

# Records Retention and Disposition Schedule

|                                                                        |                             |                                                            |
|------------------------------------------------------------------------|-----------------------------|------------------------------------------------------------|
| <b>Organization Name</b><br>Technology and Innovation<br>** All GoA ** | <b>Org Code</b><br>TI<br>** | Schedule Number/Status<br><b>1995/007-A003</b><br>Approved |
| <b>Program/Service Name:</b><br>Transitory Records                     |                             |                                                            |

## SCHEDULE ADMINISTRATION

| <b>Type:</b><br>Continuing Schedule                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <b>Organization Chart:</b><br><b>External Documents:</b><br><b>Comments:</b> Y |               |                              |               |         |             |          |              |                              |                              |  |  |  |             |               |              |                        |                                                                                                                                                                             |  |  |  |             |               |              |    |                                                                                                              |  |  |  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------|---------------|------------------------------|---------------|---------|-------------|----------|--------------|------------------------------|------------------------------|--|--|--|-------------|---------------|--------------|------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|--|-------------|---------------|--------------|----|--------------------------------------------------------------------------------------------------------------|--|--|--|
| <b>Related Schedule(s):</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                |               |                              |               |         |             |          |              |                              |                              |  |  |  |             |               |              |                        |                                                                                                                                                                             |  |  |  |             |               |              |    |                                                                                                              |  |  |  |
| <b>Cancels/Replaces Schedule(s):</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                |               |                              |               |         |             |          |              |                              |                              |  |  |  |             |               |              |                        |                                                                                                                                                                             |  |  |  |             |               |              |    |                                                                                                              |  |  |  |
| <b>Amendment History</b> <table border="1"> <thead> <tr> <th>Number</th> <th>Amendment to</th> <th>Date Approved</th> <th>Item(s)</th> </tr> </thead> <tbody> <tr> <td>A001(Minor)</td> <td>1995/007</td> <td>Apr 04, 2003</td> <td>1, 2, 2, 2, 3, 3, 3, 4, 5, 6</td> </tr> <tr> <td colspan="4"> <b>Reason for Amendment:</b> </td> </tr> <tr> <td>A002(Major)</td> <td>1995/007-A001</td> <td>Dec 15, 2021</td> <td>01, 02, 03, 04, 05, 06</td> </tr> <tr> <td colspan="4"> <b>Reason for Amendment:</b> Updated Purpose/Function, Brief History, item descriptions, closure criteria, and media. New item added for intermediary/facilitative records.         </td> </tr> <tr> <td>A003(Minor)</td> <td>1995/007-A002</td> <td>Jun 21, 2023</td> <td>03</td> </tr> <tr> <td colspan="4"> <b>Reason for Amendment:</b> Update closure criteria for Item 03 to include drafts that have been abandoned.         </td> </tr> </tbody> </table> |                                                                                | Number        | Amendment to                 | Date Approved | Item(s) | A001(Minor) | 1995/007 | Apr 04, 2003 | 1, 2, 2, 2, 3, 3, 3, 4, 5, 6 | <b>Reason for Amendment:</b> |  |  |  | A002(Major) | 1995/007-A001 | Dec 15, 2021 | 01, 02, 03, 04, 05, 06 | <b>Reason for Amendment:</b> Updated Purpose/Function, Brief History, item descriptions, closure criteria, and media. New item added for intermediary/facilitative records. |  |  |  | A003(Minor) | 1995/007-A002 | Jun 21, 2023 | 03 | <b>Reason for Amendment:</b> Update closure criteria for Item 03 to include drafts that have been abandoned. |  |  |  |
| Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Amendment to                                                                   | Date Approved | Item(s)                      |               |         |             |          |              |                              |                              |  |  |  |             |               |              |                        |                                                                                                                                                                             |  |  |  |             |               |              |    |                                                                                                              |  |  |  |
| A001(Minor)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | 1995/007                                                                       | Apr 04, 2003  | 1, 2, 2, 2, 3, 3, 3, 4, 5, 6 |               |         |             |          |              |                              |                              |  |  |  |             |               |              |                        |                                                                                                                                                                             |  |  |  |             |               |              |    |                                                                                                              |  |  |  |
| <b>Reason for Amendment:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                |               |                              |               |         |             |          |              |                              |                              |  |  |  |             |               |              |                        |                                                                                                                                                                             |  |  |  |             |               |              |    |                                                                                                              |  |  |  |
| A002(Major)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | 1995/007-A001                                                                  | Dec 15, 2021  | 01, 02, 03, 04, 05, 06       |               |         |             |          |              |                              |                              |  |  |  |             |               |              |                        |                                                                                                                                                                             |  |  |  |             |               |              |    |                                                                                                              |  |  |  |
| <b>Reason for Amendment:</b> Updated Purpose/Function, Brief History, item descriptions, closure criteria, and media. New item added for intermediary/facilitative records.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                |               |                              |               |         |             |          |              |                              |                              |  |  |  |             |               |              |                        |                                                                                                                                                                             |  |  |  |             |               |              |    |                                                                                                              |  |  |  |
| A003(Minor)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | 1995/007-A002                                                                  | Jun 21, 2023  | 03                           |               |         |             |          |              |                              |                              |  |  |  |             |               |              |                        |                                                                                                                                                                             |  |  |  |             |               |              |    |                                                                                                              |  |  |  |
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| <b>Schedule Transfer History</b><br>----- None -----                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                |               |                              |               |         |             |          |              |                              |                              |  |  |  |             |               |              |                        |                                                                                                                                                                             |  |  |  |             |               |              |    |                                                                                                              |  |  |  |
| <b>Schedule Cancellation History</b><br>----- None -----                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                |               |                              |               |         |             |          |              |                              |                              |  |  |  |             |               |              |                        |                                                                                                                                                                             |  |  |  |             |               |              |    |                                                                                                              |  |  |  |

## SCHEDULE APPROVALS

|                                                                                                                                                    |                           |
|----------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|
| <b>Senior Program Manager:</b> Original Signed by, Senior Program Manag                                                                            | <b>Date:</b> Nov 19, 2021 |
| <b>Senior Records Officer:</b> Johnson, Maurine                                                                                                    | <b>Date:</b> Jun 21, 2023 |
| <b>ARMC Committee:</b> Secretary, ARMC                                                                                                             | <b>Date:</b> Jun 21, 2023 |
| APPROVED IN ACCORDANCE WITH RECORDS MANAGEMENT REGULATION (A.R. 224/2001) AND GOVERNMENT ORGANIZATION ACT (R.S.A. 2000, Chapter G-10, Schedule 11) |                           |

## PROGRAM/SERVICE INFORMATION

### Purpose/Function

Under the Government of Alberta's records management program, all recorded information in the custody or under the control of government is considered a record, regardless of its business, historical or legal value. Section 1(q) of the *Freedom of Information and Protection of Privacy Act*, RSA 2000, c F-25 ("FOIP") defines a record as "a record of information in any form and includes notes, images, audiovisual recordings, x-rays, books, documents, maps,

drawings, photographs, letters, vouchers and papers and any other information that is written, photographed, recorded or stored in any manner, but does not include software or any mechanism that produces records”.

All records in the custody or under the control of government must be disposed of in accordance with an approved records retention and disposition schedule, and are subject to FOIP and litigation holds.

Transitory records contain information in any format that is of temporary or limited usefulness. Transitory records may be used in the preparation of more complete records such as those that document actions, recommendations, opinions, decisions, approvals, or the creation and modification of policy instruments. However, transitory records are not relied on as evidence of government activities, events or transactions or to understand the delivery of programs or services.

### **Brief History**

|               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|---------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Prior to 1973 | Legislation defined what a public document was and established retention periods for records. The Lieutenant Governor in Council was responsible for ordering the destruction of public records.                                                                                                                                                                                                                                                                                                                                                                                                         |
| 1973          | The <i>Alberta Heritage Act</i> , 1973, SA 1973, c. 5, delegated responsibility for “the preparation and implementation of an interdepartmental records management program” to the Minister of Culture, Youth and Recreation.                                                                                                                                                                                                                                                                                                                                                                            |
| 1974          | ‘Schedule A’ of the Public Records Regulation (AR 283/74) listed five classes of documents that are essentially what today is considered to be transitory and deemed that these records were not to be considered ‘public records’: “a calculation or draft”, “a printer’s proof”, “a duplicate or extra copy”, “a superseded directive or instruction received” and “a letter on a subject matter that is ephemeral and of no lasting importance.”                                                                                                                                                      |
| 1975          | The <i>Department of Government Services Act</i> , SA 1975, c. 11, transferred responsibility for the records management program to the Minister of Government Services and required that public records were to be dealt with by departments only in accordance with records schedules.                                                                                                                                                                                                                                                                                                                 |
| 1978          | The term ‘non-record material’ was first used in Government of Alberta guidance documents to refer to transitory records.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| 1983          | The Public Records Regulation (AR 373/83) redefined ‘public record’ to include the previously excluded classes of documents from 1974, but allowed for the destruction of ‘superfluous copies’ of those documents providing the departments maintained master files.                                                                                                                                                                                                                                                                                                                                     |
| 1995          | The <i>Freedom of Information and Protection of Privacy Act</i> , SA 1994, c. F-18.5 (“ <i>FOIP Act</i> ”) came into force. The Records Management Regulation (AR 57/95) repealed the Public Records Regulation (AR 373/83). The new regulation adopted the definition of a record used in the <i>FOIP Act</i> and required that all records be disposed of using an approved records retention and disposition schedule. The term “transitory record” was first introduced into the Government of Alberta’s records management program with the approval of the Transitory Records Schedule (1995/007). |

### **Mandate/Legal Authority**

*Government Organization Act*, RSA 2000, c. G-10  
Records Management Regulation, AR 224/2001

## **OPINIONS**

No Opinions Requested.

## **SCHEDULE ITEMS**

### **01 Temporary Records**

Records created or received for minor or immediate informational purposes only. These records are not required to document or support a business transaction; meet legal or financial obligations; or initiate, sustain, evaluate or provide evidence of decision-making activities.

#### **INCLUDES:**

- records/data used only for the purpose of testing system performance;
- routine or casual communications often addressed to multiple recipients, and published or circulated for information or general instruction only;
- “FYI” notices regarding invitations, announcements, holidays or special events circulated to multiple recipients or posted in public folders; and
- envelopes and fax cover sheets sent or received where evidence of contact or receipt are not required.

**DOES NOT INCLUDE:**

- information that provides evidence of contact or receipt, such as envelopes, fax cover sheets and emails that accompany an application, tender submission or a response to an enquiry; and
- records related to the development, design, approval and circulation of communications, but not including drafts or working documents (see Item 03 for the management of drafts and working documents).

**Date Range:** 1905 to date

**Media:**

**Other:** All media

**Legal Reference:**

**POPA Ref :**

|                                                                                                                                                               |                                        |                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------|
| <b>Closure Criteria:</b><br>Business use ends                                                                                                                 | <b>Retention On-site:</b><br>0 Year(s) | <b>Retention Off-site:</b><br>0 Year(s) |
| <b>Concurrence Conditions:</b><br>Providing no outstanding litigation or litigation that is reasonably anticipated and providing no outstanding FOIP requests | <b>Final Disposition:</b> Destroy      |                                         |

**Items to be cancelled:**

None

## 02 Intermediary/Facilitative Records

Records created or used solely in the process of creating a subsequent record. To qualify as an intermediate record, there must not be a legal requirement to retain the original record. In such cases, once the information from the original record is incorporated into a subsequent record in accordance with existing policy and procedure, the original record is no longer required to meet legal or financial obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making activities.

**INCLUDES:**

- electronic transaction files or input/output files used to update a master file or database (once the master file or database is updated);
- ad hoc reports from electronic systems used to create a subsequent report (once the subsequent report is created);
- audio and video recordings of meetings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created); and
- repositories set up to temporarily hold application data stored electronically via e-forms or web forms prior to the data being validated and uploaded into production environments (e.g. business applications).

**DOES NOT INCLUDE:**

- audio and video recordings of meetings or hearings containing personal information used to make a decision;
- data extracts produced by a process that results in the content of the file being significantly different from the source file; and
- system logs.

**Date Range:** 1905 to date

**Media:**

**Other:** All media

**Legal Reference:**

**POPA Ref :**

|                                                                                          |                                        |                                         |
|------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------|
| <b>Closure Criteria:</b><br>Verification of data or information transposed and validated | <b>Retention On-site:</b><br>0 Year(s) | <b>Retention Off-site:</b><br>0 Year(s) |
| <b>Concurrence Conditions:</b><br>Providing no outstanding litigation or                 | <b>Final Disposition:</b> Destroy      |                                         |

|                                                                                      |
|--------------------------------------------------------------------------------------|
| litigation that is reasonably anticipated and providing no outstanding FOIP requests |
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**Items to be cancelled:**

None

**03 \* Drafts and Working Materials**

Preliminary versions and working materials created, collected, and used in the preparation of more substantial drafts or final documents. Once the final version of a document is completed and stored in an approved information management system (as the official record), most drafts and working materials will not be required to meet legal or financial obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making activities.

**INCLUDES:**

- draft versions of correspondence and reports;
- research and working materials not required to support the final record;
- rough drafts and calculations;
- drafts produced for proof reading or internal discussion;
- drafts with minor edits and no significant changes; and
- incomplete drafts not intended for use or reference.

**DOES NOT INCLUDE:**

- drafts, research and working materials related to the development of Government of Alberta:
  - o cabinet submissions;
  - o legislation (acts, regulations, orders-in-council);
  - o legal documents (contracts, agreements, etc.);
  - o policy instruments (directives, standards, procedures, guidance, strategies, frameworks, etc.);
  - o communications materials (publications, posters, films, etc.);
- drafts that provide information at key decision points not included in the final version of the document;
- drafts that provide evidence of new/significant decisions, reasons or actions or formal approvals;
- working notes and notebooks used to record details to support other activities such as investigations, inspections or field activities; and
- scientific research (laboratory notes, calculations, raw data, etc.).

**Date Range:** 1905 to date**Media:****Other:** All media**Legal Reference:****POPA Ref :**

|                                                                                                                                                               |                                        |                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------|
| <b>Closure Criteria:</b><br>Final version completed and filed, or drafts abandoned                                                                            | <b>Retention On-site:</b><br>0 Year(s) | <b>Retention Off-site:</b><br>0 Year(s) |
| <b>Concurrence Conditions:</b><br>Providing no outstanding litigation or litigation that is reasonably anticipated and providing no outstanding FOIP requests | <b>Final Disposition:</b> Destroy      |                                         |

**Items to be cancelled:**

None

**Reason for Amendment A003:** Update closure criteria to include abandoned drafts and fix missing bullet

**04 Duplicate Records**

Exact copies of documents where nothing has been added, changed or deleted, and the official record has been stored in an approved information management system. Duplicates do not contain unique information and are not required to meet legal or financial obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making activities.

**INCLUDES:**

- photocopies of paper documents;

- copies of government brochures and pamphlets;
- duplicates of microfilm or storage devices;
- duplicate audio or video recordings;
- printouts of microfilmed or imaged documents, email or instant messages or other electronic documents that are not the official record to be stored in an approved information management system;
- data files output from electronic systems, created for the purpose of information sharing or reference; and
- copies of emails or documents located within the Government of Alberta environment that have been stored in approved information management systems.

**DOES NOT INCLUDE:**

- imaged source records;
- duplicate records in the same or different format used for a purpose other than convenience or reference;
- copies of records created externally which have affected decision-making or policy;
- copies containing unique information with business value not found in the official record;
- annotated copies providing evidence of significant input; and
- duplicate records such as backups and security copies created for the purpose of business continuity and disaster recovery.

**Date Range:** 1905 to date

**Media:**

**Other:** All media

**Legal Reference:**

**POPA Ref :**

|                                                                                                                                                               |                                        |                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------|
| <b>Closure Criteria:</b><br>Business use ends                                                                                                                 | <b>Retention On-site:</b><br>0 Year(s) | <b>Retention Off-site:</b><br>0 Year(s) |
| <b>Concurrence Conditions:</b><br>Providing no outstanding litigation or litigation that is reasonably anticipated and providing no outstanding FOIP requests | <b>Final Disposition:</b> Destroy      |                                         |

**Items to be cancelled:**

None

## 05 Blank Information Media

Blank information media includes anything that was intended to be used for collecting or storing information but was not used, or has been used and erased, and has become obsolete.

**INCLUDES:**

- obsolete stationery (envelopes and letterhead);
- outdated blank forms, cheques or tickets; and
- erased storage media, such as video or audio tapes, diskettes, compact discs, digital video discs, magnetic tapes, and other analogue or digital storage media.

**DOES NOT INCLUDE:**

- hard drives, cellphones, and tablets; and
- records related to the development, design, approval and production of the media.

**NOTE:**

There are special procedures that must be followed for the disposal of controlled products such as sequentially numbered forms, cheques and violation tickets.

**Date Range:** 1905 to date

**Media:**

**Other:** All media

**Legal Reference:**

**POPA Ref :**

|                                                                               |                                        |                                         |
|-------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------|
| <b>Closure Criteria:</b><br>Media obsolete or no longer used by business area | <b>Retention On-site:</b><br>0 Year(s) | <b>Retention Off-site:</b><br>0 Year(s) |
| <b>Concurrence Conditions:</b><br>Providing no outstanding litigation or      | <b>Final Disposition:</b> Destroy      |                                         |

|                                                                                      |
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| litigation that is reasonably anticipated and providing no outstanding FOIP requests |
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**Items to be cancelled:**

None

**06****Solicited or Unsolicited Material**

Information received or collected by an employee, contractor, consultant, or a business area for information or reference purposes only, or received from businesses or individuals acting in a business or professional capacity advertising or promoting products or services.

**INCLUDES:**

- bulletins;
- course listings;
- brochures;
- company profiles;
- sales letters;
- menus;
- catalogues;
- price lists;
- spam and junk mail;
- media reports and press clippings; and
- external publications or newsletters.

**DOES NOT INCLUDE:**

- material created internally;
- material created for the Government of Alberta by an external third party;
- material received pertaining directly to the recipient's office or official capacity (write-in campaigns or organized efforts to petition/correspond with officials); and
- material required to document or support a business transaction with an external third party.

**Date Range:** 1905 to date**Media:****Other:** All media**Legal Reference:****POPA Ref :**

|                                                                                                                                                               |                                        |                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------|
| <b>Closure Criteria:</b><br>Business use ends or replaced by a newer version                                                                                  | <b>Retention On-site:</b><br>0 Year(s) | <b>Retention Off-site:</b><br>0 Year(s) |
| <b>Concurrence Conditions:</b><br>Providing no outstanding litigation or litigation that is reasonably anticipated and providing no outstanding FOIP requests | <b>Final Disposition:</b> Destroy      |                                         |

**Items to be cancelled:**

None

**COMMENTS**

Reason for Amendment A001: The Transitory Records Schedule is amended to make the content consistent with the publication: "Official and Transitory Records: A Guide for Government of Alberta Employees" (2002). The items have been rearranged into alphabetical order and renumbered, some item titles have been modified and the item descriptors have been simplified. No changes were made to the closure criteria, retention periods or final disposition of any of the items. (G. Evans, October 17, 2002) The Provincial Archives concurs. W.M. (October 28, 2002) (TRANSFER) 8/1/2007 Comments: Please amend to include all GoA ministries SRO: Hollow,Damian. (TRANSFER) 8/7/2007 Comments: Please add GoA as secondary org. SRO: Hollow,Damian.