



Library and Archives Canada

Generic Application Guide for the Disposition Authorization for Transitory Records (DA 2016/001)



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The purpose of this generic application guide is to provide general guidance on how to apply the Disposition Authorization (DA) for Transitory Records 2016/001. It should be considered as a starting point and **not a definitive or exhaustive list of all types of records that could be considered transitory**. Individuals should consult their Information Management staff to determine the applicability of the DA within their specific institutional context, and for assistance in identifying the business value attached to information resources.

The DA states:

A.2 Transitory records are not of business value. They may include records that serve solely as convenience copies of records held in a government institution repository, **but do not include any records** that are required to control, support, or document the delivery of programs, to carry out operations, to make decisions, or to provide evidence to account for the activities of government at any time.

Note that while publications are a form of “information resource,” they do not meet the definition of “government record” under the *Library and Archives Canada (LAC) Act* and are therefore not subject to the disposition requirements under Section 12. As a result, DA 2016/001 would not apply.

Questions?

Questions concerning the application or interpretation of Disposition Authorization 2016/001 may be addressed to: BAC.Centredeliasion-Liaisoncentre.LAC@canada.ca.

Document Types	Examples	Notes
<p>Personal Records</p> <p>Records pertaining solely to the private lives of government employees that do not support any aspect of government business</p>	<ul style="list-style-type: none"> • Personal correspondence • Records relating to professional associations in which one takes part as an individual rather than as an official representative of a government institution 	
<p>Blank Information Media</p>	<ul style="list-style-type: none"> • Paper and electronic forms • Stationery • Pre-printed media that were not used to record information • Erased storage media, such as video or audio tapes, diskettes, compact discs, digital video discs, magnetic tapes, hard drives, and other analogue or digital storage media 	
<p>Advertising and Promotional Material</p> <p>Solicited and unsolicited information received from businesses or individuals acting in a business or professional capacity that advertises or promotes products and services</p>	<ul style="list-style-type: none"> • Product bulletins • Course and seminar announcements • Company profiles • Sales letters • Flyers, brochures, menus and catalogues • Free trial CDs or DVDs • Price lists • Direct mail or email notices, also referred to as junk mail and spam • Email messages advertising goods and services 	<p>Does not include</p> <ul style="list-style-type: none"> • Material that has been created by the GC institution • Advertising or promotional material required to document and support a specific transaction or purchase such as price quotations, price and product comparisons

Document Types	Examples	Notes
<p>Externally Sourced Material from a Bulletin Board or Listserv</p> <p>Mass distributed information, not individually addressed to the recipient or the agency</p>	<ul style="list-style-type: none"> • Information received due to membership in a discussion group or listserv • Listserv emails and discussion threads 	
<p>Circulated Internal Information</p> <p>Mass distributed information not meant to result in direct action from the recipient</p>	<ul style="list-style-type: none"> • Bulletins, e-bulletins • Team newsletters • Institutional newsletters • Memoranda and messages addressed to all staff (e.g. large internal distribution lists) about holidays, charity events, office parties, special events, retirements, IT help desk notifications, fire drill notices, etc 	
<p>System Backup Files</p> <p>Routinely made for security of information and emergency system recovery purposes, typically on a daily, weekly, monthly and/or annual basis</p>		<p>System backup files are only required for limited periods of time to meet the requirements of government agencies to restore the original data after a loss event (e.g, deletion or corruption)</p>
<p>Failed Output Records</p> <p>Records that are unusable as a result of a failed output or duplication process</p>	<ul style="list-style-type: none"> • Failed print jobs (printer, photocopier, facsimile, photo finishing) • Failed audio or video reproductions • Outputs resulting from abnormally ended jobs, improper selection criteria and/or programming errors • Photographs eliminated immediately after creation because of poor quality or repetitiveness 	

Document Types	Examples	Notes
<p>Data Input/Entry</p> <p>Forms or other records used to enter data into an electronic system</p> <p>This designation generally applies to information that has been initially recorded in a standardized format</p> <p>Content from the standardized formats is then transferred into an electronic system, where it is subsequently maintained and used as an information resource of business value</p>	<ul style="list-style-type: none"> • Filled in paper forms • Punch cards • Electronic transaction files used to update a master file 	<p>These examples are not automatically transitory records <i>per se</i></p> <p>They should only be considered transitory records if the system(s) that they feed have been identified as the official information resource of business value</p>
<p>Facilitative Records</p> <p>Records that are used solely in the preparation of other records and are not needed once the preparation of other records is completed</p>	<ul style="list-style-type: none"> • Negatives created solely as an intermediate stage in printing operations (such as negatives used to create lithographic or photo off-set plates) • Minor administrative messages such as confirming meeting times • Dictation audio tapes and shorthand notes used by secretarial and processing services, including internal requests for service 	

Document Types	Examples	Notes
<p>Records of Short-term Purpose</p> <p>Records created or received for very minor or short-term informational purposes only, not used to support or document mandated institutional activities</p>	<ul style="list-style-type: none"> • Basic communications (e.g. phone calls, emails, SMS, texts, etc.) such as “please return my call,” “I’m on my way,” “I’m running late” • Routing slips, routine notices • Contact, telephone and distribution lists 	
<p>Drafts</p> <p>Preliminary products that the writer creates in the initial stages of a writing process including incomplete material where a more complete document exists</p>	<ul style="list-style-type: none"> • Document versions showing only editing of spelling and grammar, formatting and/or stylistic changes • Comments on drafts of internal memoranda, routine correspondence, and reports that were incorporated into a final draft • Versions not circulated beyond the author 	<p>Not all drafts are automatically considered transitory</p> <p>Drafts are not transitory when they provide information at key decision points that are not included in the final version of the document</p> <p>In some cases, offices that draft policy, legislation, standards, guidelines, procedures, legal documents, audit reports, etc. may need to track the evolution of the final product very closely</p> <p>Various drafts may therefore need to be kept in order to have a record of the changes made and why</p>
<p>Personal Working Materials</p> <p>Rough notes, calculations, statistics, figures, etc. used in the creation of a more substantive record and not communicated beyond the individual who created them</p>	<ul style="list-style-type: none"> • Personal notes • Flip charts, white boards 	<p>Personal working materials are not transitory if they provide evidence of:</p> <ul style="list-style-type: none"> • formal decisions and approvals • reasons for actions

Transitory Records Decision Diagram

