

Government of Alberta Business Continuity Planning Process

Identifying Potential Vital Records

The purpose of this list is to help Vital Records Coordinators identify the types of records that **might** require protection as Vital Records in a ministry and/or in central, enterprise programs. Potential types of records are organized into five main categories.

Not all types of records are relevant for all ministries. Each organization must decide which records they need to support their response to emergency situations and disasters, and resumption of services and operations.

This list will be revised as Vital Records Coordinators gain experience working with other members of their Business Continuity Planning Teams and cross-government resources.

1. **Vital Records Required to Activate and Continue BC Procedures**

1.1 Operations

- Emergency response plans and procedures.
- Business continuity plans and procedures.
- Emergency staffing assignments, including:
 - Call hierarchy / fan-out
 - BCP personnel and their alternates, with their access information
 - Employee work and home telephone / e-mail addresses
 - Employees requiring special evacuation procedures
 - Strategy for organization leadership
 - Lines of authority in the succession plan
 - Policy for duration and extent of authority
 - Contingency plan for re-establishing authority
 - Organization charts.
- Contracts and agreements with all disaster support agencies and businesses, including salvage and reconstruction, alternative sites and vendors of equipment and supplies.
- **NB:** Records required to fulfill the ministry's specific responsibilities for government support during an incident as assigned in the [Government Emergency Management Regulation](#).
- **NB:** The log (hardcopy or electronic) in which the emergency management and/or business continuity teams record decisions and actions when dealing with an incident.

1.2 Infrastructure and Equipment:

- Plans and charts of physical infrastructure.
- Emergency operations center access.
- Building plans and building systems operations manuals.

- Inventory of essential equipment with operating instructions:
 - Fire apparatus
 - Communications equipment
 - Rescue equipment
 - Heavy machinery
 - Medical equipment and supplies
- Computer equipment, operating instructions and supplies.
- Documentation and procedures for computer applications.
- Emergency systems – systems documentation.
- Alternates facilities and field offices.
- Business policies and procedures.
- Office supplies.

1.3 Vital Records:

- Inventories of vital records related to Critical, Vital, Necessary and Desired Services.
- Indexes, registers, files plans and other tools for records search and retrieval.
- Floor plans of vital records locations.
- Priorities for protection and recovery of vital records.
- Arrangements for records relocation and contact persons.
- Records restrictions and access conditions.

1.4 External Contacts:

- Key municipal agencies and contacts.
- Local utility companies.
- Instructions for contacting outside organizations - why, what role and services?
- Maps of the areas.
- List of hospitals and care facilities.
- List of pertinent customers.
- List of television, radio and newspaper telephone, addresses and e-mail addresses, fax numbers.
- List of vendors.

2. Vital Records to Support Critical, Vital, Necessary and Desired Services

- Current client / customer / stakeholder / partner / service-provider files.
- Policies relating to programs.
- Standard operating procedures to initiate and conduct service processes.
- Forms – the most important forms for each program or service.
- Other required records as determined by the organization.

Note: Alberta Municipal Affairs defines the following service categories and resumption criteria:

Critical Services: Must be provided *immediately* (within 24 hours), or will *definitely* result in loss of life, infrastructure destruction, loss of confidence in the government, or significant loss of revenue.

Vital Services: Must be provided within 3 days (72 hours), or will *likely* result in loss of life, infrastructure destruction, loss of confidence in the government, significant loss of revenue, or disproportionate recovery costs.

Necessary Services: Must be provided within 2 weeks, or *could* result in considerable loss, further destruction or disproportionate recovery costs.

Desired Services: Could be delayed for 2 weeks or longer, but are *required* in order to return to normal operating conditions and alleviate further disruption or disturbance to normal conditions.

Note: Many of an organization's records are outside the scope of these definitions. It might be inconvenient to return to pre-incident operations without them, but they are not *absolutely required* to carry on.

3. **Vital Records Needed to Preserve Legal and Financial Rights and Obligations**

- Records that must be presented as evidence to owners, creditors, debtors, governments and insurance organizations.
- Records of ownership (property, equipment, vehicles, products, intellectual property), interest, legal status, party to a contract or agreement, and employment.
- to collect outstanding receivables.
- to protect against unjust claims.
- to comply with acts and regulations.
- Employee, pay and pension records.
- Insurance records.
- Lists of bonds, debentures, insurance records, and securities investment records, including those held in trust.
- Revenue records.
- Financial records of public bodies not under Finance/Revenue jurisdiction.
- Records pertaining to the purchase of, payment for, provincial lands by the public.
- Leases, deeds, transfers, agreements, contracts, easements and attachments.

4. **Vital Records Needed to Establish Government Authority**

- Acts
- Regulations
- Orders-in-Council
- Ministerial Orders
- Treasury Board minutes
- Alberta Gazette

- Memoranda of understanding with other bodies.

5. Other Records to Consider for Protection?

- ? Field survey books, and indexes relating to lands, forests, mines, agriculture.
- ? Research and technical data, including maps, plans and charts that are irreplaceable, and special studies and surveys covering long periods of years and considerable expense.
- ? Current or unaudited accounting and tax records, current personnel and payroll records.
- ? Work in progress such as customer negotiations, orders received but not processed, laboratory notebooks and other research materials.
- ? Major projects under consideration or development.