leases, or has rights to such as land, buildings, structures, easements, and includes moveable physical property that has been incorporated into the structure of buildings (e.g., utility systems).*

*For procurement, see primary* [*0850*](#_0850__)*.  
For agreement and contract management, see primary* [*0140*](#_0140__)*.  
For policy and procedures development, see primary* [*0215*](#_0220__)*.*

**PRIMARY NUMBERS, PRIMARY FUNCTIONS, AND RETENTION SCHEDULES**(ALPHABETICAL LISTING)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| [Accommodation/Space Planning](#_0505__) | 0505 | Cy+4y | 10y | D |
| [Buildings, Structures, and Land - Maintenance](#_0515__) | 0515 | Cy+1y | 3y | D |
| [Buildings, Structures, and Land - Management](#_0510__) | 0510 | SO+1y | 0y | SR |
| [Clothing Management](#_0640__) | 0640 | Fy+4y | 2y | D |
| [Equipment/Furniture/Supplies Management](#_0630__) | 0630 | SO+1y | 0y | D |
| [Physical Security](#_0670__) | 0670 | SO+4y | 2y | D |
| [Facilities and Asset Management - General](#_0500__) | 0500 | Cy+1y | 0y | D |
| [Risk Management, Accidents, and Insurance](#_0660__) | 0660 | SO+4y | 2y | D |
| [Vehicle Management](#_0650__) | 0650 | SO+1y | 0y | D |

**PRIMARY NUMBERS, PRIMARY FUNCTIONS, AND RETENTION SCHEDULES**(NUMERICAL LISTING)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| [0500](#_0500__) | Facilities and Asset Management - General | Cy+1y | 0y | D |
| [0505](#_0505__) | Accommodation/Space Planning | Cy+4y | 10y | D |
| [0510](#_0510__) | Buildings, Structures, and Land - Management | SO+1y | 0y | SR |
| [0515](#_0515__) | Buildings, Structures, and Land - Maintenance | Cy+1y | 3y | D |
| [0630](#_0630__) | Equipment/Furniture/Supplies Management | SO+1y | 0y | D |
| [0640](#_0640__) | Clothing Management | Fy+4y | 2y | D |
| [0650](#_0650__) | Vehicle Management | SO+1y | 0y | D |
| [0660](#_0660__) | Risk Management, Accidents, and Insurance | SO+4y | 2y | D |
| [0670](#_0670__) | Physical Security | SO+4y | 2y | D |

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| **0500 FACILITIES AND ASSET MANAGEMENT – GENERAL** | [**FACILITIES AND ASSET MANAGEMENT**](#_FACILITIES_AND_ASSET) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the general management of real and physical property functions and activities for which there is no specific primary.  **Examples:**  Business card requests, stationery inquiries, building directories, building addresses, and eating facilities, and conference room bookings.  *For complaints, see primary* [*0205*](#_0210__)*.*  *For Access to Information requests, see primary* [*1830*](#_1830__)*.* | | |

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| --- | --- |
| **Active:** | Cy+1y |
| **Semi-Active:** | 0y |
| **Digital Records:** | Cy+1y |
| **Final Disposition:** | D |

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| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by service  - by subject  - by other |

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| --- | --- | --- |
| **0505 ACCOMMODATION/SPACE PLANNING** | [**FACILITIES AND ASSET MANAGEMENT**](#_FACILITIES_AND_ASSET) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the planning and arrangement for the allocation, lease, use and outfitting of office and warehouse space, and other departmental accommodations including space related requirements such as heat, electricity, and water, as well as the administration of parking spaces for departmental staff and vehicles.  **Examples:**  Space inventories, space specifications, plans for expansion, memos on space allocation, floor plans, draft drawings, accommodation statistics, approvals, requests for services, moving schedules, meeting notes, parking permits, parking waiting lists, visitors’ parking passes, and parking space holder lists. | | |

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| **Active:** | Cy+4y |
| **Semi-Active:** | 10y |
| **Digital Records:** | Cy+14y |
| **Final Disposition:** | D |

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| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by subject  - by space  - other |

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| **0510 BUILDINGS, STRUCTURES, AND LAND - MANAGEMENT** | [**FACILITIES AND ASSET MANAGEMENT**](#_FACILITIES_AND_ASSET) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the procurement, management, construction, major renovation, easements, right-of ways, concessions, disposal, and transfer of land, structures, and buildings through purchase, lease, donation, demolition, removal, transfer, and/or sale.Also documents the leasing of Crown-owned land by private persons or corporations or the leasing of privately owned land by the Crown.  **Examples:**  Applications for work orders, warranty documents, requests for roofing quotes, appraisals, procurement approvals, drawings, photographs of structures, building plans, certificates of title, land deeds, building leases, notices of transfers, building models, specifications, inventories, building material lists, change orders for the scope of work and scheduling, progress reports, inspection reports, acceptance records, deficiency lists, construction holdbacks, topographic maps, building codes, upgrade memos, site plans, space plans.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For construction/major renovation financial contracts, see primary* [*0140*](#_0140__)*.*  *For general procurement, see primary* [*0850*](#_0850__)*.*  *For minor alterations, repairs, maintenance, and utilities, see primary* [*0515*](#_0515__)*.* | | |

|  |  |
| --- | --- |
| **Active:** | SO (until transferred or disposed of) +1y |
| **Semi-Active:** | 0y |
| **Digital Records:** | SO+1y |
| **Final Disposition:** | SR |

|  |  |
| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by county  - by building code  - by building name  - by structure  - by property  - other |

|  |  |  |
| --- | --- | --- |
| **0515 BUILDINGS, STRUCTURES, AND LAND - MAINTENANCE** | [**FACILITIES AND ASSET MANAGEMENT**](#_FACILITIES_AND_ASSET) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the activities relating to alterations, maintenance, and repairs undertaken on buildings, land, and structures; and documents the activities relating to the installation, operation, maintenance, and repair of utility systems within facilities including air conditioning, ventilation, heating systems, garbage and waste disposal, lighting and electrical systems, fire protection systems, as well as water and plumbing systems.  **Examples:**  Inspection reports, requests for service, signage, cost estimates for damaged assets, reports, and specifications for minor repairs of facilities and properties, work orders, correspondence on concerns relating to utilities, utility instruction manuals, documentation on repairs.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For major alterations or construction, see primary* [*0510*](#_0510__)*.*  *For minor repairs contracts, see primary* [*0140*](#_0140__)*.*  *For procuring buildings, structures, or land, see primary* [*0510*](#_0510__)*.* | | |

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| --- | --- |
| **Active:** | Cy+1y |
| **Semi-Active:** | 3y |
| **Digital Records:** | Cy+4y |
| **Final Disposition:** | D |

|  |  |
| --- | --- |
| **Retention Rationale:** | Retention based on business need. |
| **Filing Notes:** | - by building name  - by building code  - by facility  - by property  - by structure  - by utility type  - other |

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| --- | --- | --- |
| **0630 EQUIPMENT/FURNITURE/ SUPPLIES MANAGEMENT** | [**FACILITIES AND ASSET MANAGEMENT**](#_FACILITIES_AND_ASSET) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the use, storage, maintenance, repair, disposal, or transfer of equipment, furniture, and office supplies including audio visual equipment, digitization or microfilming equipment, office furniture and equipment, and laboratory, and technical equipment.  **Examples:**  Furniture repair logs, paper recycling program documentation, equipment specifications, equipment operation manuals, computer warranties, office equipment guarantees, computer inspection reports, audio-visual equipment maintenance schedules, inventories, equipment history, work orders, cell phone specifications, and equipment transfer vouchers.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For procurement, see primary* [*0850*](#_0850__)*.*  *For records destruction authorizations, see primary* [*1880*](#_1890__)*.*  *For requisitions and purchase orders, see primary* [*0725*](#_0700__)*.* | | |

|  |  |
| --- | --- |
| **Active:** | SO (until transferred or disposed of) +1y |
| **Semi-Active:** | 0y |
| **Digital Records:** | SO+1y |
| **Final Disposition:** | D |

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| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by asset name  - by asset number |

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| **0640 CLOTHING MANAGEMENT** | [**FACILITIES AND ASSET MANAGEMENT**](#_FACILITIES_AND_ASSET) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the design, administration, issue, alteration, storage, disposal, and distribution of clothing.  **Examples:**  Use of branding and logos, uniform distribution lists, clothing inventories, requests for proposals, and correspondence for laundry service.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For records destruction authorizations, see primary* [*1880*](#_1890__)*.*  *For requisitions and purchase orders, see primary* [*0725*](#_0700__)*.*  *For copyrights and patents, see primary* [*0315*](#_0315__)*.* | | |

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| --- | --- |
| **Active:** | Fy+4y |
| **Semi-Active:** | 2y |
| **Digital Records:** | Fy+6y |
| **Final Disposition:** | D |

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| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by asset name  - by asset number |

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| **0650 VEHICLE MANAGEMENT** | [**FACILITIES AND ASSET MANAGEMENT**](#_FACILITIES_AND_ASSET) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the use, storage, maintenance, repair, disposal, and transfer of government-owned and leased vehicles including road, all-terrain, construction, off-road, and water vehicles.  **Examples:**  Departmental fleet records including registrations, licenses, insurance, copies of maintenance and lease agreements, transfer vouchers, work orders, guaranties, warranties, logbooks, quotes for repairs, vandalism report, and inventories.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For records destruction authorizations, see primary* [*1880*](#_1890__)*.*  *For maintenance or lease agreements, see primary* [*0140*](#_0140__)*.*  *For payment of invoices, see primary* [*0725*](#_0700__)*.*  *For personal injury accidents, see primary* [*0660*](#_0660__)*.*  *For personal injury lawsuits, see primary* [*0325*](#_0325__)*.*  *For procurement, see primary* [*0850*](#_0850__)*.*  *For mileage reports, see primary* [*0725*](#_0700__)*.* | | |

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| **Active:** | SO (until transferred to another employee or department, or disposed of) +1y |
| **Semi-Active:** | 0y |
| **Digital Records:** | SO+1y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by asset name  - by asset number |

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| **0660 RISK MANAGEMENT, ACCIDENTS, AND INSURANCE** | [**FACILITIES AND ASSET MANAGEMENT**](#_FACILITIES_AND_ASSET) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the identification and analysis of risk and/or loss resulting from the destruction or theft of assets (including fire); resulting in the inability to provide services, and/or resulting in extra expense and legal liability. Also, documents accidents involving all types of government owned vehicles and equipment, the process of monitoring claims and property insurance coverage, collecting claims notifications during the investigation, claim settlement, and determining and establishing coverage.  **Examples:**  Property claims, liability policies, claims notifications, damage claim reports, incident reports, accident reports and investigations, injury claims, vehicle accident reports, copies of insurance policies, copies of insurance contracts listings of values and assets, release of liability and assumption risk documentation.  *For personal injury lawsuits, see primary* [*0325*](#_0325__)*.*  *For disaster recovery plans, see primary* [*0235*](#_0235__)*.*  *For death benefit and disability insurance plans, see primary* [*1050 2*](#_1050_2._)*.*  *For group insurance, see primary* [*1050 2*](#_1050_2._)*.*  *For vehicle insurance, see primary* [*0650*](#_0650__)*.*  *For accidents or personal injury claims (major), see primary* [*1050 1b*](#_B)__Accidents)*.*  *For records relating to information technology risk management, see primary* [*1612*](#_1612__)*.*  *For records relating to systems applications risk management, see primary* [*1610*](#_1610__)*.* | | |

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| **Active:** | SO (See *Limitation of Actions Act* until claim settled, or policy expired) +4y |
| **Semi-Active:** | 2y |
| **Digital Records:** | SO+6y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on the requirements of the [*Limitations of Actions Act*](https://laws.gnb.ca/en/ShowTdm/cs/L-8.5/). |
| **Filing Notes:** | - by incident  - by accident  - by insurance policy |

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| **0670 PHYSICAL SECURITY** | [**FACILITIES AND ASSET MANAGEMENT**](#_FACILITIES_AND_ASSET) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the tracking, monitoring, installation, inspection, and maintenance of security systems; monitoring and reporting breaches of physical security; and the day-to-day access to facilities.  **Examples:**  Security system specifications, security guard lists and schedules, corps of commissionaires, security system plans, incident reports, interviews, police reports, bomb threats, break-ins, access restrictions, reports, security service agreements, access permissions, key directories, access cards, codes, visitor daily logs, access logs, video surveillance\*, voice recording.  \*Video surveillance is considered a transitory record in the case where no security incident has been captured. The retention listed below applies to video surveillance that captures an incident and will be filed with the corresponding incident reports and supporting documentation.  *For agreements, see primary* [*0140*](#_0140__)*.*  *For personal injury lawsuits, see primary* [*0325*](#_0325__)*.*  *For information security, see primary* [*1755*](#_1755__)*.*  *For personal injury accidents, see primary* [*0660*](#_0660__)*.* | | |

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| **Active:** | SO (until no longer required) +4y |
| **Semi-Active:** | 2y |
| **Digital Records:** | SO+6y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by county  - by building code  - by facility  - by property name  - other |

# **FINANCIAL MANAGEMENT 0700 – 0999**

*Financial Management is the function that supports departmental financial and managerial accounting. Activities include the planning, controlling, spending, and reporting of the budget and the administration of accounts. Includes audit preparation, accounts reconciliation, budget preparation and budgetary control, expenditure and accounts tracking, banking, funds management and procurement. Also includes spending authorization records.*

***Note:*** *Records Retention and Disposition Schedule 2008-OOC-01 has been approved for Oracle Financial Information System with the records being destroyed after a total of 7 years (one fiscal year plus an additional 6 years).*

*For contract and agreement administration, see primary* [*0140*](#_0140__)*.  
For policy, procedure, standard development, see primary* [*0215*](#_0220__)*.  
For committee minutes and agendas, see primary* [*0185*](#_0185__)*.*

**PRIMARY NUMBERS, PRIMARY FUNCTIONS, AND RETENTION SCHEDULES**(ALPHABETICAL LISTING)

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|  |  | **A** | **SA** | **FD** |
| [Accounts and Banking](#_0700__) | 0725 | Fy+1y | 5y | D |
| [Budgeting](#_0755__) | 0795 | Fy+1y | 5y | D |
| [Funds and Grants Administration](#_0805__) | 0805 | SO | 7y | SR |
| [Procurement](#_0850__) | 0850 | Fy+1y | 5y | D |
| [Spending Authority Administration](#_0890__) | 0890 | SO+1y | 0y | D |

**PRIMARY NUMBERS, PRIMARY FUNCTIONS, AND RETENTION SCHEDULES**(NUMERICAL LISTING)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| [0725](#_0725__) | Accounts and Banking | Fy+1y | 5y | D |
| [0795](#_0755__) | Budgeting | Fy+1y | 5y | D |
| [0805](#_0805__) | Funds and Grants Administration | SO | 7y | SR |
| [0850](#_0850__) | Procurement | Fy+1y | 5y | D |
| [0890](#_0890__) | Spending Authority Administration | SO+1y | 0y | D |

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| **0725 ACCOUNTS AND BANKING** | [**FINANCIAL MANAGEMENT**](#_FINANCIAL_MANAGEMENT_) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the tracking and reporting of the payment of accounts and expenditure of funds as well as the administration of bank accounts.  **Examples of accounting records:** Currency exchange rate bulletins, applications for corporate credit cards, and documents relating to donations made to the province, monthly bank account summaries, interim financial statements, balance sheets, statements of cash flow, financial statements, summary reports by account, revenue accounting reports, and write-offs of outstanding accounts and debts, petty cash, Purchase Cards (P Cards), P Card holder names and expiry dates, account statements, subscriptions and memberships payment, courier payments, bills of lading, invoices, receipts, reports, travel and expense claims, corporate purchases, authorization vouchers, advances, financial commitments tracking, recurring payments, power and utility bills, long distance usage reports, rental invoice leases, and photocopier/fax rental invoices, account balances, journal entries documenting the reallocation of costs from financial transactions, receipts of grants, cash receipts, daily cash summaries, notices, write-off approvals, revenue account statements, summaries, sales of goods and services, federal cost-sharing claims, tax collection, funds recovered for expenditures, and cash transactions.  **Examples of banking records:** Bank statements, cancelled cheques, duplicate cheques, returned cheques, cheque stubs, cheque pick-up log sheets, batch control of cheques and deposit slips. | | |

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| **Active:** | Fy+1y |
| **Semi-Active:** | 5y |
| **Digital Records:** | Fy+6y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on industry standards. |
| **Filing Notes:** | - by event - by other  - by fiscal year  - by subject  - by service  - by account number  - by type  - by employee  - by vendor  - by P Card holder |

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| **0795 BUDGETING** | [**FINANCIAL MANAGEMENT**](#_FINANCIAL_MANAGEMENT_) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the process of monitoring and tracking budgetary control of expenditures and revenues within a budget, budget estimates, and budget forecasting.  **Examples:** Approved budgets, adjustment forms, requests for central salary draw, transfer and reallocation of funds, correspondence, budgetary practices and procedures, budgetary controls and programs, budget monitoring reports, approved documentation and adjustment documentation, budget estimates, main estimates, briefing material, budget background material, pre-approvals, monthly activity logs, submissions, revenue projections, budget input forms, budget briefing/estimates books, appropriation and submissions for specific periods, related guidelines, and instructions.  *If you are the Office of Primary Responsibility for budgeting, see associated Operational Retention and Disposition Schedule(s).* | | |

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| **Active:** | Fy+1y |
| **Semi-Active:** | 5y |
| **Digital Records:** | Fy+6y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by budget year  - other |

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| **0805 FUNDS AND GRANTS ADMINISTRATION** | [**FINANCIAL MANAGEMENT**](#_FINANCIAL_MANAGEMENT_) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the administration of grants and funds that government departments/agencies manage.  **Examples:**  Environmental Trust Fund and Viscount Bennett Fund records including grant requests, grant applications, grant approval correspondence, approvals, investment records, trust fund reports, trust fund statements, special funds administration, special purpose accounts.  *For payment of grants, see primary* [*0725*](#_0700__)*.* *For receipt of monies from grants, see primary* [*0725*](#_0700__)*.* *For final statistical reports, see primary* [*0440*](#_0440__)*.* *For authorization of expenditures, see primary* [*0890*](#_0890__)*.* *For land, see primary* [*0510*](#_0510__)*.* | | |

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| **Active:** | SO (until grant/fund no longer exists or until agreement retention terms are met) |
| **Semi-Active:** | 7y |
| **Digital Records:** | SO+7y |
| **Final Disposition:** | SR |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by trust fund name  - by grant name |

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| **0850 PROCUREMENT** | [**FINANCIAL MANAGEMENT**](#_FINANCIAL_MANAGEMENT_) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the process of acquiring goods and services by purchase, rental, or lease.  **Examples:**  Purchase requisitions, purchase orders, standing agreements, supplier information, invitations to bid, proposal requests, offer evaluations, offer selections, tenders and bids, awards of tender, supporting documentation, working papers, purchasing violations, exemption requests, sole source documentation.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For the procurement of land, buildings, or structures, see primary* [*0510*](#_0510__)*.*  *For accounts receivable, see primary* [*0725*](#_0700__)*.*  *For accounts payable, see primary* [*0725*](#_0700__)*.*  *For approved budgets, see primary* [*0795*](#_0795__)*.*  *For final statistical reports, see primary* [*0440*](#_0440__)*.*  *For authorization of expenditures, see primary* [*0890*](#_0890__)*.* | | |

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| **Active:** | Fy+1y |
| **Semi-Active:** | 5y |
| **Digital Records:** | Fy+6y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on the requires of the [*Procurement Act*](https://laws.gnb.ca/en/ShowTdm/cs/2012-c.20/). |
| **Filing Notes:** | - by asset type  - by subject  - other |

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| **0890 SPENDING AUTHORITY ADMINISTRATION** | [**FINANCIAL MANAGEMENT**](#_FINANCIAL_MANAGEMENT_) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the process of tracking and verifying the establishment and renewal of signing authorities required for most financial transactions.  **Examples:**  Written notifications of acting authorities, approvals, and completed signing authority forms, verification procedures for maintaining current authority records. | | |

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| **Active:** | SO (until the Signing Authority changes or ceases) +1y |
| **Semi-Active:** | 0y |
| **Digital Records:** | SO+1y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by authorization type |

## **HUMAN RESOURCES MANAGEMENT 1000 – 1399**

*Human Resources Management is the function that supports the administration of employees and employee services. Includes records and supporting documentation about the review and establishment of positions, hiring processes, employee employment history, payroll, leave and absenteeism, occupational health and safety, training and development, collective agreement negotiation, grievance and adjudication, employee relations, and human resources planning.*

*For agreement administration, see primary* [*0140*](#_0140__) *For policy, procedures, and standards development, see primary* [*0215*](#_0220__) *For committee minutes and agendas, see primary* [*0185*](#_0185__)

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| **NOTE:** If a provision to legislation or in the Master or Subsidiary agreements between a public body as defined in the Archives Act and a Union conflicts with a retention period or final disposition in CPRS, that provision automatically supersedes the retention period or final disposition in CPRS.  **NOTE:** As Oracle Fusion develops ways to manage human resources records, the information in this section of the CPRS will evolve with it. |

**PRIMARY NUMBERS, PRIMARY FUNCTIONS, AND RETENTION SCHEDULES**(ALPHABETICAL LISTING)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| [Attendance Management](#_1115__) | 1115 | Cy+4y | 0y | D |
| [Collective Agreement Management](#_1190__) | 1190 | SO+6y | 0y | D |
| [Employee Records Management](#_1050__) | 1050 |  | | |
| Employee History |  | | | |
| [a) Employee History Main File](#_1050_1.__1) | 1050 1a | SO+1y | 50y | D |
| [b) Accidents and Personal Injury](#_1050_1._) | 1050 1b | SO+1y | 50y | D |
| [Employee Benefits and Deductions](#_1050_2._) | 1050 2 | SO+1y | 50y | D |
| Employee Performance |  | | | |
| [a) Performance Appraisals and Reviews](#_1050_3.__1) | 1050 3a | Fy+4y | 5y | D |
| [b) Work Plans](#_1050_3.__2) | 1050 3b | Fy+4y | 5y | D |
| [c) Disciplinary Action](#_1050_3._) | 1050 3c | Fy+4y | 5y | D |
| [Employee Relations Management](#_1175__) | 1175 | SO+6y | 0y | D |
| [Employment and Recruitment](#_1055_EMPLOYMENT_AND) | 1055 | Fy+2y | 7y | D |
| [Grievance and Adjudication](#_1180__) | 1180 | SO+6y | 0y | D |
| [Human Resources Management - General](#_1000__) | 1000 | Cy+1y | 0y | D |
| [Occupational Health and Safety Inspection and Investigation](#_1120__) | 1120 | SO+6y | 0y | SR |
| [Official Languages Management](#_1020__) | 1020 | Cy+2y | 7y | D |
| [Payroll Processing](#_1165__) | 1165 | Cy+1y | 6y | D |
| [Position Classification](#_1140__) | 1140 | SO+6y | 0y | D |
| [Training and Development](#_1225__) | 1225 | Cy+6y | 0y | D |
| [Volunteers](#_1060__) | 1060 | SO+1y | 50y | D |
| [Workforce Planning](#_1135__) | 1135 | Cy+4y | 0y | D |
| [Workplace Health, Safety, & Wellness](#_1125_WORKPLACE_HEALTH,) | 1125 | Cy+4y | 15y | D |

**HUMAN RESOURCES MANAGEMENT 1000 - 1399**

**PRIMARY NUMBERS, PRIMARY FUNCTIONS, AND RETENTION SCHEDULES**(NUMERICAL LISTING)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| [1000](#_1000__) | Human Resources Management - General | Cy+1y | 0y | D |
| [1020](#_1020__) | Official Languages Management | Cy+2y | 7y | D |
| [1050](#_1050__) | Employee Records Management |  | | |
|  | Employee History |  | | |
| [1050 1a](#_1050_1._) | Employee History Main File | SO+1y | 50y | D |
| [1050 1b](#_1050_1.__1) | Accidents and Personal Injury | SO+1y | 50y | D |
| [1050 2](#_1050_2._) | Employee Benefits and Deductions | SO+1y | 50y | D |
|  | Employee Performance |  | | |
| [1050 3a](#_1050_3.__1) | Performance Appraisals and Reviews | Fy+4y | 5y | D |
| [1050 3b](#_1050_3.__2) | Work Plans | Fy+4y | 5y | D |
| [1050 3c](#_1050_3._) | Disciplinary Action | Fy+4y | 5y | D |
| [1055](#_1055_EMPLOYMENT_AND) | Employment and Recruitment | Fy+2y | 7y | D |
| [1060](#_1060___1) | Volunteers | SO+1y | 50y | D |
| [1115](#_1115__) | Attendance Management | Cy+4y | 0y | D |
| [1120](#_1120__) | Occupational Health and Safety Inspection and Investigation | SO+6y | 0y | SR |
| [1125](#_1125_WORKPLACE_HEALTH,) | Workplace Health, Safety, & Wellness | Cy+4y | 15y | D |
| [1135](#_1135__) | Workforce Planning | Cy+4y | 0y | D |
| [1140](#_1140__) | Position Classification | SO+6y | 0y | D |
| [1165](#_1165__) | Payroll Processing | Cy+1y | 6y | D |
| [1175](#_1175__) | Employee Relations Management | SO+6y | 0y | D |
| [1180](#_1180__) | Grievance and Adjudication | SO+6y | 0y | D |
| [1190](#_1190__) | Collective Agreement Management | SO+6y | 0y | D |
| [1225](#_1225__) | Training and Development | Cy+6y | 0y | D |

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| **1000 HUMAN RESOURCES MANAGEMENT - GENERAL** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the general administration of human resource functions and activities for which there is no specific primary.  **Examples:**  Take Your Child to Work Program documentation, long service award presentation documentation, photographs, memos on acting appointments and positions, general correspondence, resumes and cover letters, unsolicited applications, awarding and honouring employee contributions. | | |

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| **Active:** | Cy+1y |
| **Semi-Active:** | 0y |
| **Digital Records:** | Cy+1y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by subject  - by activity  - by event  - by surname  - other |

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| **1020 OFFICIAL LANGUAGES MANAGEMENT** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the planning, coordination, promotion, and documentation relating to bilingualism and providing services in both official languages within the New Brunswick public service.  **Examples:**  Letters of complaint and supporting correspondence, complaint reports, responses, and linguistic profiles.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For general letters of complaint, see primary* [*0205*](#_0210__)*.*  *For language training courses, see primary* [*1225*](#_1225__)*.*  *For employee history records, see primary* [*1050*](#_1050__)*.*  *For Access to Information requests, see primary* [*1830*](#_1830__)*.* | | |

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| **Active:** | Cy+2y |
| **Semi-Active:** | 7y |
| **Digital Records:** | Cy+9y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on the requirements of the [*Official Languages Act*](https://laws.gnb.ca/en/ShowTdm/cs/O-0.5/). |
| **Filing Notes:** | - by subject  - by position  - by service  - by profile  - other |

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| **1050 EMPLOYEE RECORDS MANAGEMENT** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Employee records are created for permanent full-time staff, as well as those government employees having a permanent, term, casual (including students), program, seasonal, secondment, internship, special appointment, and/or personal service contract status.  *For employee leave and holiday requests, see primary* [*1115*](#_1115__)*.*  *For records relating to competitions, see primary* [*1055*](#_1055_EMPLOYMENT_AND)*.*  *For records relating to employee harassment investigations, see primary* [*1175*](#_1175__)*.*  *For records relating to the administration of grievances, see primary* [*1180*](#_1180__)*.*  *For records relating to adjudication decisions, see primary* [*1180*](#_1180__)*.*  *For records relation to position classification/reclassification, see primary* [*1140*](#_1140__)*.*  *For payroll processing, see primary* [*1165*](#_1165__)*.*  *For employee training and development, see primary* [*1225*](#_1225__)*.*  *For personal injury lawsuits, see primary* [*0325*](#_0325__)*.*  **NOTE: When an employee transfers within Part 1 of the Civil Service, the complete official employee record must be transferred to the new employer upon written request by the department to which the employee was transferred. Implied consent is inferred unless the employee indicates that he/she does not wish their personal information to be transferred, in which case the information is not to be disclosed by Human Resources.**  **When an employee transfers from Part 1 to Parts 2, 3, or 4 of the Civil Service, information concerning employee history and employee benefits and deductions components of the employee record may be transferred to the new employer, upon consent of the employee. Personal information regarding the employee within the employee record may only be disclosed upon written consent from the employee.**  **A copy of a record of decisions/actions affecting and individual employee’s pay must be placed in the employee history record.**  **Regular or annual review maintenance must be performed on employee benefits and deduction files, as well as on performance appraisals to ensure that only current employee information is maintained.** | | |

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| **Retention Rationale:** | Retention based on the requirements of the [*Civil Service Act*](https://laws.gnb.ca/en/ShowTdm/cs/C-5.1/)*.* |

In Part 1 of the New Brunswick Public Service, the official employee record is divided into three parts to assist staff in respecting the principles of the [*Right to Information and Protection of Privacy Act*](https://laws.gnb.ca/en/ShowTdm/cs/R-10.6/).

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| **1050 1. EMPLOYEE HISTORY** **A) Employee History Main File** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the employment history of a government employee from the employee’s hire date until the employee’s departure date.  **Examples:**  Birth certificates/proof of age, applications for employment, résumés, Oaths of Office forms, letters of offer, letters of appointment, acceptance and appointment documentation, position information, and salary and wage information, TD1 forms, employment extension forms, acceptance cards, conflict of interest forms, Equal Employment Opportunity forms, educational degrees, licenses, and certifications required for positions, merit increases, long-term sick leave forms, print-outs of long-term leave screens, long-term education leave forms, address and name change documents, Employee Linguistic Preference and Language Capability Forms, leave without pay forms, pay increases from promotion and reclassification, letters of commendation, long service awards, letters of appreciation, layoff notices, letters of resignation, retirement letters from Minister, records of employment, employee summary sheets, criminal security checks, calculation of retirement allowance, return of service agreements, termination information. | | |

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| **Active:** | SO (until employee terminates employment) +1y\* |
| **Semi-Active:** | 50y |
| **Digital Records:** | SO+51y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | \* The employee history file will be retained by the organization for the period of employment **plus one additional year** past the separation or termination date; or retained **for five years** by the organization following the settlement of any dispute or litigation.  - by employee surname |

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| **1050 1. EMPLOYEE HISTORY** **B) Accidents and Personal Injury** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents a government employee’s accident(s) and its effects on the employee’s ability to work.  **Examples:**  Employee incident reports, employee accident reports, completed Workplace Health, Safety, and Compensation Commission accident forms, claims, letters of acceptance/decline from WHSCC, letter relating to the employee’s ability to work, cost of claim report, copies of claim decisions, appeals, and challenges. | | |

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| **Active:** | SO (until employee terminates employment) +1y\* |
| **Semi-Active:** | 50y |
| **Digital Records:** | SO+51y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | \* The employee history file will be retained by the organization for the period of employment plus **one additional year** past the separation or termination date; or retained **for five years** by the organization following the settlement of any dispute or litigation  - by employee surname  - by WHSCC claim number |

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| **1050 2. EMPLOYEE BENEFITS AND DEDUCTIONS** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the management of communications relating to deductions, insured benefits, and pension of a government employee from his/her hire date until his/her departure date.  **Examples:**  Pension plans, insurance records such as long-term disability and life insurance, third party requests for deductions, continuations of insured benefits, beneficiary records, dependents’ information, retirement allowance documentation, buy-back estimates, pension estimates, pension payment method, voided cheques for direct deposit of pay, Payroll Savings Program deductions, Canada Savings Bonds program records, Group RSP (Retirement Savings Plan), correspondence, changes to insured benefits, long time disability correspondence, and waiver information. | | |

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| **Active:** | SO (until employee terminates employment) +1y\* |
| **Semi-Active:** | 50y |
| **Digital Records:** | SO+51y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | \* The employee history file will be retained by the organization for the period of employment plus **one additional year** past the separation or termination date; or retained **for five years** by the organization following the settlement of any dispute or litigation.  - by employee surname |

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| **1050 3. EMPLOYEE PERFORMANCE****Performance Appraisals and Reviews** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the management of a government employee’s performance.  **Examples:**  Training records, employee development plans, self-development, and training initiatives, and/or enhancements undertaken and reported by an employee, performance appraisals, and performance reviews. | | |

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| **Active:** | Fy+4y |
| **Semi-Active:** | 5y |
| **Digital Records:** | Fy+9y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | \*Collective agreements may regulate the length of time performance appraisals are retained. |
| **Filing Notes:** | - by employee surname |

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| **1050 3. EMPLOYEE PERFORMANCE****Work Plans** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the management of a government employee’s performance.  **Examples:**  Individual work plans. | | |

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| **Active:** | Fy+4y |
| **Semi-Active:** | 5y |
| **Digital Records:** | Fy+9y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by employee surname |

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| **1050 3. EMPLOYEE PERFORMANCE****Disciplinary Action** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the management of a government employee’s performance.  **Examples:**  Probation period notices, probation correspondence, disciplinary letters and actions, copies of grievance decisions affecting pay, and copies of disciplinary action for harassment. | | |

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| **Active:** | Fy+4y |
| **Semi-Active:** | 5y |
| **Digital Records:** | Fy+9y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | \*Collective agreements may regulate the length of time disciplinary action records are retained. |
| **Filing Notes:** | - by employee surname |

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| **1055 EMPLOYMENT AND RECRUITMENT** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the general administration of staff, promotion, recruitment, and hiring of staff following a competition process for filling new or vacant positions in a department or agency; positions available through specific employment programs such as part-time employment, volunteer programs, student cooperative programs, summer employment programs, provincial employment programs, mentoring programs or federal employment programs; and the processing of requests for the approval of hiring additional staff.  **Examples:**  Identification and notifications of vacancy, employee transfer records, redeployment records, secondment documents, staffing inquiries and investigations, candidates’ eligibility lists, employment applications, competition files, application evaluations, interview panel notes, interview questions/tests and scores, interview evaluations, reference checks, letters of appointment, meeting notes, offers of employment, position descriptions, position advertisements, position requests, position rejections, draft competition samples, recommendations, reports, research, letters of appointments, staffing requisitions, volunteer opportunity descriptions, selection standards, working papers, and correspondence.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For appointment notices, see primary* [*1000*](#_1000__)*.*  *For staffing delegation agreements, see primary* [*0140*](#_0140__)*.*  *For salaries and wages, see primary* [*1165*](#_1165__)*.*  *For records relating to individual employees, see primary* [*1050*](#_1050__)*.* | | |

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| **Active:** | Fy+2y |
| **Semi-Active:** | 7y |
| **Digital Records:** | Fy+9y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on the requirements of the [*Employment Standards Act*](https://laws.gnb.ca/en/ShowTdm/cs/E-7.2/) and the [*Civil Service Act*](https://laws.gnb.ca/en/ShowTdm/cs/C-5.1/) |
| **Filing Notes:** | **Reference checks are obtained in confidence and are to be kept confidential in the competition file as per** [**Policy AD 4100**](https://www2.gnb.ca/content/dam/gnb/Departments/ohr-brh/pdf/other/staffing_policy_manual.pdf)**.**  **Place criminal record checks in the employee history file** [**1050**](#_1050__)**.**  - by position  - by competition number  - by classification  - by position number  - other |

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| **1060 VOLUNTEERS** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Records relating to persons providing services to the Crown as volunteers. Includes records outlining the type of services provided, volunteer profiles, and the requirements and conditions of the voluntary service.  **Examples:**  Training and orientation records, volunteer profile records, work schedules, responsibilities, and obligations. | | |

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| --- | --- |
| **Active:** | SO (until volunteer services are no longer provided by the individual) +1y |
| **Semi-Active:** | 50y |
| **Digital Records:** | SO+51y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by surname  - by service  - other |

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| **1115 ATTENDANCE MANAGEMENT** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the tracking of employee absences due to illness, flexible hours not affecting compensation, the usage of vacation leave, and other leave entitlements (e.g., bereavement, court, educational, parental).  **Examples:**  Attendance reports, employee leave records including requests and approvals, carry-over vacation credits, Designated Vacation Report, Monthly Credit Increments List for the Month, flex time documentation, notices of time off for special occasions, work schedules, doctor’s notes, and correspondence. | | |

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| --- | --- |
| **Active:** | Cy+4y |
| **Semi-Active:** | 0y |
| **Digital Records:** | Cy+4y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | **A copy of leave records affecting pay must be placed in the employee history record, see primary** [**1050 1a**](#_1050__)**.**  - by surname  - other |

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| **1120 OCCUPATIONAL HEALTH AND SAFETY INSPECTION AND INVESTIGATION** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the assessment, investigation, processes, and reporting of workplace health and safety incidents and activities as required by the [*Occupational Health and Safety Act*](https://laws.gnb.ca/en/ShowTdm/cs/O-0.2/)*.*  **Examples:**  Incident and complaint investigations and reports; hazard assessment and control program activities; workplace compliance, periodic inspections, compliance notices, hazard assessment reports, hazardous materials inventory WHIMIS (Workplace Hazardous Material Information Sheets), orders, inspection reports, interview notes, workplace inspection forms, appeals, and investigation correspondence  *For employee worker’s compensation claims, see primary* [*1050 1b*](#_B)__Accidents)*.*  *For OHS committees and minutes, see primary* [*0185*](#_0185__)*.*  *For emergency planning and disaster recovery, see primary* [*0235*](#_0235__)*.*  *For records relating to individual employees, see primary* [*1050*](#_1050__)*.*  *For records relating to physical security, see primary* [*0670*](#_0670__)*.* | | |

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| **Active:** | SO (until matter resolved) + 6y |
| **Semi-Active:** | 0y |
| **Digital Records:** | SO+6y |
| **Final Disposition:** | SR |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by incident  - by activity  - by surname  - by date  - other |

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| **1125 WORKPLACE HEALTH, SAFETY, AND WELLNESS** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the development, implementation, and administration of occupational health and safety programs in the workplace, in accordance with NB’s [*Occupational Health and Safety Act*](https://laws.gnb.ca/en/ShowTdm/cs/O-0.2/)*,* such as fire protection programs, first aid programs, smoking in the workplace programs, and identification of hazardous materials programs.  **Examples:**  Committee recommendations, annual summary reports, audits, evacuation plans and procedures, first aid program documents, departmental occupational health and safety program plans, WorkSafeNB training tracking, reports, training presentations, course confirmations, records relating to communicable diseases, air quality, hazmat records, smoking in the workplace program records, scent-free environment documents, records relating to ergonomic work areas, and allergy reduction related documents.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For employee worker’s compensation claims, see primary* [*1050-1b*](#_1050_1._)*.*  *For JHSC meetings and minutes, see primary* [*0185*](#_0185__)*.*  *For emergency planning and disaster recovery, see primary* [*0235*](#_0235__)*.*  *For records relating to individual employees, see primary* [*1050*](#_1050__)*.*  *For records relating to physical security, see primary* [*0670*](#_0670__)*.*  *For policy and procedures development, see primary* [*0215*](#_0220__)*.* | | |

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| **Active:** | Cy+4y |
| **Semi-Active:** | 15y |
| **Digital Records:** | Cy+19y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by program  - by activity  - by subject |

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| **1135 WORKFORCE PLANNING** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the planning and analyses of human resource requirements for the organization including planning the number, level, and category of positions as well as succession planning. Also, documents the activities of early retirement programs, severance programs, and workforce adjustment programs.  **Examples:**  Program records, plans of establishment, records relating to separation or amalgamation of departments, position realignments, task coding changes, reports, event planning, staffing forecasts, estimates, requirements; employee retirements and separations, lists of eligible employees, termination lists, years of services lists, pensionable service list, meeting minutes, and succession planning correspondence.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For organizational planning, see primary* [*0400*](#_0400__)*.*  *For the establishment of new positions, see primary* [*1140*](#_1140__)*.* | | |

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| **Active:** | Cy+4y |
| **Semi-Active:** | 0y |
| **Digital Records:** | Cy+4y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by event  - by subject  - other |

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| **1140 POSITION CLASSIFICATION** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the review and classification of current positions, as well as the process of establishing new positions in the organization. Includes documenting position creation, reviews, reclassifications, eliminations, appeals, and hearings in all classification categories.  **Examples:**  Profiles, changes to position descriptions, meeting notes, organizational charts, position requests, position description questionnaires (PDQs), reclassifications, rejections, red-circled positions, Hay Rating System documentation, consultants’ analyses, present incumbent only (PIOs), professional core competencies and benchmarks, position profile reports, *Job Class Inactivation and Job Class Deletion* report, completed *Human Resources Transaction* forms, working papers, and correspondence.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).* | | |

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| **Active:** | SO (until updated) + 6y |
| **Semi-Active:** | 0y |
| **Digital Records:** | SO+6y |
| **Final Disposition:** | D |

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| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by position number\*  - by position name\*  **\*** Information concerning individual employees is placed in the employee records, see primary [1050](#_1050__). |

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| **1165 PAYROLL PROCESSING** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the payment of salaries and wages to government employees, as well as the verification of service time, taxable benefits, and pensionable benefits.  **Examples:**  Contract increases, time sheets, rates of pay, deductions, merit increases, acting pay, taxable income, taxable benefits such as the personal use of government vehicles and meals, net pay, year-to-date earnings, statistical deductions, lists of deductions, hours of work and overtime, re-earnable increments, purchase of prior service deductions, shift differentials, deferred salary leave deductions, reconciliation reports for Pay Cycles 1 and 2, union dues deductions, coding changes, payroll registers, accounting distribution reports, deduction reports, HRIS reports: “Deduction Adjustments for Pay Period Ending yyyy/mm/dd” and “Payroll Accounting Summary for Pay Period Ending yyyy/mm/dd”.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For leave requests, see primary* [*1115*](#_1115__)*.*  *For the administration of insured benefits, see primary* [*1050 2*](#_1050_2._)*.* | | |

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| **Active:** | Cy+1y |
| **Semi-Active:** | 6y |
| **Digital Records:** | Cy+7y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on industry standards. |
| **Filing Notes:** | - by year  - by pay period  - other |

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| **1175 EMPLOYEE RELATIONS MANAGEMENT** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the tracking, monitoring, investigation, and resolution of employee relation issues as well as complaints in the workplace relating to fair treatment, addiction, anger, and stress in the workplace. Also documents the process, investigation and resolution of human rights, discrimination, and harassment complaints against the department.  **Examples:**  Counseling programs for employees, spouses, and dependent children, lists of counselors, usage reports, consultation notes with external organizations such as the Public Service Commission of Canada, complaint correspondence, investigation reports, copies of legal opinions, decisions, recommendations, settlement records, and working papers.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For leave requests, see primary* [*1115*](#_1115__)*.*  *For the administration of insured benefits, see primary* [*1050 2*](#_1050_2._)*.*  *For union related records or labour disputes, see primary* [*1190*](#_1190__)*.* | | |

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| --- | --- |
| **Active:** | SO (until matter resolved) + 6y |
| **Semi-Active:** | 0y |
| **Digital Records:** | SO+6y |
| **Final Disposition:** | D |

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| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by position number\*  - by position name\*  - by activity\*  - by subject\*  - by date\*  **\*** Information concerning individual employee is placed in the employee records, see primary [1050](#_1050__) and [1050 3c](#_Disciplinary_Action). |

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| **1180 GRIEVANCE AND ADJUDICATION** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the investigation of grievances and the resolution of negotiations.  **Examples:**  Grievance records, records of investigation, legal advice, records of negotiation and adjudication, and arbitration orders, adjudication awards, evidence, meeting notes, notices, working papers, and related correspondence.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For collective agreements, see primary* [*1190*](#_1190__)*.*  *For records relating to employee discipline, see primary* [*1050 3C.*](#_1050_3._)  *For records relating to the management of employee relations, see primary* [*1175*](#_1175__)*.* | | |

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| **Active:** | SO (until decision rendered) + 6y |
| **Semi-Active:** | 0y |
| **Digital Records:** | SO+6y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on legislative use. |
| **Filing Notes:** | - by surname  **\*** Information concerning individual employees’ pay is placed in the employee records, see primary [1050](#_1050__) and [1050 2](#_1050_2._). |

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| **1190 COLLECTIVE AGREEMENT MANAGEMENT** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the interpretation, collection of issues, and proposed changes to be considered in future bargaining by the Office of Human Resources; and the negotiation of collective agreements with the New Brunswick Government and unions and employee associations, as well as non-civil service collective agreements negotiated between the department or agency and its employees. Also documents the relationships between the organization’s management and employees’ unions, groups, or associations, as well as the certification of bargaining agents by the Labour Relations and Employment Board.  **Examples:**  Collective agreements, bargaining calendar correspondence, decisions on certifications, lists of contracts, pay increases, interpretation manuals, negotiation correspondence, collective agreements, memoranda of understanding (MOUs), proposals, recommendations, meeting notes, working papers, essential employee listings, seniority lists, records relating to strikes and work stoppages, and lists of designated employees.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For grievance and adjudication, see primary* [*1180*](#_1180__)*.*  *For records relating to employee discipline, see primary* [*1050 3C*](#_1050_3._)*.*  *For records relating to the management of employee relations, see primary* [*1175*](#_1175__)*.*  *For the union dues deductions, see primary* [*1165*](#_1165__)*.* | | |

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| **Active:** | SO (until contract/agreement expires) + 6y |
| **Semi-Active:** | 0y |
| **Digital Records:** | SO+6y |
| **Final Disposition:** | D |

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| --- | --- |
| **Retention Rationale:** | Retention based on industry standards. |
| **Filing Notes:** | - by contract  - by agreement  - by date  - other |

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| **1225 TRAINING AND DEVELOPMENT** | [**HUMAN RESOURCES MANAGEMENT**](#_HUMAN_RESOURCES_MANAGEMENT_2) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents and monitors employees’ participation, development, and approval to attend training courses, and events provided by internal or external organizations such as language training, employee career management counseling, and employee orientation programs.  **Examples:**  Planning documentation, budgeting papers, training directives, training requests, training proposals, course descriptions, course outlines, testing, application forms, approvals and registration, course confirmations, training schedules, waiting lists, class lists, evaluation reports, correspondence, orientation workshop records, professional development workshops and follow-up documentation on specific concerns with participants and facilitators.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For leave requests, see primary* [*1115*](#_1115__)*.*  *For records relating to the training of volunteers, see primary* [*1060*](#_1060__)*.* | | |

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| --- | --- |
| **Active:** | Cy+6y |
| **Semi-Active:** | 0y |
| **Digital Records:** | Cy+6y |
| **Final Disposition:** | D |

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| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by workshop  - by subject  - by course  - by date |

# **INFORMATION TECHNOLOGY MANAGEMENT 1600 - 1799**

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| **NOTE:** As Oracle Fusion develops ways to manage human resources records, the information in this section of the CPRS will evolve with it. |

**PRIMARY NUMBERS, PRIMARY FUNCTIONS, AND RETENTION SCHEDULES**(ALPHABETICAL LISTING)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| [Forms Management](#_1630__) | 1630 | SO+1y | 0y | D |
| [Information Technology Management – General](#_1600__) | 1600 | Cy+1y | 0y | D |
| [IT Business Applications](#_1610__) | 1610 | SO+2y | 0y | D |
| [IT End User Support](#_1625__) | 1625 | SO | 0y | D |
| [IT Infrastructure Management](#_1612__) | 1612 | SO+2y | 0y | D |
| [Security of Information](#_1755__) | 1755 | SO+6y | 0y | D |

**PRIMARY NUMBERS, PRIMARY FUNCTIONS, AND RETENTION SCHEDULES**(NUMERICAL LISTING)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| [1600](#_1600__) | Information Technology Management – General | Cy+1y | 0y | D |
| [1610](#_1610__) | IT Business Applications | SO+2y | 0y | D |
| [1612](#_1612__) | IT Infrastructure Management | SO+2y | 0y | D |
| [1625](#_1625__) | IT End User Support | SO | 0y | D |
| [1630](#_1630__) | Forms Management | SO+1y | 0y | D |
| [1755](#_1755__) | Security of Information | SO+6y | 0y | D |

|  |  |  |
| --- | --- | --- |
| **1600 INFORMATION TECHNOLOGY MANAGEMENT - GENERAL** | [**INFORMATION TECHNOLOGY MANAGEMENT**](#_INFORMATION_AND_TECHNOLOGY) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the general management of information technology functions and activities for which there is no specific primary.  **Examples:** Asset number logs  *For strategic information plans, see primary* [*0400*](#_0400__) *or appropriate function.* | | |

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| --- | --- |
| **Active:** | Cy+1y |
| **Semi-Active:** | 0y |
| **Digital Records:** | Cy+1y |
| **Final Disposition:** | D |

|  |  |
| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by subject  - other |

|  |  |  |
| --- | --- | --- |
| **1610 IT BUSINESS APPLICATIONS** | [**INFORMATION TECHNOLOGY MANAGEMENT**](#_INFORMATION_AND_TECHNOLOGY) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the process of planning, developing, testing, implementing, maintaining, administering, and converting business applications, including websites, supporting the operations of the organization.  **Examples:**  Active and inactive applications management, desktop technology upgrades, migration, refreshing, and conversion processes, opportunity evaluations, business cases, project charters/plan deliverables, wiring diagrams, coding and systems procedures, system requirements, date issues, leap years, change requests, functional flow plans, schedules and amendments, risk assessments, risk analysis reports, test scripts, status reports, sign-off documents, warranties, Request for Proposals (RFPs), Requests for Information (RFIs), training presentations, training handouts, and software inventories.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For service level agreements or software licensing agreements, see primary* [*0140*](#_0140__)*.*  *For records relating to the disposal of software or equipment, see primary* [*0630*](#_0630__)*.*  *For procurement of software or equipment, see primary* [*0850*](#_0850__)*.*  *For emergency planning and disaster recovery, see primary* [*0235*](#_0235__)*.*  *For records relating to IT infrastructure management, see primary* [*1612*](#_1612__)*.*  **Note: All data stored within the system(s) as well as system(s) documentation (i.e., type of data captured, relations to other systems, purpose, etc.) require individual operational retention and disposition schedules.** | | |

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| --- | --- |
| **Active:** | SO (until replaced, retired, or ended) + 2y |
| **Semi-Active:** | 0y |
| **Digital Records:** | SO+2y |
| **Final Disposition:** | D |

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| --- | --- | --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. | | |
| **Filing Notes:** | - by application  - by system  - by project  - other | | |
| **1612 IT INFRASTRUCTURE MANAGEMENT** | | [**INFORMATION TECHNOLOGY MANAGEMENT**](#_INFORMATION_AND_TECHNOLOGY) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the process of acquiring, planning, designing, developing, testing, implementing, maintaining, converting, and administering access, control, integration, protection and use of information technology systems such as database management, operating systems, e-mail management system, networks, servers, storage, and systems development tools, proposed, active, and inactive systems.  **Examples:**  Back-up logs, back-up procedures, opportunity evaluations/business cases, project charters/plan deliverables, test scripts, router configurations, baseline testing results, diagrams, floor plans, systems procedures, system requirements, change requests, remote device records, encryption records, server upgrades and redesign, server certificates, service requests, patches, project plans, schemas, virtual private network (VPN) requests, functional flow plans, schedules and amendments, risk analysis report, summary reports, status reports, evaluation reports, billing information, sign-off documents, site requests, hardware transfer agreements, hardware inventories, computer identification cards, memoranda of understanding (MOUs), copies of service level agreements, warranty documentation, Request for Proposals (RFPs), Requests for Information (RFIs), usage reports.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For service level agreements or software licensing agreements, see primary* [*0140*](#_0140__)*.*  *For records relating to the disposal of software or equipment, see primary* [*0630*](#_0630__)*.*  *For records relating to the procurement of software or equipment, see primary* [*0850*](#_0850__)*.*  *For records relating to emergency planning and disaster recovery, see primary* [*0235*](#_0235__)*.*  *For records relating to software inventories, see primary* [*1610*](#_1610__)*.*  **Note: All data stored within the system(s) as well as system(s) documentation (i.e., type of data captured, relations to other systems, purpose, etc.)  require individual operational retention and disposition schedules.** | | | |

|  |  |
| --- | --- |
| **Active:** | SO (until application/system/project replaced, retired, or ended) + 2y |
| **Semi-Active:** | 0y |
| **Digital Records:** | SO+2y |
| **Final Disposition:** | D |

|  |  |
| --- | --- |
| **Retention Rationale:** | Retention based on industry standards. |
| **Filing Notes:** | - by hardware name  - by system name  - by asset number  - by RFP/RFI  - by date  - other |

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| --- | --- | --- |
| **1625 IT END-USER SUPPORT** | [**INFORMATION TECHNOLOGY MANAGEMENT**](#_INFORMATION_AND_TECHNOLOGY) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents day-to-day information technology operational support services such as service support for incidents, problems, configurations, and service/help desk management functions.  **Examples:**  Tracking reports, incident reports, statistical reports, request for assistance logs, inquiry logs, password change requests, account creation requests, service requests, inventory lists, and efficiency surveys.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For service level agreements, see primary* [*0140*](#_0140__)*.*  *For training courses, see primary* [*1225*](#_1225__)*.*  *For contingency plans, see primary* [*0235*](#_0235__)*.*  *For records relating to business applications, see primary* [*1610*](#_1610__)*.*  *For records relating to information storage management, see primary* [*1612*](#_1612__)*.* | | |

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| **Active:** | SO (until no longer required) |
| **Semi-Active:** | 0y |
| **Digital Records:** | SO |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by service  - by activity  - by date |

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| **1630 FORMS MANAGEMENT** | [**INFORMATION TECHNOLOGY MANAGEMENT**](#_INFORMATION_AND_TECHNOLOGY) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the analysis, design, use, control, identification, authorization, and preparation of government forms for internal and external uses.  **Examples:**  Master lists, form requests, approvals, branding, and production and form history files, watermarks, and crests.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For records relating to the procurement of forms, see primary* [*0850*](#_0850__)*.* | | |

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| **Active:** | SO (until updated or no longer required) + 1y |
| **Semi-Active:** | 0y |
| **Digital Records:** | SO+1y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by form name  - by unit  - by branch  - by division  - other |

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| **1755 SECURITY OF INFORMATION** | [**INFORMATION TECHNOLOGY MANAGEMENT**](#_INFORMATION_AND_TECHNOLOGY) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the management of security of information in a digital environment.  **Examples:**  Virus warnings, breach reports, investigation findings, security clearances, access rights management, code reviews, audits, CISO/DISO documentation, risk assessments, vulnerability threats, security breach investigations, cyber security, digital signatures, digital certificates, personal non-disclosure agreements, system logs/audit logs, firewall logs, vulnerability checks, information security classifications, data encryption and confidentiality requirements, education and awareness programs, advisory and consultation information.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).*  *For application logs, see primary* [*1610*](#_1610__)*.*  *For system logs, see primary* [*1612*](#_1612__)*.*  *For records relating to privacy breaches, see primary* [*1870*](#_1870__)*.*  *For records relating to complaints about the protection of personal information, see primary* [*1880*](#_1880__)*.*  *For physical security matters, see primary* [*0670*](#_0670__)*.*  *For contingency plans and disaster recovery, see primary* [*0235*](#_0235__)*.*  *For auditing, see primary* [*0145*](#_0145__)*.*  *For incidents involving employees, see primary* [*1050*](#_1050__)*.* | | |

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| **Active:** | SO (until updated, matter resolved, or no longer of administrative use) + 6y |
| **Semi-Active:** | 0y |
| **Digital Records:** | SO+6y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by incident  - by system  - by activity  - by record type  - other |

# **ACCESS, PRIVACY, AND INFORMATION MANAGEMENT 1800 - 1899**

*This function documents the common access to information requests, privacy activities, and information management programs within the organization. The records in this function include Access to Information (ATI) requests, ATI complaints, corrections of personal information, privacy breaches, ATI and privacy program development, consultations, and information management documentation and various other access, privacy, and information management activities.*

**PRIMARY NUMBERS, PRIMARY FUNCTIONS, AND RETENTION SCHEDULES**(ALPHABETICAL LISTING)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| [ATI and Privacy Management and Development](#_1820__) | 1820 | Cy+4y | 5y | SR |
| [ATI – Complaints and Referrals to the Courts](#_1840__) | 1840 | SO+2y | 5y | SR |
| [ATI Requests](#_1830__) | 1830 | SO+2y | 5y | D |
| [Correction of Personal Information](#_1850__) | 1850 | Fy+5y | 0 | D |
| [Delegation of Authority](#_1800__) | 1800 | SO | 3y | SR |
| [Information Management](#_1890__) | 1880 | SO+1y | 0y | SR |
| [Inquiries](#_1810__) | 1810 | Cy+2y | 2y | D |
| [Library Administration](#_1890___1) | 1890 | Cy+1y | 0y | D |
| [Privacy Breaches and Complaints](#_1870__) | 1860 | SO+1y | 5y | SR |
| [Privacy Consultations](#_1880__) | 1870 | SO | 5y | SR |

**PRIMARY NUMBERS, PRIMARY FUNCTIONS, AND RETENTION SCHEDULES**(NUMERICAL LISTING)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **A** | **SA** | **FD** |
| [1800](#_1800__) | Delegation of Authority | SO | 3y | SR |
| [1810](#_1810__) | Inquiries | Cy+2y | 2y | D |
| [1820](#_1820__) | ATI and Privacy Management and Development | Cy+4y | 5y | SR |
| [1830](#_1830__) | ATI Requests | SO+2y | 5y | D |
| [1840](#_1840__) | ATI – Complaints and Referrals to the Courts | SO+2y | 5y | SR |
| [1850](#_1850__) | Correction of Personal Information | Fy+5y | 0 | D |
| [1860](#_1870__) | Privacy Breaches and Complaints | SO+1y | 5y | SR |
| [1870](#_1880__) | Privacy Consultations | SO | 5y | SR |
| [1880](#_1890__) | Information Management | SO+1y | 0y | SR |
| [1890](#_1890___1) | Library Administration | Cy+1y | 0y | D |

|  |  |  |
| --- | --- | --- |
| **1800 DELEGATION OF AUTHORITY** | [**ACCESS, PRIVACY, AND INFORMATION MANAGEMENT**](#_ACCESS,_PRIVACY,_AND) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the delegation of the powers and duties pursuant to section 6 of the *Right to Information and Protection of Privacy Act.*  **Examples:** Delegation of authority, revocations and amendments, delegation of authority table, correspondence, drafts, and approved documentation.  *For signing authority forms and administration, see primary* [*0890*](#_0890__)*.*  *For spending authority administration, see primary* [*0890*](#_0890__)*.* | | |

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| **Active:** | SO (Until replaced by new delegation of authority) |
| **Semi-Active:** | 3y |
| **Digital Records:** | SO+3y |
| **Final Disposition:** | SR |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by department  - by employee  - by other |

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| **1810 INQUIRIES** | [**ACCESS, PRIVACY, AND INFORMATION MANAGEMENT**](#_ACCESS,_PRIVACY,_AND) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents inquiries received from the public, public bodies and non-public bodies and applicable responses on general access to information and privacy matters.  **Examples:** Inquiries and responses, general advice, correspondence.  *For Commissions of Inquiry relations, see primary* [*0175*](#_0175__)*.* | | |

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| **Active:** | Cy+2y |
| **Semi-Active:** | 2y |
| **Digital Records:** | Cy+4y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by inquiry number  - by department  - by surname  - by other |

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| **1820** **ACCESS TO INFORMATION (ATI) AND PRIVACY MANAGEMENT AND DEVELOPMENT** | [**ACCESS, PRIVACY, AND INFORMATION MANAGEMENT**](#_ACCESS,_PRIVACY,_AND) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the planning, development, maintenance, and administration of ATI and privacy management programs, including training and consultations with stakeholders.  **Examples:** Training materials, presentations, project files, standard operating procedures, policies, correspondence, meeting notes, stakeholder consultation documentation, privacy maturity assessments, inventory of personal information holdings, privacy statements and collection notices, drafts and final approved documentation.  *For program management, see primary* [*0305*](#_0305_PROGRAM_MANAGEMENT)*.*  *For project management, see primary* [*0310*](#_0220__PROJECT)*.*  *For reports and statistics, see primary* [*0440*](#_0440__)*.* | | |

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| **Active:** | Cy+4y |
| **Semi-Active:** | 5y |
| **Digital Records:** | Cy+9y |
| **Final Disposition:** | SR |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by date  - by program  - by other |

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| **1830 ACCESS TO INFORMATION (ATI) – REQUESTS** | [**ACCESS, PRIVACY, AND INFORMATION MANAGEMENT**](#_ACCESS,_PRIVACY,_AND) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents requests for information received under the provisions of the [*Right to Information and Protection of Privacy Act*](https://laws.gnb.ca/en/ShowPdf/cs/R-10.6.pdf), Part II and the [*Personal Health Information Privacy and Access Act*](https://laws.gnb.ca/en/showfulldoc/cs/P-7.05/#anchorga:l_2), Part II.  **Examples:** Original request, scope change, acknowledgement letter, notice of extension, notice of transfer, notice of third-party notification, working notes, notification to third parties and consultation with public bodies, briefing materials, response package and cover letter, and information stored in the provincial access to information tracking systems.  *For Requests for information (RFI), see primary* [*1610*](#_1610__)*.*  *For Requests for proposal (RFP), see primary* [*1610*](#_1610__)*.*  *For business applications and IT systems see primary* [*1612*](#_1612__)*.* | | |

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| **Active:** | SO (Until request completed) +2y |
| **Semi-Active:** | 5y |
| **Digital Records:** | SO+7y |
| **Final Disposition:** | D |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by request number  - by department  - by other |

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| **1840 ACCESS TO INFORMATION (ATI) – COMPLAINTS AND REFERRALS TO THE COURTS** | [**ACCESS, PRIVACY, AND INFORMATION MANAGEMENT**](#_ACCESS,_PRIVACY,_AND) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents complaints filed with the Office of the Ombud brought to the public body as part of an informal or formal investigation, including points of discussion raised by the Ombud, the department’s position on these matters, the Ombud’s final conclusions, and the department’s final decision. Also documents referrals filed with the Court of King’s Bench including notice of action, the department’s position on these matters, the court’s ruling, and departmental actions taken to comply with the ruling.   **Examples:** Notice of a new complaint, questions from the Ombud and the department’s response to these questions, working notes, internal correspondence, third party consultation, court documents, briefing notes, legal advice, and formal notice of decision at the conclusion of the investigation.  *For complaints, see primary* [*0205*](#_0210__)*.*  *For Human Rights complaints, see primary* [*1175*](#_1175__)*.*  *For Official Languages complaints, see primary* [*1020*](#_1020__)*.* | | |

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| **Active:** | SO (Until Ombud investigation is closed or a ruling has been made) +2y |
| **Semi-Active:** | 5y |
| **Digital Records:** | SO+7y |
| **Final Disposition:** | SR |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | **Petitions should be placed in the appropriate function file.**  - by complainant name  - by subject  - by other |

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| **1850 CORRECTION OF PERSONAL INFORMATION** | [**ACCESS, PRIVACY, AND INFORMATION MANAGEMENT**](#_ACCESS,_PRIVACY,_AND) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents requests for correction of personal information by individuals under the provisions of the Right to Information and Protection of Privacy Act, Part III and the Personal Health Information Privacy and Access Act, Part II.  **Examples:** Request to correct personal information, response (notification of correction made/not made or annotation) including notification to third parties and public bodies. | | |

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| **Active:** | Fy+5y |
| **Semi-Active:** | 0y |
| **Digital Records:** | Fy+5y |
| **Final Disposition:** | D |

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| --- | --- |
| **Retention Rationale:** | Retention based on the provisions of the [*Right to Information and Protection of Privacy Act*](https://laws.gnb.ca/en/ShowPdf/cs/R-10.6.pdf), Part III and the [*Personal Health Information Privacy and Access Act*](https://laws.gnb.ca/en/showfulldoc/cs/P-7.05/#anchorga:l_2), Part II. |
| **Filing Notes:** | - by surname  - by date  - by subject  - by other |

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| **1860 PRIVACY BREACHES AND COMPLAINTS** | [**ACCESS, PRIVACY, AND INFORMATION MANAGEMENT**](#_ACCESS,_PRIVACY,_AND) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents the management, monitoring, tracking, and reporting of actual and suspected privacy breaches as well as complaints about the protection of personal information and privacy practices of a public body received directly from individuals. Also includes privacy complaints filed with the Office of the Ombud and brought to a public body as part of a complaint investigation.  **Examples:** Privacy breach register, correspondence and notes, privacy breach report forms, correspondence with the Ombud, notification to affected persons and communications both internal and external, risk of harm evaluation, mitigation strategies and corrective measures, Ombud’s final conclusion and recommendations, notice of complaint, and formal notice of decision at the conclusion of a complaint investigation.  *For physical security, see primary* [*0670*](#_0670__)*.*  *For complaints, see primary* [*0205*](#_0200_PROGRAM_MANAGEMENT)*.*  *For Human Rights complaints, see primary* [*1175*](#_1175__)*.*  *For Official Languages complaints, see primary* [*1020*](#_1020__)*.* | | |

|  |  |
| --- | --- |
| **Active:** | SO (Until conclusion of breach or complaint investigation and recommendations made) +1y |
| **Semi-Active:** | 5y |
| **Digital Records:** | SO+6y |
| **Final Disposition:** | SR |

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| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by date  - by subject  - by other |

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| **1870 PRIVACY CONSULTATIONS** | [**ACCESS, PRIVACY, AND INFORMATION MANAGEMENT**](#_ACCESS,_PRIVACY,_AND) | [CPRS 2023](#_Table_of_Contents) |
| **Description:**  Documents advice, opinions, and recommendations related to the assessment of privacy impacts of a program, service, activity, or initiative. Also documents associated privacy risks and mitigation strategies.  **Examples:** Privacy impact assessments and action plans, mitigation strategy and recommendations, privacy opinions, advice and consultation documentation, correspondence, meeting notes, data sharing agreements, privacy protection schedules, data protection addendums or agreements, requests for proposals, threat risk assessments, security opinions, business impact assessments.  *For requests for proposals (RFP), see primary* [*1610*](#_1610__)  *For business applications and IT systems see primary* [*1612*](#_1612__)*.* | | |

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| --- | --- |
| **Active:** | SO (Until termination of program, service, activity, and/or system) |
| **Semi-Active:** | 5y |
| **Digital Records:** | SO+5y |
| **Final Disposition:** | SR |

|  |  |
| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by date  - by subject  - by other |

|  |  |  |
| --- | --- | --- |
| **1880 INFORMATION MANAGEMENT** | [**ACCESS, PRIVACY, AND INFORMATION MANAGEMENT**](#_ACCESS,_PRIVACY,_AND) | [CPRS 2023](#_Table_of_Contents) |
| **Description:** Documents the management of the organization’s records and information resources. Includes activities relating to the creation, capture, classification, management, protection, retrieval, and disposition of records, as well as the development, implementation, and maintenance of records management strategies and programs.   **Examples:** File plans, submissions for schedule approvals, draft records schedules, approved retention schedules, media conversion plans, records management related project development files, records transfer lists, vital records list, disposition notices and authorizations, scanning records project charter, records imaging (digitization), copies of microfilming procedures, microfilm ID sheets, reports of records destroyed in-house, central registry requests, records centre requests, inventories, and microfilm identification sheets.  *If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).  For emergency planning and disaster recovery, see primary* [*0235*](#_0235__)*. For records relating to committees, see primary* [*0185*](#_0185__)*. For records relating to imaging and systems hardware, see primary* [*1610*](#_1610__)*. For records relating to information management software, see primary* [*1610*](#_1610__)*. For records relating to security classification information, see primary* [*1755*](#_1755__)*. For records relating to web classification, see primary* [*0395*](#_0395__)*.* | | |

|  |  |
| --- | --- |
| **Active:** | SO (until updated or no longer of administrative use) + 1y |
| **Semi-Active:** | 0y |
| **Digital Records:** | SO+1y |
| **Final Disposition:** | SR |

|  |  |
| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by activity  - by classification  - by project  - by retention and disposition schedule number  - by transfer number  - other |

|  |  |  |
| --- | --- | --- |
| **1890 LIBRARY ADMINISTRATION** | [**ACCESS, PRIVACY, AND INFORMATION MANAGEMENT**](#_ACCESS,_PRIVACY,_AND) | [CPRS 2023](#_Table_of_Contents) |
| **Description:** Documents the maintenance and repair of library materials, the access, control, protection, management, and use of bibliographic information holdings in all media held by departmental and agency libraries and resource centres; the development, cataloguing and processing of collections; the management of serials; the delivery of documents and interlibrary loans; the circulation and routing of library materials; and reference and user services.   **Examples:** Library materials catalogues, indexes, lists, inventories, meeting notes, plans, reports, cost estimates, user guides, research results, retrievals, training materials, user requests, presentations, and proposals.  *For invoices and purchase orders, see primary* [*0725*](#_0700__)*. For records relating to publishing, see primary* [*0395*](#_0395__)*.  If you are the Office of Primary Responsibility for this function, see associated Operational Retention and Disposition Schedule(s).* | | |

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| --- | --- |
| **Active:** | Cy+1y |
| **Semi-Active:** | 0y |
| **Digital Records:** | Cy+1y |
| **Final Disposition:** | D |

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| --- | --- |
| **Retention Rationale:** | Retention based on anticipated business need. |
| **Filing Notes:** | - by collection  - by accession  - by catalogue number  - other |

## **Appendi****x A – Confidential Records Form**

**Province of New Brunswick**

***Confidential Records Form***

File Number: \_\_\_\_\_\_\_\_\_\_

Cross Reference: \_\_\_\_\_\_\_\_\_\_

Board of Management

Executive Council

Other

Description:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Original Copy Found in File #\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

This form is to be put in file jacket in place of original confidential document. Confidential records are restricted to authorized personnel.

## **Appendix B – Table of Concordance**

|  |  |  |
| --- | --- | --- |
| **SECTION 1**  [**ADM****INIST****RATION**](#_ADMINISTRATION___1)  **0100-0499** | | |
| **CPRS 2010 Edition** | **CPRS 2023 Edition** | **Noteworthy Changes** |
| 0100 Administration – General | 0100 Administration – General |  |
| 0125 Acts and Legislation   Development | 0125 Acts and Legislation   Development |
| 0140 Agreement and Contract   Management | 0140 Agreement and Contract   Management | *Semi-active period increased from 7y to 15y* |
| 0145 Auditing | 0145 Auditing |  |
| 0155 Associations, Clubs, and   Societies Management | 0155 Associations, Clubs, and   Societies Management |
| 0170 Campaigning and   Canvassing | 0170 Campaigning and   Canvassing |
| 0175 Commission and Inquiry   Relations | 0175 Commission and Inquiry   Relations |
| 0185 Committees Management | 0185 Committees Management |
| 0200 Program and Project Management | 0305 Program Management | *Primary separated into two.*  *Total retention was decreased:*  *Original : Cy+4y/10y/SR*  *Current :* ***Program*** *– SO+2y/5y/SR*  ***Project*** *– SO+1y/5y/SR* |
| 0310 Project Management |
| 0205 Complaints Management | 0205 Feedback Management | *Title change* |
| 0210 Conference, Symposia, and Workshop Administration | 0210 Conference, Symposia, and Workshop Administration |  |
| 0215 Policy and Procedures   Development | 0215 Policy and Procedures   Development | *Active period changed from*  *Cy+5y to SO* |
| 0235 Emergency Planning   and Disaster Recovery | 0235 Business Continuity  Planning | *Title change.*  *Final disposition changed to SR* |
| 0240 Memoranda to Executive   Council | 0240 Memoranda to Executive   Council |  |
| 0315 Inventions, Patents, and   Copyrights | 0315 Inventions, Patents, and   Copyrights |
| 0325 Legal Matters  Management | 0325 Legal Matters Management |
| 0330 Legislative Matters   Management | 0330 Legislative Matters   Management |
| 0335 Liaison | 0335 Liaison |
| 0350 Mail, Postal, and Courier   Services | 0350 Mail, Postal, and Courier   Services |
| 0385 Public Relations | 0385 Public Relations |
|  | 0395 Communications and   Publishing | *Schedule moved from IT (Section 5) to Administration and assigned new schedule number.* |
| 0400 Organizational Planning | 0400 Organizational Planning |  |
| 0440 Reporting and Statistics   – General | 0440 Reporting and Statistics –   General |
| 0445 Reporting – Annual | 0445 Reporting – Annual |

|  |  |  |
| --- | --- | --- |
| **SECTION 2**  [**FACILITIES AND ASSET MANAGEMENT**](#_FACILITIES_AND_ASSET)  **0500-0699** | | |
| **CPRS 2010 Edition** | **CPRS 2023 Edition** | **Noteworthy Changes** |
| 0500 Real and Physical   Property Management –   General | 0500 Facilities and Asset Management – General | *Title change.* |
| 0505 Accommodation/Space   Planning | 0505 Accommodation/Space   Planning |  |
| 0510 Buildings, Structures,   and Land – \Management | 0510 Buildings, Structures, and   Land – Management |
| 0515 Buildings, Structures,   and Land – Maintenance | 0515 Buildings, Structures, and   Land – Maintenance |
| 0630 Equipment/Furniture/   Supplies Management | 0630 Equipment/Furniture/   Supplies Management |
| 0640 Clothing Management | 0640 Clothing Management |
| 0650 Vehicle Management | 0650 Vehicle Management | *SO definition expanded to include “transferred to another employee or department”.* |
| 0660 Risk Management,   Accidents, and Insurance | 0660 Risk Management,   Accidents, and Insurance |  |
| 0670 Physical Security | 0670 Physical Security |

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| 0700 Financial Management –   General | 0725 Accounts and Banking | *0700, 0705, 0710, 0720, 0750, and 0790 merged into new primary 0725 Accounts and Banking* |
| 0705 Accounts Reporting and   Reconciliation |
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| 0760 Budgeting – Estimates |
| 0790 Journal Entries | 0725 Accounts and Banking | *0700, 0705, 0710, 0720, 0750, and 0790 merged into new primary 0725 Accounts and Banking* |
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| 1000 Human Resources   Management –General | 1000 Human Resources   Management – General |  |
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| 1050 Employee Records   Management | 1050 Employee Records   Management |
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| 1b Employee Accidents and   Personal Injury | 1b Employee Accidents and   Personal Injury |
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| 3a Employee Performance   Appraisals and Reviews | 3a Employee Performance   Appraisals and Reviews |
| 3b Employee Work Plans | 3b Employee Work Plans |
| 3c Employee Disciplinary   Action | 3c Employee Disciplinary   Action |
| 1055 Employment and   Recruitment | 1055 Employment and   Recruitment | *Active period changed from Cy to Fy to reflect business process of OHR.* |
|  | 1060 Volunteers | *New primary* |
| 1115 Attendance Management | 1115 Attendance Management |  |
| 1120 Occupational Health and   Safety Inspection and   Investigation | 1120 Occupational Health and   Safety Inspection and   Investigation |
| 1125 Worksafe Program –   General | 1125 Workplace Health, Safety,   & Wellness | *Title change.* |
| 1135 Workforce Planning | 1135 Workforce Planning |  |
| 1140 Position Classification | 1140 Position Classification |
| 1165 Payroll Processing | 1165 Payroll Processing |
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| 1600 Information and   Technology Management   – General | 1600 Information Technology   Management – General | *Title change for this primary and section.* |
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| 1612 IT Infrastructure   Management | 1612 IT Infrastructure   Management |
| 1625 IT End User Support | 1625 IT End User Support |
| 1630 Forms Management | 1630 Forms Management |
| 1695 Library Administration | 1890 Library Administration | *Moved to new Access, Privacy and Information Management Section with a new number.* |
| 1720 Communications and   Publishing | 0395 Communications and   Publishing | *Moved to Administration Section with a new number.* |
| 1725 Records and Information   Management | 1880 Information Management | *Moved to new Access, Privacy and Information Management Section with a new number and title.* |
| 1730 Access and Privacy | ***See table below for new primaries*** | *Moved to new Access, Privacy and Information Management Section. Separated into 11 new primaries with varying final dispositions.* |
| 1755 Security of Information | 1755 Security of Information |  |

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| **SECTION 6**  [**ACCESS, PRIVACY, AND INFORMATION MANAGEMENT**](#_ACCESS,_PRIVACY,_AND)  **1800-1899** | | **New Section** |
| **CPRS 2010 Edition** | **CPRS 2023 Edition** |  |
| 1695 Library Administration | 1890 Library Administration | *Moved from Section 5. Has a new schedule number.* |
| 1725 Records and Information   Management | 1880 Information Management | *Moved from Section 5. Has a new schedule number.* |
| 1730 Access and Privacy   *(From IT Management –   Section 5)* | 1800 Delegation of Authority | *New schedule. Final Disposition (FD) = SR* |
| 1810 Inquiries | *New schedule. FD = D* |
| 1820 ATI and Privacy   Management and   Development | *New schedule. FD = SR* |
| 1830 ATI Requests | *New schedule. FD = D* |
| 1840 ATI Complaints and   Referrals to the Courts | *New schedule. FD = SR* |
| 1850 Correction of Personal   Information | *New schedule. FD = D* |
| 1860 Privacy Breaches and   Complaints | *New schedule. FD = SR* |
| 1870 Privacy Consultations | *New schedule. FD = SR* |

## 

## **Appendix C - GLOSSARY**

**Active Records** - Records that are regularly referenced by users and stored on-site.

**Administrative Records** - Records that are common to all government departments and agencies, and support routine “housekeeping” functions such as human resources, finances, facilities, materials, and information management and technology.

**Archives** - Consists of all records in the care, custody, and control of the Provincial Archivist under the *Archives Act*.

***Archives Act***- Provincial legislation setting out the mandate and responsibilities of the Provincial Archivist, including requirements concerning the management of government records.  Also establishes the Public Records Committee, the availability or unavailability of certain classes of government records, and the process which might be used to appeal disputes concerning records

**Background Material** - Includes rough notes, calculations, preliminary drafts, and research notes which are compiled or created in the preparation or analysis of other records, such as correspondence, memoranda, reports, and statistical compilations.  Once the final documents have been produced and are included in an administrative or operational records classification system, these working materials and papers become transitory records.  Some exceptions include working materials relating to legislation, legal documents, and policies.

**Calendar Year** - January 1st to December 31st.  

**Classifying** - Identifying and arranging records in groups or categories according to a pre-determined filing system.  Classification involves determining the subject content of a record, selection of the subject category for filing, and assignment of an appropriate file number for retrieval purposes.  

**Classification System** - A logical, systematic arrangement of records into subject groups or functional categories using numbers or letters, or a combination of the two, for identification.  It allows for the arrangement of files by listing the standard file number, the standard file title, cross references, and explanatory notes.  The main foundation of *CPRS* is the primary number, which is used to classify all information related to a particular subject, regardless of physical format. 

**Coding** - Applying an unique code (e.g. alphabetical, numerical, or alpha-numeric) to identify, and later locate, a file. 

**Confidential Record** - A record containing sensitive information that requires protection against unauthorized access or disclosure.  Confidentiality of information is usually determined by legislation such the *Right to Information Act*, the *Protection of Personal Information Act*, the *Archives Act*, the *Youth Criminal Justice Act*, or any other federal or provincial legislation or convention which limits the unchecked dissemination of information.

**CPRS (Classification Plan and Records Schedules)** - A combined file plan and records retention and disposition schedule established by the Provincial Archivist to apply to administrative records which are common to all government departments and agencies.

**Destroy/Destruction** - The destruction (through means of shredding, recycling, deleting, etc.) of records that no longer have value.  Records may be destroyed only under the authority of an approved *Records Retention and Disposition Schedule*.  Abbreviated as “D”.

**Final Disposition** - The action determined for the disposal of inactive records.  For administrative records, final disposition occurs in one of two ways: 1) records no longer having any value are destroyed, or 2) records with ongoing value are transferred to the Provincial Archives of New Brunswick, where an archivist determines if some or all of them will be preserved.

**Fiscal Year** - The government of New Brunswick’s financial or accounting year:  April 1st to March 31st.  

**Inventory (of Records)** - A detailed examination or listing of a government department or agency’s information holdings; used to assist in developing an effective records management program.

**Operational Records** - Records that are generated by a department or agency in fulfilling its mandate.  Operational records, unlike administrative records, are unique to each department.  Decisions on how long to maintain operational records are made on a case-by-case basis, through the development of an individual *Records Retention and Disposition Schedule*.  *CPRS does not apply to operational records.*

**Permanent Retention** – Records that have continuing value (legal, historical, or fiscal) are therefore permanently preserved (retained) at the Provincial Archives of New Brunswick.

**Primary Number** - A unique four-digit number and unique title, which relates to a function, activity, or general subject.  Primary numbers fall under the six main groups of CPRS.  No records are actually filed at this level.

**Record** - Recorded information, regardless of medium, created or received in the course of government business, and maintained as evidence of such activity.

**Record Series** - A group of similar or related records that are used and filed together as a unit and can be handled as a unit when determining and applying the records’ retention period and final disposition (e.g., employee files).

**Records Centre** - An offsite storage facility where semi-active records are stored in a controlled environment, at low cost.  Records in the Records Centre still belong to the department where they originated and can be retrieved by the department when necessary.

**Records Retention and Disposition Schedule** - A legal document that provides a description of a records series (group of records) and explains the purpose of the records.  It is used to specify the length of time the record must be kept in the office, and how long they must be stored off-site at the Provincial Archives Records Centre.  It also states the final disposition of the record.  *Records Retention and* *Disposition Schedules* are issued by the Provincial Archivist but are agreed to jointly by the records-creating department or agency, and the Archivist.

**Scope Note** - A brief description of the types of records that are filed under a particular primary or subject.

**Secondary** - A subdivision of a primary, where records are actually found/filed.   Secondary numbers are made up of double digits and are added to the primary number to constitute a complete file number.  (See also Primary Number)

**Selective Retention** – One type of “final disposition” whereby records are assessed by an archivist, who determines whether some or all of the records will be permanently preserved or destroyed.  Abbreviated as “SR”.

**Semi-Active Records** - Records that are not frequently accessed by users, and which do not need to be stored in the office.  Semi-active records still have value for a department or agency, but should be stored in an inexpensive, off-site storage facility. (See also Records Centre)  

**Subject Files** - Files that include records which relate to specific subjects or functions and are arranged according to general information content.  The objective of subject filing is to bring together records and information on the same topic, in order to allow for easy retrieval of information and comprehensive referencing of information.

**Superseded or Obsolete** – The process of periodically replacing records, such as a travel policy, with newer, up-to-date information or versions.  Abbreviated as “SO”.  

**Transfer** - The movement of records from a government department or agency to the Provincial Archives Records Centre or to the Provincial Archives of New Brunswick.

**Transitory/Temporary Records** - Records which are only required for a limited period of time, or have temporary usefulness, and are not an integral part of an administrative or operational record series.

**Vital Records** - Records essential for the resumption or continuation of business for a government department or agency in the event of an emergency or disaster.

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