

Report on Operational Case File Records Covered by RDA 2005/006

General Directions

1. MIDA 2005/006 applies *only* to records where there is **no** RDA coverage (MIDA Terms and Conditions – Section B). If current ISDA coverage is unsatisfactory, contact your portfolio archivist to discuss possible solutions.
2. MIDA 2005/006 can only be applied to case file records series that meet the **three-part definition** identified in Section A of the MIDA's Terms and Conditions. The following questions are provided to assist you in determining if a series meets this definition.
 - i. **Do these records document a single type or series of repetitive transaction(s) within a single business process relating continuously to a particular item, object, entity, person, event or thing?**

☐ YES

☐ NO

If yes, what is this transaction?

- a. Applying for a benefit such as:

- ☐ a grant
- ☐ financial assistance
- ☐ a license
- ☐ a pension
- ☐ other

- b. Applying for civil status such as:

- ☐ an immigrant
- ☐ a refugee

- c. Investigating an occurrence or event such as:

- ☐ a criminal act
- ☐ an accident
- ☐ a civil matter
- ☐ other

- d. Making a claim against the government for:

- ☐ personal injury
- ☐ other

- e. Appealing a decision such as

- ☐ a rejection of a benefit
- ☐ other

- g. Other; please specify: _____

ii. Do these files contain replicated documentation in standardized formats and structures?

☐ YES ☐ NO

The following are examples of records in standardized formats*. Please check all that apply:

- | | | |
|---|--|---------------------------------------|
| <input type="checkbox"/> forms | <input type="checkbox"/> receipts | <input type="checkbox"/> spreadsheets |
| <input type="checkbox"/> pro forma letters and memos | <input type="checkbox"/> announcements | <input type="checkbox"/> contracts |
| <input type="checkbox"/> bulletins | <input type="checkbox"/> invoices | <input type="checkbox"/> reports |
| <input type="checkbox"/> vouchers | <input type="checkbox"/> payments | |
| <input type="checkbox"/> other; please specify: _____ | | |

* If the files do not contain standardized forms, is there a standardized structure dictated by a set of procedures?

☐ YES ☐ NO

Please note that if supporting documentation within the case files includes any of the following, then these records do not meet the defining criteria for what is a case file record and the Case File MIDA cannot be applied: meeting minutes of committees (in their entirety), policy statements, agreements between various federal government departments or with provinces and territories, and/or other subject-based records.

iii. Do these records document transactions that have a definite beginning and an end within the same case file regardless of the size of the file or number of records within the file? And what is the event that triggers the opening and closing of the file?

If you answered **YES** to all of the above, these records **are** case files records as per the three-part definition of MIDA 2005/006.

- For further guidance on the application of MIDA 2005/006, please consult the *Application Guide* available at <http://www.collectionscanada.gc.ca/information-management/007/007007-1043-e.html>
- Institutions must submit the *Institutional Report* to LAC (Centre.Liaison.Centre@lac-bac.gc.ca) via a *single, designated office*. Reports from more than one office within an institution will *not* be accepted.

Directions for Completing the Report

Record Series Name: This information should be as complete and descriptive as possible to ensure accurate identification of the records in question.

A **series** is a group of files or documents arranged systematically or maintained as a unit, either physically or intellectually, because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, or have some other relationship arising out of their creation, receipt, maintenance, or use. (from the *Application Guide* for the Case File MIDA).

File Number: This information should be as complete and descriptive as possible to ensure accurate identification of the records in question. It should include all file numbers (including primaries, secondaries or tertiaries) used for that particular record series, including regional and headquarters variations.

Media: GC institutions must describe the media of the records they are addressing. Media includes textual, electronic, microform, cartographic, architectural, technical drawings, photographic, art, audio-video and motion picture film records. The records can also be a mix of one or more media.

Applicable archival criteria: Institutions are asked to determine if any of the records identified as case file records have archival value as per Section C of the Terms and Conditions for RDA 2005/006. If the records fall into one or more of the categories for archival value then all applicable criteria must be listed in this report. If the records are not archival, no criteria apply. GC institutions should then indicate N/A and skip to column, "Current rate of file/record creation".

Headquarters and Regional Offices: If records in the series have been identified as archival, GC institutions must identify if these records are held at their headquarters offices, regional offices or both. To avoid transfer of duplicate records, LAC only acquires records from one source which represents the most complete operational record (i.e. annotated copies, legal copies, etc.). GC institutions should describe the purpose of the different copies of records series held at its various offices.

Current rate of file/record creation: Where possible, GC institutions are asked to document the current rate of record creation in order for LAC to anticipate the volume of records to be transferred or disposed of under the Terms and Conditions of MIDA 2005/006. This can be expressed in feet / metres or bytes per year. If there are mixed media, indicate the current rate of creation.

Extent of records in dormant storage: Where possible, GC institutions are asked to document the extent of records in dormant storage in order for LAC to anticipate the volume of records to be transferred or disposed of under the Terms and Conditions of MIDA 2005/006. This can be expressed in feet / metres or bytes. If there are mixed media, indicate the current rate of creation.

Example of a Completed Institutional Report

| Name of Institution: Canoe Canada | | | | | | | |
|--|---|---------------------|--|---|--|---|---|
| No. of Case File Records Series covered by this Report: 2 | | | | | | | |
| Will the institution be submitting any further Institutional Reports? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No | | | | | | | |
| Name of Case File Record Series | File Number / Primary / Secondary / Tertiary | Media | Applicable Archival Criteria | Headquarters Records with Archival Value? | Records in the Regions with Archival Value (Include geographic location)? | Current rate of file creation <small>(i.e. 250,000/year or bytes/year)</small> | Extent of records in dormant storage <small>Files / linear feet / metres / bytes</small> |
| Annual Canoe License Applications | 8123-3 | textual, photograph | N/A | N/A | N/A | 7000/year | 2500 m |
| Sustainable Inland Portage Development Program – Funding Agreements | 8456-5 | textual, photograph | #3 – <u>Some</u> projects for which funding is provided require intervention from Deputy Head or Minister responsible for institution. | Yes – original copies of project funding requests located in HQ directorate mandated to undertake this program activity, with copies related to landmark projects located in DMO. | No – copies of funding requests located in Quebec and Northwest Prairies regional offices for reference/ information purposes only to support locally mandated related activities. | 300/year | 700 m |

Explanation

Annual Canoe License Applications (Non-archival Records)

A *Defining series records as “case files” – application of the three-part definition:*

1. This particular file series pertains only to one business process: that of license application and granting. Although applicant or vessel information may be used as supporting documentation for other transactions, separate files are created outside of this series to document these transactions, or other activities of the same applicant or vessel.

In the above example, the file number cited is 8123-3. The 8123 primary pertains to canoe licensing and the secondary, -3, pertains to the application for a canoe license.

2. File contents consist of a completed standardized application form and supporting documentation, including applicant information and photographs of the vessel for which licensing is requested. In some cases, a file may include copies of incident/activity reports related to the vessel, or copies of license applications for previous years, but the basic structure of each individual file consists of documents relating to the license application and granting process.
3. Licenses for individual vessels are valid for one year only, and individuals must reapply each year for their annual license. Each yearly application represents a separate transaction where a new file is opened and subsequently closed during the year in which the application is made once the license has been granted. Each file therefore has definite and identifiable opening and closing dates.

B *Do the files have archival value?*

In the first sample series, the records contained therein are identified as *not* being nationally significant as per the seven criteria for archival value, and are thereby deemed non-archival. The files are routine in nature, and their content does not include material concerning the protection of rights, significant citizen obligations, judicial decisions, high-level management decisions, federal responsibility in the areas of compensation and fiduciary obligations, treaty responsibilities or claims, investigative activities of national significance, or research activities in cultural, social and scientific domains.

Sustainable Inland Portage Development Program – Funding Agreements (Archival Value)

A *Defining series records as “case files” – Application of three-part definition:*

1. The files in this series document requests for funding to support development of sustainable, eco-friendly portage routes in Canada, and the contribution arrangement between Canoe Canada and the requester which are subsequently made for each project. These files do not contain studies, reports, or analyses of individual projects for which funding is granted, but are simply focussed on documenting the process of requesting and awarding a financial contribution.

In this example, the file number cited is 8456-5. The 8456 primary pertains to the sustainable inland portage development program and the secondary, -5, pertains to funding agreements.

2. Because the same information and supporting documentation is required for each application, individual file contents resemble each other in terms of structure. However, the documents submitted in the application process are not necessarily in a standard format.
3. Files are opened when a request for funding is submitted, and are closed (1) if the request is rejected, or (2) if accepted, at the end of the fiscal year when the requester has submitted all documentation required to release the final payment under the funding agreement (generally March 31 of a given year).

B *Do the files have archival value?*

In the second sample series listed above, a selection of the records contained therein are identified as being nationally significant as per criterion #3 for archival value. Although case files created as a result of applications for funding are not generally considered archival, some of the records in this series involve projects requiring negotiations with other federal departments, provincial and/or municipal governments, or private individuals. As such, they sometimes require the approval of the Deputy Head or Minister responsible for Canoe Canada. In such cases, sufficient volume of archival files (i.e. all files approved or rejected at this level, and excluding those requests which were withdrawn by applicants) should be segregated from the non-archival files and transferred to LAC.

Template for the Institutional Report

| Name of Institution: | | | | | | | |
|--|--|-------|------------------------------|---|---|---|---|
| No. of Case File Records Series Covered by this Report: Will there be further Institutional Reports submitted by the institution? ____ Yes ____ No | | | | | | | |
| Name of Case File Record Series | File Number / Primary / secondary / tertiary | Media | Applicable Archival Criteria | Headquarters Records with Archival Value? | Records in the Regions with Archival Value (Include geographic location)? | Current rate of file creation <small>(i.e. 250,000/year or bytes/year)</small> | Extent of records in dormant storage <small>Files / linear feet / metres / bytes</small> |
| | | | | | | | |
| | | | | | | | |

Completed by: _____
 Date: _____
 Contact information: _____
