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Emergency Preparedness  
Canada

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# *GUIDE TO THE PRESERVATION OF ESSENTIAL RECORDS*

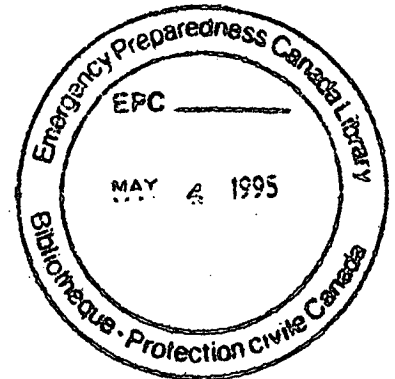


## EMERGENCY PREPAREDNESS CANADA

NUMBER	TITLE
EPC 1/	RUSTIC PLAN (Confidential)
EPC 2/	PLANNING GUIDANCE TO A NUCLEAR ATTACK ON NORTH AMERICA IN THE 1980s
EPC 3/	BOMB THREAT MANUAL
EPC 4/	EMERGENCY PREPAREDNESS CANADA READINESS PLAN (WAR) (Restricted)
EPC 5/	GOVERNMENT OF CANADA ALERT ORGANIZATION INSTRUCTIONS (Restricted)
EPC 6/	MANUAL OF RESPONSIBILITIES AND PROCEDURES IN PEACETIME EMERGENCIES OR DISASTERS
EPC 7/	EMERGENCY GOVERNMENT HEADQUARTERS OPERATIONAL PROCEDURES PLANNING GUIDE (Restricted)
EPC 8/	EMERGENCY GOVERNMENT HEADQUARTERS STAFF PROCEDURES PLANNING GUIDE (Restricted)
EPC 9/	CIVIL EMERGENCY COMMUNICATIONS OPERATION GUIDE
EPC 10/	A GUIDE TO CIVIL EMERGENCY PLANNING FOR MUNICIPALITIES
EPC 11/	NUCLEAR WEAPONS EFFECTS
EPC 12/	GUIDE TO THE PRESERVATION OF ESSENTIAL RECORDS
EPC 13/	CONCEPTS OF EMERGENCY OPERATIONS IN THE LIFE-SAVING PERIOD
EPC 14/	STANDING OPERATING PROCEDURES FOR STAFFING THOSE POSITIONS ASSIGNED TO CANADA IN THE NATO CIVIL WARTIME AGENCIES (Confidential)
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EPC 17/	CENTRAL RELOCATION UNIT OPERATIONAL PROCEDURES AND ADMINISTRATIVE INSTRUCTIONS (Restricted)
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EPC 19/	OMNIBUS, AN EMERGENCY WARNING SYSTEM FOR PUBLIC SERVICE EMPLOYEES OF THE NATIONAL CAPITAL REGION
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EPC 21/	PROCEDURES FOR THE COORDINATION OF CRISIS MANAGEMENT OPERATIONS
EPC 22/	DISASTER FINANCIAL ASSISTANCE ARRANGEMENTS
EPC 23/	NATIONAL EMERGENCY AGENCY PLANNING GUIDELINES
EPC 24/	JOINT EMERGENCY PREPAREDNESS PROGRAM
EPC 25/	PROCEDURES FOR OPERATING KITCHENS IN EMERGENCY GOVERNMENT FACILITIES
EPC 26/	VITAL POINTS MANUAL

# GUIDE TO THE PRESERVATION OF ESSENTIAL RECORDS

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GUIDE TO THE PRESERVATION  
OF  
ESSENTIAL RECORDS

Issued Jointly by  
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EPC 12/87

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## DISTRIBUTION

Distribution of this document is controlled by Emergency Preparedness Canada. The data it contains will be of interest to:

Federal government departments, agencies and Crown corporations at national and regional levels

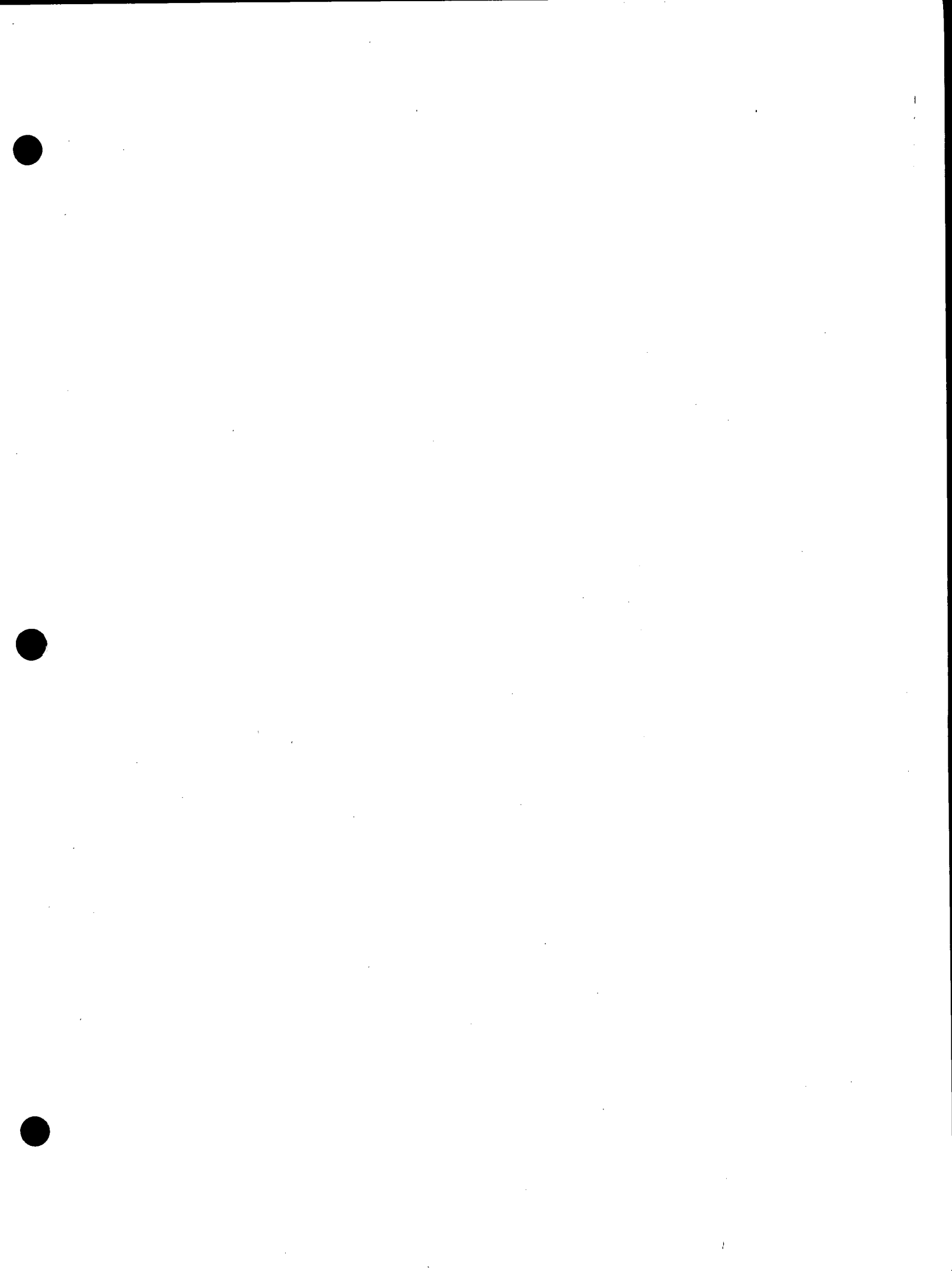
Federal government departments and agencies at the regional level

Provincial government departments and agencies

Municipal government departments and services

Canadian industry.

Distribution is automatic to federal government departments, agencies and Crown corporations, Emergency Preparedness Canada Regional Directors and National Archives of Canada. Federal officials at the regional level, and provincial, municipal and industry officials may obtain a copy(ies) by addressing their request to the Director, Public Information, Planning and Services, Emergency Preparedness Canada, Ottawa, Ontario, K1A 0W6-- or to the local Regional Director, Emergency Preparedness Canada, in the capital city of their province.



## FOREWORD

This guide was written to assist federal, provincial and municipal governments, and industry in formulating their emergency plans dealing with essential records. Emergency Preparedness Canada will be pleased to consider requests for permission to reprint this document in part or in full.

Emergency Preparedness Canada and National Archives of Canada are grateful to Transport Canada, Marine, for granting permission to include their publication TP 6601E - Study on the Provision of Essential Records for the National Emergency Agency for Marine (NEAT-M) March 1985 as an Annex to this document. It is hoped that this excellent example will be of assistance to all levels of government and industry in the selection of their essential records.

To further assist industry in formulating their emergency plans dealing with essential records, extracts from Essential Records for Industry, 2nd Edition, 1973, originally published by the Department of Supply and Services and now out of print, are incorporated as an annex to this guide.

This guide supersedes EPC 12/84 - Guide to the Preservation of Essential Records, copies of which should be destroyed.

CHAPTER I  
INTRODUCTION

**General**

1. The main objective of the Essential Records Program is to ensure the survival of documents vital to the conduct of government at the federal, provincial and municipal levels in the event of a nuclear attack on North America. Additionally, the storage of essential records in a separate, secure area preserves important records from the effects of disasters such as fire, flood or earthquakes. If the records essential to the operation of an emergency government headquarters during a crisis are stored there and updated regularly, they will contribute significantly to the rapid mitigation of the effects caused by a war or peacetime disaster.

2. An Essential Records Program is an adjunct to a department or agency emergency plan. The records selected for inclusion in the Program represent an important part of the information required for a department or agency to execute its responsibility in a crisis. Their selection should be based on the requirement of the user. Unless these requirements have been clearly defined and a departmental or agency plan formulated, the Essential Records Program will fall short of its aim.

**Administrative Policy**

3. The Essential Records Program is part of the federal Continuity of Government Program. The Treasury Board of Canada directs that:

"each government institution shall identify its essential records and shall store and regularly update a set of these records at secure sites administered by the National Archives of Canada.

...It is important that the records manager of each institution work with the official responsible for emergency planning in that institution...." 1.

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1. Treasury Board, Administrative Policy Manual Chapter 460.

4. Furthermore, federal-provincial agreements relating to emergency government facilities require the introduction and maintenance of Essential Records Programs. Regional, county and municipal governments and industry, are encouraged to establish similar programs. Emergency Preparedness Canada, the federal government emergency planning co-ordinating agency, in co-operation with National Archives of Canada, the Essential Records Program co-ordinator, publishes this manual as a federal policy document. The manual may also be used as a guide by any level of government or by industry.

## CHAPTER II

### SELECTION OF ESSENTIAL RECORDS

#### General

1. One of the most difficult aspects of an Essential Records Program is that of selecting the essential information that would be required in the event of an emergency or disaster, and separating it from merely desirable information. The first problem one encounters is that it is difficult to know where to start. What records should be selected? How does one determine what might be required? How does one separate the essential from the desirable? What information forms the core or heart of the organization? Who should do the selection? Who has a role to play in the essential records program?

#### Principles

2. Three basic principles apply to the selection process.

- 1) Only the organization concerned can decide which of its records are essential.
- 2) Before the selection process begins, the roles and responsibilities of the organization must be clearly defined. The records manager and the departmental or agency emergency planner should work closely with various users of departmental information in selecting essential records.
- 3) Selection must be made using criteria established at the outset and strictly applied in all cases. The task of the survivors of a disaster can be formidable enough without the added problem of lacking documentation that can tell where the department left off, whom to appoint, where to find things, what help is available and even what the basic mandate of the organization is. Only the organization can decide which records are vital.

## **Selection Criteria**

3. The first step is to develop the selection criteria. The following general rules apply to all circumstances.

- 1) Records should be essential, not merely desirable.
- 2) A small amount of duplication may be necessary.
- 3) Choose the most concise form of record available (summary records such as personal history cards or general ledgers, pictorial records such as maps).
- 4) Records should be complete, concise, clear and easy to understand.
- 5) Verify that the records are not duplicated in other departments and agencies.
- 6) Ensure that any such duplicate records have been selected as essential by the agency holding them.
- 7) Select records on the basis that someone else must use them to reconstruct operations.

## **Selection Process**

4. Each organization should next answer the following questions when selecting its essential records.

- 1) What is the role of the department or agency in relation to the overall emergency plan?
- 2) Does the department or agency have a role in the operation of an emergency government headquarters during a disaster or in the critical period immediately thereafter?
- 3) If it does, what records will be needed to provide the information required to operate from an emergency government headquarters?
- 4) What records will the department or agency require following a disaster to re-establish the functions and responsibilities of its role in government?

- 5) What records does the department or agency hold that could affect the basic legal, property and other rights of individuals and corporate bodies?
- 6) Which of the department's or agency's essential records are also required by other users?
- 7) Which of the essential records identified by the department or agency are common to the records selected by other departments and agencies?





## CHAPTER III

### CATEGORIES OF ESSENTIAL RECORDS

#### General

1. There are three categories of essential records. Each essential record is assigned a Category based on its relative importance or priority in an emergency. The types of essential records listed in this chapter are offered as a guide only. They may be useful when deciding the Category into which a particular record might fall. The lists are by no means complete.

2. The "Attack Period" is the period when nuclear weapons are being detonated and protection of the public from their direct and indirect effects is necessary. The "Survival Phase" is that period immediately preceding the "Attack Period" and lasting until the onset of the "Recovery Phase" (see Figure 1).

#### Category One

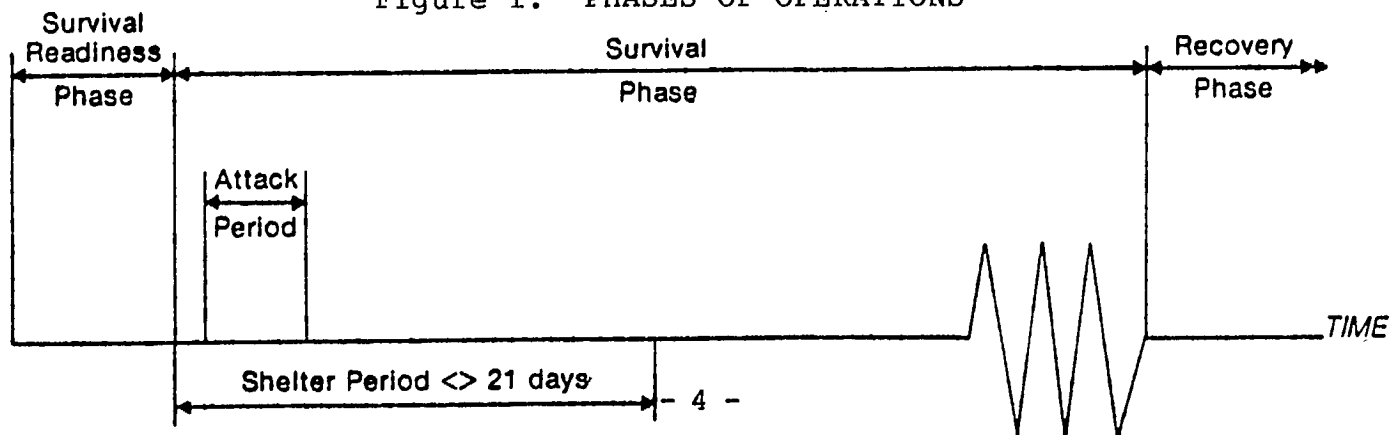
3. Category One records comprise those records essential for a government, operating from fallout-protected emergency facilities, to govern responsibly from the onset of the nuclear "Attack Period" until the shelter period is over and radiation levels have fallen to safe limits.

4. Only departments and agencies actively involved in the operations carried on from an emergency government facility would have records in Category I.

#### Category Two

5. Records in Category Two comprise those records considered essential to re-establish the organization, functions and responsibilities of government. They are required at a time during the "Survival Phase" when radiation levels have fallen to safe limits and the need to occupy fallout protected emergency facilities has passed.

Figure 1. PHASES OF OPERATIONS



### Category Three

6. Category Three records comprise those records that are essential to re-establish the basic rights of individuals and corporate bodies. They will be required during the "Recovery Phase," that phase immediately following the "Survival Phase."

### Typical Records in Category One

7. Records for inclusion in Category One will be those required to ensure effective management of essential services necessary for humanitarian purposes, to provide conditions necessary for survival and to assist the population in recovering from the immediate and residual effects of a nuclear attack on North America. The types of records that may be considered for inclusion in this category are:

- 1) lists and locations of essential records in all categories
- 2) lists of key personnel with specialized training
- 3) location and quantity of stocks of material necessary to restore basic services including food and fuel supplies at wholesalers, processors and distributors
- 4) data on radiological protection and secondary health hazard preventative measures
- 5) data on radiological equipment and their operational status
- 6) data relating to national defence, medical aid, clothing, etc.

- 7) rescue plans and resources
- 8) shelter data
- 9) records vital to public order, safety and public health
- 10) data on public and private transportation and communication resources, their capacities and capabilities and the technical details about each
- 11) details of utility systems, e.g. heat, power, water and sewage
- 12) data on production facilities including their locations, capacities and capabilities
- 13) topographic and demographic data including maps of roads and rail systems, inland and coastal waters navigational charts, maps of counties, municipalities, cities and towns, etc.
- 14) military and civil response plans, war books, cypher codes, etc.
- 15) climatological data
- 16) copies of international agreements, treaties, etc. relevant to emergencies
- 17) copies of emergency legislation, memorandum of understanding, etc. at all levels of government.

#### Typical Records in Category Two

- 1) two sets of Category One records
- 2) legislation and related government documents such as Acts, Regulations, Orders-in-Council, Treasury Board minutes, and records of policy decisions
- 3) legal documents such as contracts and agreements, property and land files and leases
- 4) financial documents such as summary financial reports and banking records

- 5) records required to re-establish the operations and responsibilities of departments and agencies and their various branches, such as procedural manuals, statements of duties, annual reports, organization charts, inventories and forms
- 6) technical records for highways and road systems, communications systems, motive power, right-of-way plans and surveys, and plans and drawings of public waterways, buildings, bridges, wharves, etc.
- 7) lists of Crown lands
- 8) research and technical data and specifications on specialized projects.

#### **Typical Records in Category Three**

- 1) personnel documentation such as personal history cards, superannuation records, payroll documents, pension fund files, salary deduction lists and attendance cards
- 2) copies of agreements between government and companies that do not relate directly to emergency operations
- 3) special agreements with clients, sales records and guarantees
- 4) Canadian patents and trademarks
- 5) citizenship documents and immigration records.
- 6) passenger lists
- 7) insurance policies.

#### **Observations**

- 1) Generally, essential records should comprise no more than 1-2% of the total volume of records held by an organization. People tend to overemphasize the value of the tasks they are performing; this can result in too many records being considered essential. If the records under consideration are only desirable, reject them. Be ruthless about this.

- 2) On the other hand, the records selected must be sufficiently complete that a person relatively unfamiliar with a function can carry out that function effectively. Do not assume that needed information is available elsewhere, find out.
- 3) An Essential Records Program is useless if not kept up to date. This must be done continuously.
- 4) The program must be simple and economical, and it must be tested and exercised periodically.



## CHAPTER IV

### REPRODUCING RECORDS FOR PRESERVATION

#### General

1. Reproduction is a costly portion of an essential records program. It is therefore necessary to keep reproduction to a minimum and to use the cheapest means possible. Before any record is reproduced, departments should consider the following questions:

- 1) Could the original record be stored outside a likely target area without causing great inconvenience to the creating department? Perhaps microfilm or machine readable copies are used in daily operations, rather than the originals.
- 2) Is it necessary to reproduce another copy? A copy of the record may be available elsewhere, e.g. a field office or in another department.
- 3) Does a summary record fulfill the need, or is the original document necessary? Often an extract or synopsis of the record will meet the requirement.
- 4) If the information is already available on microfilm or magnetic tape, for example, is it relatively inexpensive to reproduce?

2. If essential records are not available in suitable form, departments must choose the best means of reproducing them. Many options exist, e.g. extra carbon copies, photocopies, microfilm or magnetic tape copies.

#### Carbon copies

3. As essential material is being prepared in the future, extra carbon copies can be typed for storage. Where material has previously been typed, extra copies can be retyped when the quantities required are small. The copying of material by typewriter is the most expensive means of reproduction and should be avoided.

#### Photocopying

4. This method is the accepted means of reproduction, especially for records in Category One and



a large proportion of those in Category Two. It offers the advantage of providing an exact, full-sized copy for immediate use. Organizations should be aware of the capabilities of the various types of photocopy machines, and should watch especially for such points as colour reproduction, the tendency of the copy to fade in time or to be obliterated by heat, multiple-copying capability, the ability to reproduce from bound volumes, paper size, capacities, etc. The cost of reproducing by photocopier varies greatly according to the type of paper, the size of the document and the machine selected.

### **Electronic Data Processing**

5. In time, a large quantity of valuable information will be converted to electromagnetic media. Information on tapes can be transferred easily and economically. Although there are hazards in storing such tapes, this method provides a simple built-in reproduction capability. However, Electronic Data Processing (EDP) equipment is very expensive, complicated to install and requires specially trained operators. Where speed of reproduction is not a factor (some records in Category Two and most of those in Category Three), the use of such equipment could be considered where it is now installed.

6. EDP equipment is certainly not recommended as a means of reproduction where it does not now exist. Where it does exist and is being considered for essential records preservation, it should be used sparingly and wisely, bearing in mind that it would be difficult to maintain after a nuclear attack and may be subject to failure because of electromagnetic pulse. Furthermore, equipment parts, power sources, trained mechanics and operators may be difficult to find in the post-attack period.

### **Microfilm**

7. Microfilm is certainly not the ideal solution to the problem of reproducing essential records. The original cost of filming is high, as is the cost of amending a document. Furthermore, the production of full-sized, usable copy is slow. Good finding aids are essential if the information desired is to be found quickly. Microfilm should, therefore, not be used for records in Category One.

8. There are viable applications of microfilm, however, where a large volume of records in Categories

Two and Three are involved. Land titles and vital statistics are good examples.

9. To be usable, microfilm requires power sources, readers and printers, facilities that might not be available in an emergency. Where speedy reproduction of records is not essential, as in the case of those in Category Three, microfilm is an acceptable method of reproduction. Because of the cost of microfilm equipment, control of its use should be centralized in one authority, such as the essential records officer, to make maximum use of the equipment.

**Notation on Original Records**

10. Original records that have been copied or reproduced as essential records should be stamped as follows:

"This document has been copied for essential records purposes."

.....  
Date Initials

11. This notation will indicate at a glance that the record has been selected and duplicated as an essential record, who made the selection and duplication, and when.



## CHAPTER V

### STORAGE OF ESSENTIAL RECORDS

#### General

1. Once selected, federal essential records at the national and regional level should be turned over to National Archives of Canada custody for storage as soon as practicable. Transportation of these records to and from departmental, agency or Crown corporation locations and the National Archives of Canada storage site, either for storage, retrieval or updating purposes, can be arranged by contacting the National Archives of Canada officer responsible.

2. For additional information on the services provided by National Archives of Canada, federal departments and agencies are directed to the publication Federal Records Centres Users Guide (printed in 1987) available through the Minister of Supply and Services Canada, catalogue number SA82-2/7-1987 at a nominal cost, or from authorized Bookstore Agents and other book stores.

#### Accommodation

- 1) Records Centres. In the Federal Essential Records Program, each government department, agency and Crown corporation must store a set of essential records at secure sites administered by National Archives of Canada. These sites meet security standards and have environmentally controlled vaults for the specialized storage requirement of microfilm and EDP media. Temperature and humidity are maintained at constant levels and are controlled through monitors and physical inspections.
- 2) Within a Department, Agency or Crown corporation. Storage accommodation for essential records selected by a department, agency or Crown corporation will be provided in government-controlled facilities up to and until they are turned over to National Archives of Canada. Essential records personnel in these buildings will probably devote only part of their time to essential records.
- 3) Packaging. Normally, records should be stored in a standard-size box (length 381 mm, width 289 mm, height 254 mm). These containers are available from Supply and

Services Canada (department catalogue number 8115-21-901-7400). For special storage requirements, clients are requested to contact the Chief of the respective Centre where their records will ultimately be stored.

### Storage Criteria

3. The major cost of records storage is the procurement of equipment, including filing cabinets, transfer cases, shelving and cartons. Regardless of how records are stored, certain basic points should be observed.

- 1) Where possible, each record should be maintained in a file jacket that identifies the creating department, the subject and the category in which the record belongs.
- 2) The storage area itself should be secure, preferably without windows, and with only one entrance that is kept locked at all times. If the building in which the storage area is located is not staffed constantly, an alarm system should be installed.
- 3) No records should be moved into the storage area until the entire layout has been properly planned, otherwise the records can become disarranged and if an emergency arises will not be immediately available. Room for reasonable expansion should be left for the records in each category.
- 4) Record containers should be arranged systematically within the storage area. These containers should be standard in shape, type and size.
- 5) Each record should prominently identify its creating department, category and sequence number in the container.
- 6) A supply of charge-out cards should be available in the site at all times, and should be properly used. This will permit personnel responsible for the essential records to keep track of records locations when they are being amended or used during an emergency.

- 7) A complete and up-to-date inventory of all the essential records stored in the area should be maintained and stored within the first container in the storage area.

### **Storage Equipment**

4. This section discusses various types of storage equipment and the considerations to be weighed in choosing an appropriate type.

- 1) Filing Cabinets. Preferably these should be four-drawer and metal construction. Cabinets are probably one of the best means of storage from the point of view of protection, however, they are the most wasteful of space since they do not use the maximum height of a room. Furthermore, they are one of the most expensive types of storage equipment and are difficult to move when full.
- 2) Transfer Cases. Single-drawer, enclosed cabinet transfer cases permit the utilization of the full height of a room, since they can be stacked and interlocked to whatever height is desired. They are portable, allowing them to be removed or interchanged and they provide the same accessibility and protection as filing cabinets.
- 3) Shelving. Shelving, with cardboard cartons, provides by far the cheapest means of storage and allows for the maximum utilization of space. However, shelving does not offer the same degree of protection as cabinets or transfer cases. If protection is not an important factor, shelving is the best storage method. Portable cardboard cartons of a standard size should be used with shelving.
- 4) Security Equipment. This type of equipment includes safes, security shells (filing cabinets enclosed by all steel casings with combination locks), lock-type cabinets, filing cabinets with vertical steel bars fastened to the bottom of the cabinet and a combination padlock at the top, and cabinets insulated against fire. The requirement for this type of equipment should be minimal, when one bears in mind that all essential records will be stored in government-supervised accommodation.

- 5) Special Containers. This type of equipment includes map containers, microfilm reel containers, magnetic tape canisters, etc.

### **Essential Records Staff**

5. This section discusses the staff required to administer the Essential Records Program at the departmental and agency level, and by National Archives of Canada after the records have been placed in their custody.

- 1) Department and Agency Staff. Each department or agency must have one officer who is responsible for its Essential Records Program. During the process of selecting records for inclusion in the Program, he/she should seek the advice and council of the departmental or agency Emergency Planning Officer, specifically when selecting Category One records. He/she should also employ a senior clerk assistant to be responsible for collecting, listing, updating and temporarily storing selected records, and for arranging for the transfer of these records to and/or retrieval from National Archives of Canada, as required.
- 2) National Archives of Canada. A full-time staff is not necessary at National Archives of Canada essential records storage locations; however, an officer is assigned the responsibility, as part of regular duties, for all essential records stored there. He/she must be trained in records management techniques and be thoroughly conversant with the essential records entrusted to him/her. This Officer is held accountable for receiving and charging out essential records as well as for all aspects of their safe storage and retrieval, interfiling and amending finding aids (see Chapter 6). Members of the National Archives of Canada staff are security cleared to receive and account for the records assigned to them, up to and including TOP SECRET.

### **Security**

6. If records have been selected as essential, it follows that while they are in departmental or agency custody, they require proper security protection and

protection against the normal peace-time hazards of fire, water and other damage. To achieve proper security, criteria must be established and adhered to.

- 1) A senior clerk should be responsible for the physical security of records at the department or agency storage location.
- 2) The records should bear appropriate security classifications, and proper security procedures must be observed.
- 3) Access to the records storage area should be tightly controlled. Only the responsible clerk or alternate, should take records into or out of the storage area. All amending, interfiling, charging out and other work should be performed by this clerk.
- 4) Keys should be carefully controlled, and lock combinations changed periodically.
- 5) The storage area should be adequately supplied with fire-fighting apparatus and no smoking should be allowed.

#### **Storage Areas by Category**

7. All departments and agencies at the national level must prepare Category One records in triplicate sets before they are turned over to National Archives of Canada for storage. Each set will be stored and distributed in accordance with the following:

- . Set 1 will be secured and maintained in the Central Emergency Government Headquarters. In time of crisis, National Archives of Canada personnel will be on site to dispense records to departments and agencies, on demand.
- . Set 2 will be secured and maintained at a National Archives of Canada storage facility. In time of crisis and at the discretion of Emergency Preparedness Canada, this set will be moved to the designated alternate Central Emergency Government Headquarters and dispensed to departments and agencies, on demand, by National Archives of Canada personnel.
- . Set 3 will be secured and maintained at a National Archives of Canada storage facility.



In time of crisis and at the discretion of Emergency Preparedness Canada, this set will be delivered by National Archives of Canada to the Central Relocation Unit occupied by the department or agency concerned, and turned over to personnel of that department or agency.

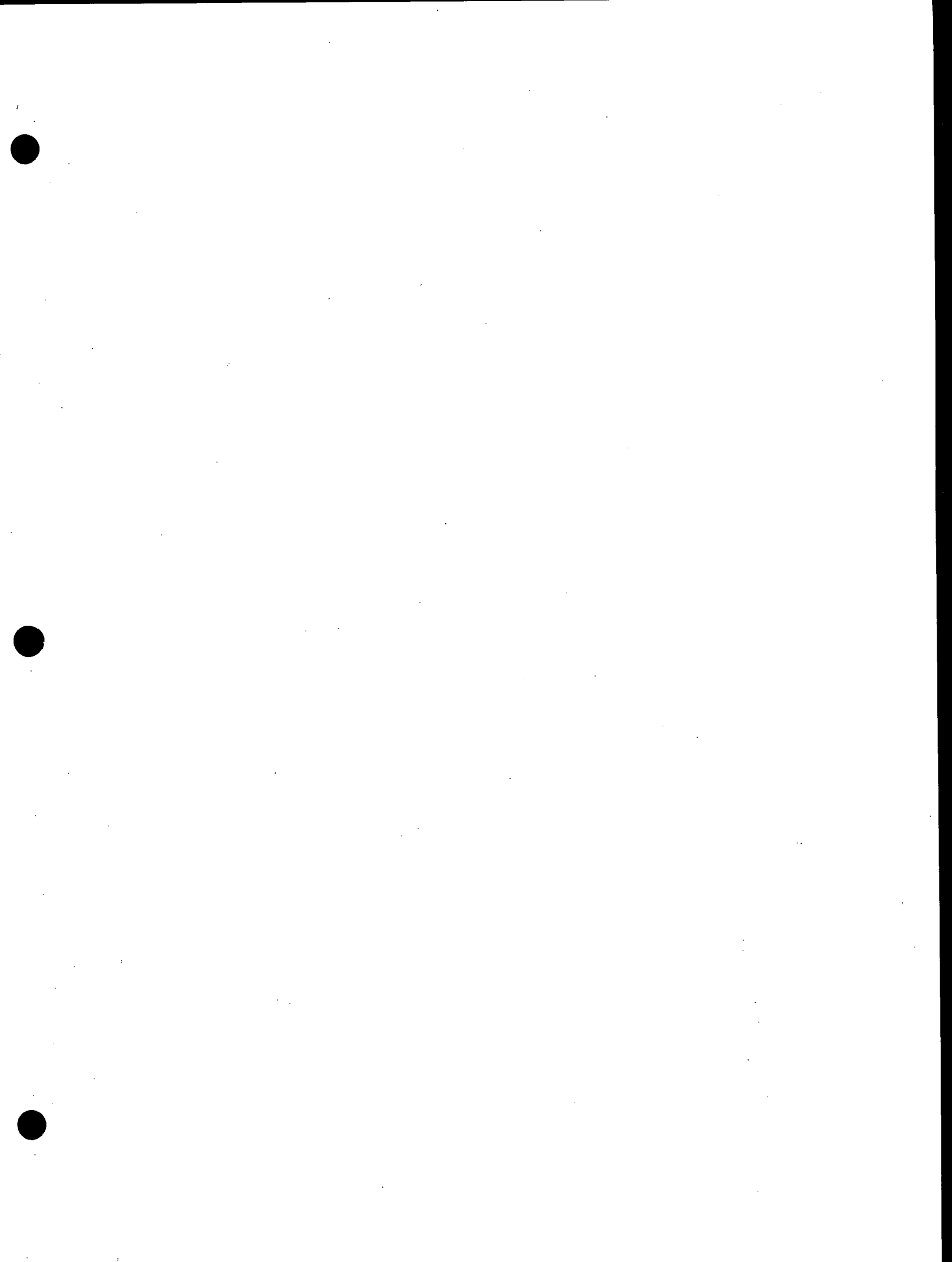
8. Categories Two and Three essential records are to be prepared in one set, only. They will be secured and maintained at a National Archives of Canada storage facility.

CHAPTER VI  
FINDING AIDS

**General**

1. To ensure that essential records are readily available, a master inventory must be established. Finding aids must therefore be created. A good finding aid accurately describes each record, and identifies its location and the form in which it is being preserved. It should include the building address, room number, shelf or filing cabinet number, and the specific box or drawer. If the finding aid is accurate, each record can be found quickly and easily, not only by the person who prepared the aid, but by others as well.

2. As an example, one of the finding aids used by most records centres is the shelf list. Details on this procedure, and others, can be found in the publication Federal Records Centres Users Guide (SSC Catalogue number SA 82-2/7-1987).



## CHAPTER VII

### AMENDING ESSENTIAL RECORDS

#### General

1. Records selected as essential must be kept current whether they are still in departmental or agency possession or have been turned over to National Archives of Canada for storage. Unless updated regularly and systematically, they soon become obsolete and unreliable.

2. Whenever an essential record is altered in any way, the alteration and its effective date must be reflected in that record as soon as practicable. If the alteration is in the form of an amendment, it should be kept simple. When a new record is replacing an old one, the new record must be inserted and the old one removed and destroyed.

3. New essential records supplementary to those already selected should be placed with the records to which they refer.

4. Special procedures are required when essential records are stored in other than hard copy, e.g. microfiche, microfilm, magnetic tape, punch card, etc. Departments, agencies and Crown corporations using any of these methods must be equipped to produce, update and retrieve the data stored thereon.

5. Departments, agencies or Crown corporations may alter their essential records by several methods:

- . request that the records, or parts thereof, be returned to departmental or agency custody for action
- . provide their National Archives of Canada officer with the necessary data and request that the records be altered at the storage area
- . dispatch a departmental or agency representative to the National Archives of Canada storage area to effect alterations.

## Records Requiring Regular Updating

6. The following list, while not exhaustive, suggests the types of essential records that may require regular updating:

- . periodically printed publications, such as directories and annual reports
- . records describing the emergency responsibilities of departments or agencies
- . records frequently superseded by new data, such as lists of key personnel, new agreements and monthly machine runs of payroll deductions
- . newly created or additional records of an essential nature that may require subsequent refinement until they are complete and accurate.

## CHAPTER VIII

### SELECTION AND STORAGE OF ESSENTIAL RECORDS BY FEDERAL DEPARTMENTS AT THE REGIONAL LEVEL

#### General

1. Selection of essential records by departments and agencies at the regional level will reflect those chosen at the national level. They shall be stored and regularly updated at secure sites administered by National Archives of Canada.

2. For information on the services provided by National Archives of Canada, federal departments and agencies at the regional level are directed to the publication Federal Records Centres Users Guide (printed in 1987 and available through the Minister of Supply and Services Canada, catalogue number SA82-2/7-1987 at a nominal cost, or from authorized Bookstore Agents and other book stores).

#### Principles and Selection Criteria

3. The principles and selection criteria detailed in Chapter II are applicable at the regional level.

#### Selection Process

4. When selecting its essential records, departments and agencies at the regional level must answer the following questions:

- . In relation to the overall regional plan, what is our role?
- . Do we have a role to play in the operation of a fallout protected emergency government headquarters during an emergency or disaster, or immediately thereafter?
- . If we do, what records will we require to perform that role effectively?
- . Following an emergency or disaster, what records will we require to re-establish our government functions and responsibilities?

- . What records do we hold that could affect the basic legal, property and other rights of individuals and corporate bodies?
- . Which of our essential records are also required by other departments and agencies?
- . Which of our essential records are common to those selected by other departments and agencies?

### **Categories of Regional Essential Records**

5. The guidelines for the categorization and selection of essential records are set out in Chapter III.

### **Federal Records Centres**

6. Each federal government department, agency and Crown corporation at the regional level must store a set of essential records with the National Archives of Canada Records Centre in which their region is located. Arrangements to transport these records to and from departmental or agency locations and the storage site, can be made by contacting the National Archives of Canada officer responsible. Territorial jurisdiction of National Archives of Canada Records Centres is shown at Figure 2.

7. A special case exists in Northwestern Ontario where regional departmental and agency essential records are to be turned over to the National Archives of Canada Records Centre in Winnipeg even though these organizations are part of Ontario Region. The Winnipeg Records Centre would be required, therefore, to forward all the Category One essential records received from these organizations to their Toronto Records Centre for storage.

8. All departments and agencies in Ontario Region, excluding those in Northwestern Ontario, would store their Category Two and Three essential records in National Archives of Canada Records Centres as indicated in Figure 2. However, regional Category One essential records would be stored with the National Archives of Canada Records Centre in Toronto.

### **Storage Areas for Regional Essential Records**

9. Storage of Category One essential records in emergency government facilities must be co-ordinated

between the National Archives of Canada officer responsible and the Emergency Preparedness Canada Regional Director. If more than one set is required, departments and agencies will be notified of the number of sets to be prepared and the storage disposition of each set.

10. Category Two and Three essential records will be stored in National Archives of Canada facilities.



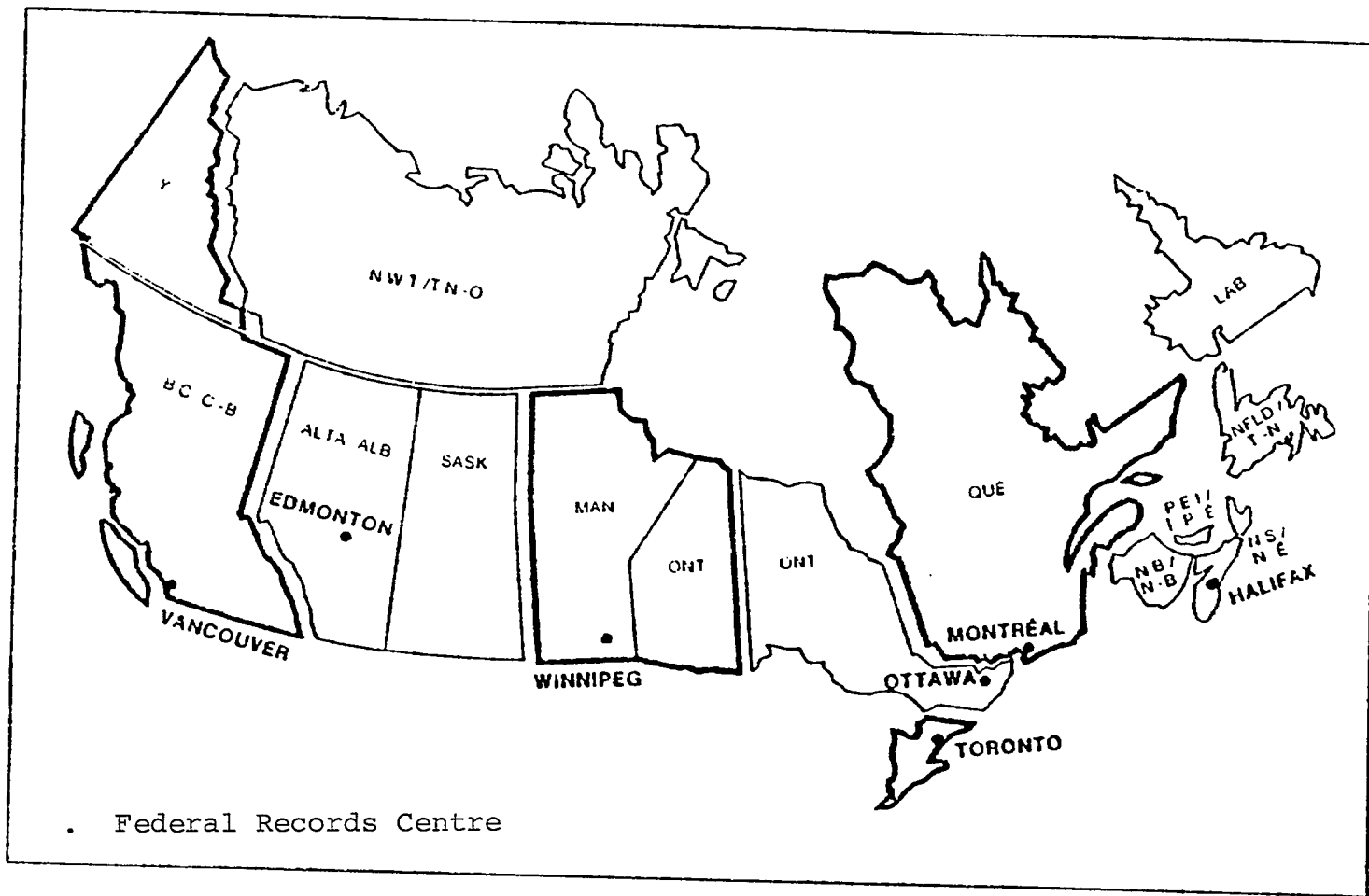


Figure 2. NATIONAL ARCHIVES OF CANADA --  
TERRITORIAL JURISDICTION

## CHAPTER IX

### PROVINCIAL GOVERNMENT ESSENTIAL RECORDS

#### General

1. Provincial government departments and agencies should apply the principles, criteria and process as detailed in Chapter 2 of this guide when selecting the essential records for their Essential Records Program. Storage of these records is a provincial responsibility and would probably be at provincial Archives sites. Arrangements to store Category One essential records in Regional Emergency Government facilities must be made with the Emergency Preparedness Canada Regional Director. Permission would likely be governed by the classification of the records to be stored and the security provided by those emergency facilities selected for storage purposes.

2. The phases of operations are set out in Figure 1. The "Attack Period" is the period when nuclear weapons are being detonated and protection is necessary from their direct and indirect effects. The "Survival Phase" is that period immediately preceding the "Attack Phase" and lasting until the onset of the "Recovery Phase."

3. This chapter contains lists, by category, of the types of essential records that may be selected for inclusion in a provincial department or agency Essential Records Program. Each list is offered as a guide, only, and should not be considered as complete.

#### Category One

4. Records assigned to this category should comprise those records considered essential for a government, operating from fallout-protected facilities, to govern responsibly from the onset of a nuclear attack until the shelter period is over and radiation levels have fallen to safe limits.

5. Only provincial departments and agencies actively involved in the operations conducted from an emergency government facility would have records in this category.

6. The following is a list of typical provincial Category One records.

- 1) Provincial civil emergency response plan which should include a statement of the functions, plans and programs of all departments and agencies with emergency roles. These plans should be supplemented by the documents listed below.
- 2) County and municipal civil emergency response plans for all major counties and municipalities. (The provincial authorities, might also be interested in either a copy or a listing of all county and municipal Category One records.)
- 3) Lists of key personnel and delegations of authority, including:
  - a. lines of succession
  - b. top level planning staff
  - c. operational staff of departments and agencies in an emergency.
- 4) Lists and/or master drawings, maps and charts showing locations and other essential information on emergency facilities, including:
  - a. hospitals, sanatoria, health centres, etc. and bed capacities and equipment
  - b. oil wells and natural gas reserves, including pools and their output capacity
  - c. gas plants and their capacities
  - d. oil and natural gas pipeline cut-off valves
  - e. shelter accommodation, including large public buildings throughout the province
  - f. food and clothing stockpiles
  - g. welfare centres and institutions, particularly in reception areas, and routes of evacuation to these centres and institutions after the attack

- h. power supplies, including hydro generating plants, alternate facilities, underground lines, etc.
- i. water supplies, treatment plants, main aquaducts, pumping stations, deep wells, etc.
- j. communications such as radio systems networks, transmitters, telephone and telegraph systems
- k. major bridge structures, highway profiles, highway crossings of oil and gas pipelines, gravel pits, etc.

**Note:** One or several large composite maps for some of these data would probably be sufficient. Senior engineers operating in different fields have indicated that a map showing some of the engineering items listed could be the most useful record they would have in an emergency.

- 5) Lists of key equipment and supplies, including operating instructions where applicable, such as fire apparatus, communications equipment, rescue equipment, heavy machinery, highway maintenance, construction and medical equipment and supplies, etc.
- 6) Hospital disaster plans.
- 7) Emergency welfare manuals on feeding, clothing, etc.
- 8) Lists of handicapped students at special schools for identification and location purposes.
- 9) Lists of wards of the government for identification and location purposes.
- 10) Lists of known typhoid and undulant fever carriers and active tuberculosis cases for their own protection as well as for public health purposes.
- 11) Lists of field offices and facilities available.

- 12) Lists of provincial essential records and their storage locations.
- 13) Summaries of records available at field offices.
- 14) Data on radiological protection and secondary health hazard preventative measures.
- 15) Data on radiological equipment and their operational status, including lists of county and municipal organizations with personnel who are trained in their use.
- 16) Data on the capability and capacity of local areas to receive and shelter evacuees.
- 17) Records vital to public order, safety and public health including data on location, numbers and disposition of police, fire and medical resources.
- 18) Data on public transportation resources, their capacities and capabilities and the technical details about each.
- 19) Topographic and demographic data.
- 20) Climatological data.
- 21) Rescue resources.

#### **Category Two and Three Records**

7. Category Two records comprise those records considered essential to re-establish the organization, functions and responsibilities of government at a time during the "Survival Phase" when radiation levels have fallen to safe levels and the need to occupy fallout protected emergency facilities has passed.

8. The records which would be selected as Category Three are those that are considered essential to re-establish the basic rights of individuals and corporate bodies. They would be required during the "Recovery Phase."

9. The following list of typical Category Two and Three records are common to all departments and are considered to be essential for the "Recovery Phase".

- 1) A duplicate set of Category One records for use in the Alternate Regional Emergency Government Headquarters (if applicable).
- 2) Records that deal with, or are peculiar to, departmental and agency responsibilities. Many of these records may be duplicates of records maintained by a central agency and could be compiled in handy compendiums which, from their very nature, will result in the saving of thousands of person hours and dollars. These records would include:
  - a. Acts
  - b. Regulations
  - c. Orders-in-Council
  - d. Treasury Board minutes
  - e. organization charts
  - f. procedure manuals
  - g. provincial gazette pages
  - h. annual reports (previous year only)
  - i. policy decisions
  - j. forms (one copy of selected forms used in each department and agency).
- 3) From the following list, many departments will have records which may be worthy of preservation. They should, however, assess these records carefully to ensure that they are really essential and not just desirable:

	<u>Category</u>
a. listings of bonds, debentures, insurance records, securities, investment records, etc., including those held in trust	2
b. revenue records	2
c. financial records of Boards, Commissions, etc., which do not fall under Finance Canada's jurisdiction	2

	<u>Category</u>
d. lists of property holdings of the department or agency	2
e. minimum records pertaining to the purchase of, and payment for, provincial lands by the public	2 & 3
f. personnel records including personal history cards, establishment indices and charts, superannuation card records and pay records for organizations and employees not covered by a central personnel office, e.g., Commissions, Boards, Utilities, etc.	2 & 3
g. legal documents such as leases, deeds, transfers, agreements, contracts, easements, attachments, etc., of an important nature where the department or agency concerned has the only official copy	2 & 3
h. field survey books and indices relating to lands, forests, mines, agriculture, etc. (these could perhaps be stored in field offices in their present form)	2
i. research and technical data, including maps, plans and charts, of an important and irreplaceable nature, such as special studies and surveys covering long periods of time, e.g. oil and natural gas research data and records of research councils and other scientific bodies.	2

**Category Two and Three Records - Specific**

1) Court Records:

	<u>Category</u>
a. wills that have not been probated	3

	<u>Category</u>
b. adoption records	3
c. administration of estates of juveniles, the mentally incompetent and others, e.g. card records, if available, of the present value of the estates, investment records, etc.	3

**Note:** Some officials of Attorneys-General departments and courts consider most court records to be essential. It is felt, however that very few court records are essential within the definition of essential records. These records are vast in volume and possess little administrative value after a few years. In particular it is felt that proceedings of criminal, accident, civil and divorce cases are not essential. Prison inmate records are now widely dispersed. Records of chattel mortgages, bills of sale and probated wills are not essential. These types of court records are a good example of records which, as a normal peacetime operation, could be stored in a records centre outside a target area. If court officials felt it necessary, the current records for the last few years could be microfilmed, the microfilm stored in a records centre, and the original records maintained in their present location. Updating could then be done annually.

2) Education:

	<u>Category</u>
a. debenture agreements for school building construction	2
b. student record cards, Grades nine to 13 only	3
c. university student and graduate record cards, degrees conferred, etc., where the the provinces support the universities financially, plus professional examination records	3



Category

- d. teachers' record-of-service cards showing experience, qualifications, certificates held, etc. 3

3) Finance:

Included under this heading are records of the offices of the Auditor-General, the Provincial Treasurer, the Treasury Board, the Comptroller General, etc., depending upon provincial organizations.

Category

- a. estimates (book form) for the past year 2
- b. records of loans under various provincial acts (in ledger or card form) 2
- c. records of special funds administered by provinces such as trust, investment, insurance, sinking, etc. 2
- d. ledger records of guarantees outstanding under various acts 2
- e. bank deposit records and a copy of the monthly statement for the previous month only 2
- f. provincial debenture (bond) registers 2
- g. appropriation ledgers 2
- h. revenue ledgers 2
- i. public accounts (printed) for the last two years 2
- j. general ledgers and journals 2
- k. Treasury Board minutes 2
- l. securities ledgers. 2

4) Records maintained by provincial lands titles offices as follows:

	<u>Category</u>
a. land titles documents, e.g., titles and mortgages. (In view of the volume of these records it is suggested that a portion of them, perhaps the last 10 years, be duplicated completely, and an amending system be instituted whereby all new land titles certificates, as issued, could be duplicated as a part of daily operations)	2 & 3
b. index books to the land titles certificates (duplicated completely and re-duplicated periodically, perhaps every two years)	2 & 3
c. ancillary documents affecting land titles, such as judgments, liens and bankruptcy orders. Perhaps duplication of the last seven years would be sufficient.	2 & 3

5) Municipal Affairs:

	<u>Category</u>
a. maps showing county and municipal boundaries	2
b. tax and lease account rolls (current year only)	2
c. legal description of all counties, cities, towns and villages in ledger or plan form.	2

6) Natural Resources:

	<u>Category</u>
a. legal survey plans, e.g., roads, dikes, railways and indices	2
b. town site plans	2

	<u>Category</u>
c. maps and indices of mineral claims recorded in the province	2 & 3
d. register of all Crown lands up to the time of alienation from the Crown. (In at least one province these registers form the sole record of underground rights. In some provinces, most of the land is still under Crown ownership)	2 & 3
e. irrigation and water resources rights, e.g. maps, plans and field books.	2

**Note:** Much of this information may already be or could be, dispersed in field offices.

7) Personnel:

	<u>Category</u>
a. personal history cards	3
b. superannuation records (card records and possibly the general ledger)	3
c. superannuation fund investment records	2
d. establishment indices or charts for the entire government.	2

8) Provincial Secretary:

	<u>Category</u>
a. appointment registers, including justices-of-the-peace, notaries, public, coroners, Queen's Counsels, etc.	2 & 3

b. corporation files and indices including applications for incorporation and registration, copies of by-laws and amendments, letter patents, etc. 2 & 3

c. legal changes-of-name records. 2 & 3

9) Workers' Compensation Board:

Category

a. a card index addressograph listing or by other means identifying pensioners, their addresses and the amounts received 2 & 3

b. IBM cards which give most of the essential information regarding Workers' Compensation Board active cases but do not give the medical condition 2 & 3

c. general accounts ledgers necessary for re-constituting the Board 2

d. statements of companies' accounts with the Board 2 & 3

e. Board Minutes and Order (selected). 2

**Note:** Officials of Workers' Compensation Boards may feel that the individual case files which give the medical condition, entitlement, etc., should be preserved. However, the volume of records involved is so vast that the idea appears to be impractical unless the suggestion of a records centre outside a target area is adopted.

10) Miscellaneous Subjects:

(These records would be maintained by the responsible department or agency.)

	<u>Category</u>
a. statutes (one copy of the latest revised statutes plus the annual statute books since the date of revision)	2
b. Orders-in-Council (one complete set)	2
c. provincial gazettes (one set)	2
d. regulations under statute if not adequately covered within the statute	2
e. Treasury Board minutes	2
f. development and assistance load records under various provincial acts, in ledger or card form, if not maintained by the finance department	2
g. inventories of stocks of liquor in liquor outlets and warehouses outside target areas (to serve medicinally, to provide future revenues and to safeguard law and order)	2
h. lists of recipients of provincial welfare payments (a copy of the last machine run for cheques issued would be sufficient)	2 & 3
i. vital statistics records, including birth, death, marriage and adoption.	3

**Note:** All provincial governments now provide Statistics Canada with a complete record of vital statistics and in return receive a microfilm copy of these statistics. This microfilm could be used as the essential records copy, however, it would not provide a complete record since the program does not go back far enough.

## CHAPTER X

### MUNICIPAL GOVERNMENT ESSENTIAL RECORDS

#### General

1. This chapter is divided into three sections and is directed toward the selection of municipal government essential records. Section one deals solely with Category One records. Each department and service should examine this section in detail to determine which types of records listed apply to its operation during the survival and recovery phases. The second section lists Category Two and Three essential records that might be required and/or could be considered common to all departments and services. Each department and service will find some types listed which they may wish to preserve as essential. Section three deals with Category Two and Three essential records under specific headings for which an individual department would have full responsibility, or would share responsibility with one or more other departments.

#### Category One Records

2. The following is a list of typical municipal Category One records.

- 1) Municipal civil emergency response plans which should include a statement of the functions, plans and programs of all departments and services with emergency roles. This plan should be supplemented by the documents listed in the following sub-paragraphs.
- 2) Provincial and neighbouring municipal civil emergency response plans.
- 3) Lists of key personnel and delegations of authority, including:
  - a. chains of succession to command
  - b. top-level planning staff
  - c. departmental emergency staff
  - d. policemen, firemen, doctors, nurses, medical and laboratory technicians, pharmacists, dentists, veterinarians,

engineers, hydro workers, gas utilities technicians, communications personnel, social welfare workers, etc.

**Note:** It might be wise to have similar lists for neighbouring municipalities.

- 4) Lists and/or master drawings, maps and charts showing locations and other essential information on emergency facilities including:
  - a. all underground structures such as water, sewage, gas, hydro and telephone lines, including capacities and shut-off valves (for underground structures, the cost of reproducing completely all existing plans would be prohibitive. Therefore, master drawings should be prepared showing only the minimum essential detail outlined above. There may be some diversity of opinion at various levels of government about the necessity of reproducing all underground structure plans)
  - b. above-ground public utilities such as major pumping stations, water and sewage treatment plants, water reservoirs and deep wells, electrical generators, transformer and telephone facilities, etc.
- 5) Lists of key equipment and supplies, including operating instructions, such as fire apparatus, communications equipment, rescue equipment, heavy machinery and medical equipment and supplies.
- 6) City maps indicating major traffic arteries, bridges, etc.
- 7) Hospital disaster plans.
- 8) Lists of hospitals and their bed capacities (perhaps also for neighbouring counties and municipalities).
- 9) Lists of known typhoid and undulant fever carriers and active tuberculosis cases for their own protection as well as for public health purposes.

- 10) Lists of large public buildings in surrounding areas for evacuation and accommodation purposes.
- 11) Lists of wards of the municipality for identification and location purposes.
- 12) Public and private communications systems in being.
- 13) Lists of:
  - a. major food and fuel distributors and their general inventories
  - b. major transportation and construction organizations, equipments and general holdings.
- 14) Contacts for all television and radio stations serving the area.
- 15) Locations and capacities of suitable reception areas for remedial evacuation.
- 16) Land use planning data.
- 17) Climatological data.
- 18) Radiological services.
- 19) Special areas - dangerous goods manufacturers/storage, penal/mental institutions, senior citizens accommodation, zoos, etc.

#### Category Two and Three Records

1. The following is a list of typical Category Two and Three records common to all municipal departments and services.

- |                                                                                                                                                       | <u>Category</u> |
|-------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| 1) A duplicate set of Category One records for storage and use in an alternate location. (These records are also essential for the "Recovery Phase".) | 2               |
| 2) Each department and service should have compiled records peculiar to its operations and activities.                                                |                 |



These records may be duplicates or be part of those maintained by a central agency; they could be compiled in handy compendiums, resulting in saving thousands of person hours and dollars. These records would include:

	<u>Category</u>
a. administrative and technical procedure manuals and organizational charts for specific departments and services	2
b. by-laws of special interest to a particular department or service	2
c. personnel records including personal history cards, establishment indices and charts, superannuation card records and pay records for organizations and employees not covered by a central personnel office e.g. school boards, firemen and police	3
d. research and technical data, including irreplaceable maps, plans and charts such as special long-term studies and surveys.	2

**Category Two and Three Records - Specific**

- 1) Police:
  - a. criminal case records 2
  - b. modus operandi cards (criminal methods of individuals) 2
  - c. fingerprint records. 2

**Note:** Police authorities have indicated that they consider these records are essential since the documents comprise a type of

research information in constant use and are difficult to replace. On the other hand, however, the volume is large, and many of these records are available from sources such as the RCMP, the National Parole Service, federal and provincial penitentiaries and prisons.

2) Welfare:

	<u>Category</u>
a. nominal roles of welfare recipients	3
b. legal documents concerning wards of the municipality.	3

3) General Administration:

(This term would include records of the City Clerk's Office, the Commissioner's Office, City Manager's Office and the City Council).

	<u>Category</u>
a. council minutes	2
b. by-laws (perhaps a selection only)	2
c. lists of elected officials	2
d. city charter	2
e. voters lists (latest printed copy)	2
f. annual city report (latest copy)	2
g. insurance policies on buildings and equipment, liability insurance, etc. (for disasters other than war)	2
h. contracts and agreements registers	2

	<u>Category</u>
i. legal agreements with other governments	2
j. municipal organizational charts, procedure manuals and important policy decisions.	2
4) Personnel:	
	<u>Category</u>
a. personal history cards	3
b. superannuation records (card records and possibly the general ledger)	3
c. superannuation fund investment records (if not kept by finance departments)	2
d. establishment indices or charts.	2
5) Property, Lands and Planning:	
	<u>Category</u>
a. lists of city-owned leased or rented lands and buildings. This presupposes that all land title office records will be duplicated provincially	2 & 3
b. master survey maps showing streets, zones, sub-divisions, etc.	2
6) Finance:	
	<u>Category</u>
a. lists or registers of securities, outstanding debentures, etc.	2
b. public accounts (latest printed copy)	2

- c. estimates (lastest printed copy) 2
  - d. general ledgers (usually kept complete in one or two volumes) 2
  - e. lists of municipal bank accounts with copies of latest balance statements 2
  - f. superannuation fund investment records (see personnel). 3
- 7) Assessment:

Category

- a. assessment or tax roles in card or ledger form (the individual municipality will have to determine whether one or both rolls should be maintained. In some cases the assessment and tax record is maintained on one card). 2



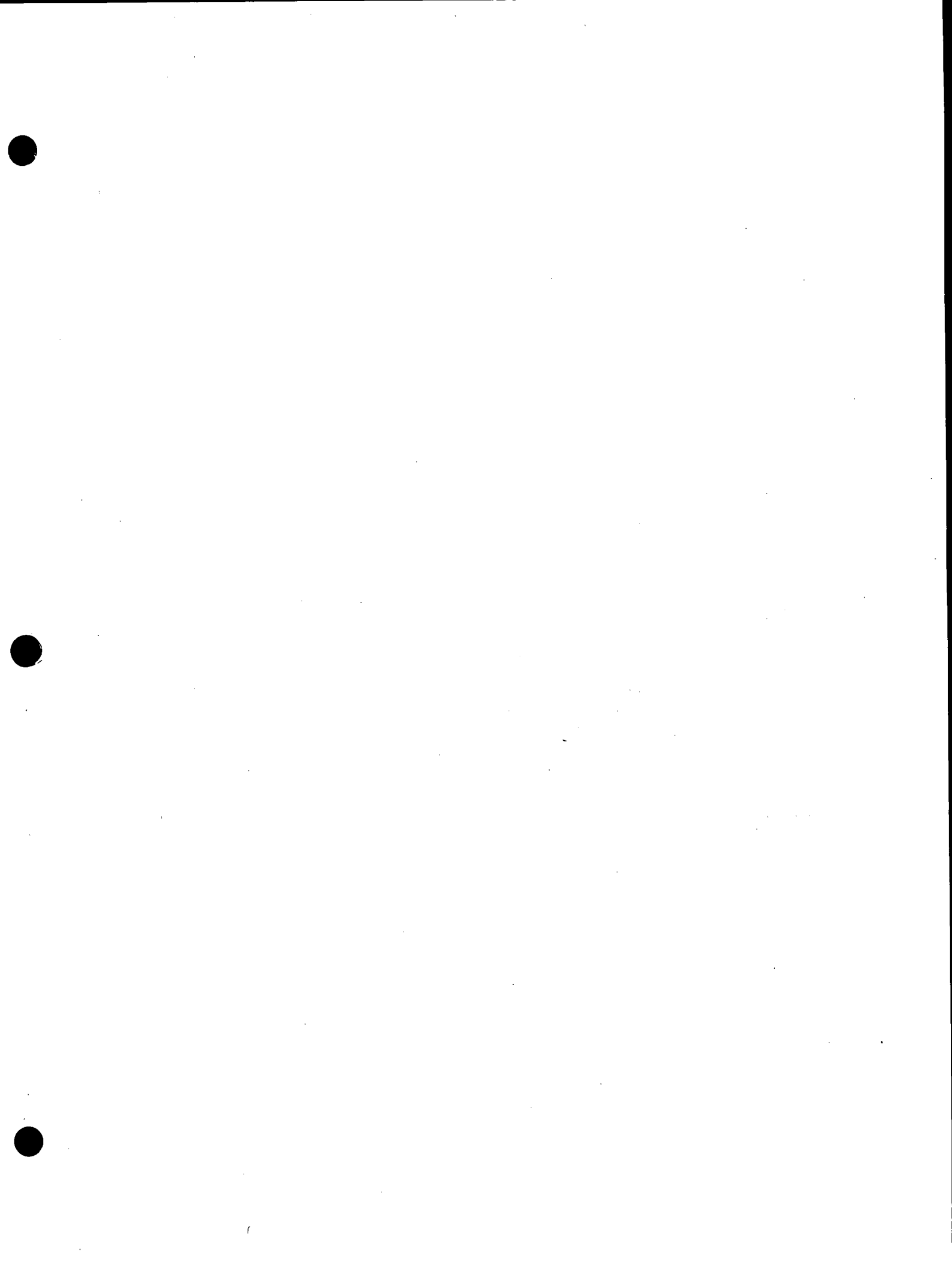
ANNEX A

A GUIDE TO THE PRESERVATION OF ESSENTIAL RECORDS

EPC 12/87

TP 6601E - Study on the Provision of Essential Records for the National Emergency Agency for Marine (NEA-M) March 1985 is included in this publication with the kind permission of Transport Canada, Marine. It is hoped that the study will serve as an example to all organizations who use this guide during the selection and categorization of their essential records.

TP 6601E is a complete and unabridged printing of the original document, and no attempt has been made to alter its format to conform to the format used in this guide.

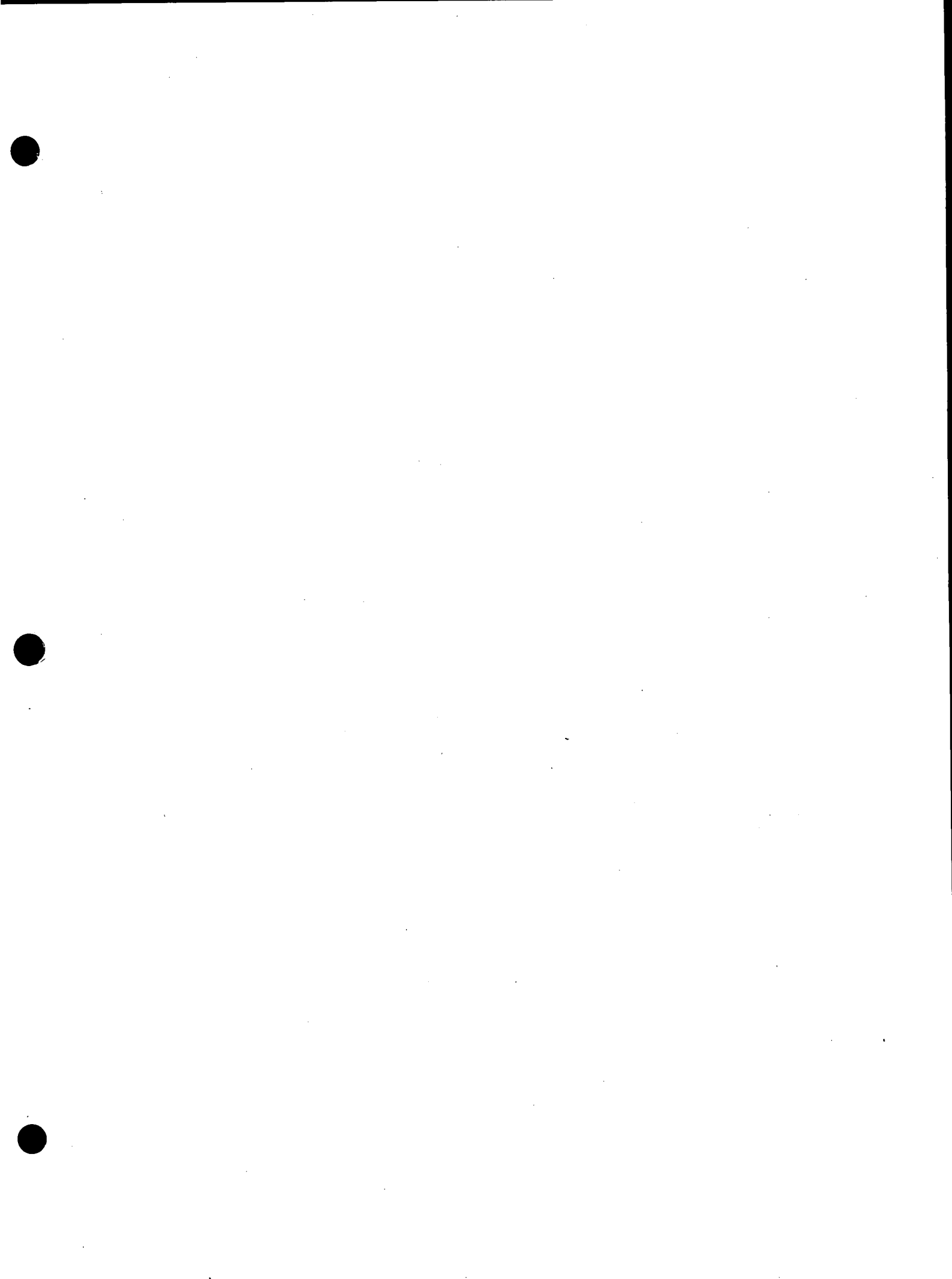


Annex A  
(TP 6601E)

Study on the Provision of Essential Records for the  
National Emergency Agency For Marine (NEAT-M)

March 1985





STUDY ON THE PROVISION OF ESSENTIAL RECORDS FOR THE  
NATIONAL EMERGENCY AGENCY FOR MARINE (NEAT-M)

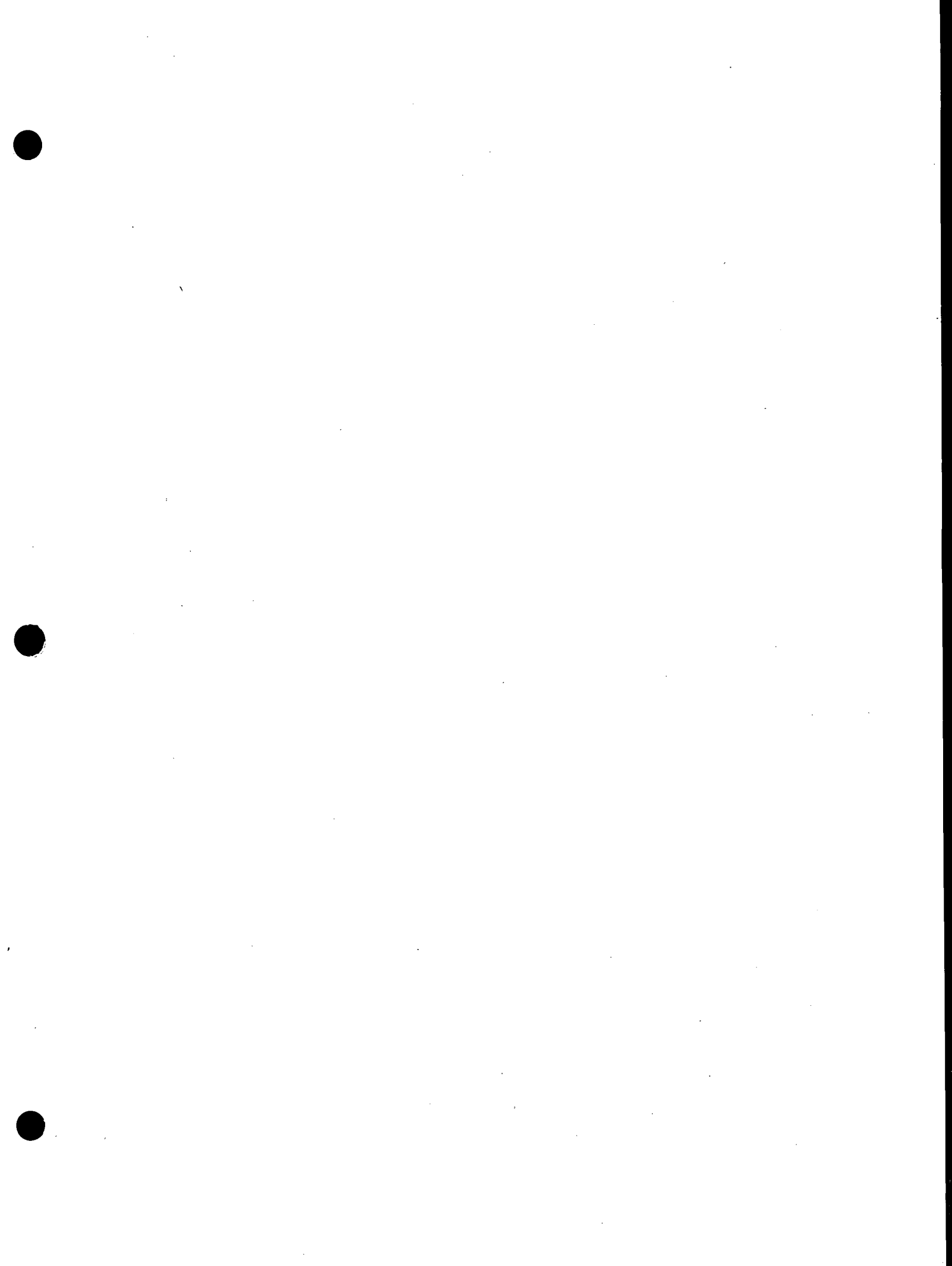
Final Report

Prepared for  
Transport Canada Marine Administration  
Marine Emergency Planning (DMOE)  
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March 1985



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Identification of Essential Records  
for the Operation of the National  
Emergency Agency for Marine

1. Preface

This report is provided to Transport Canada, Marine Administration, Emergency Planning, in support of the Essential Records Study. This report contains all significant findings, recommendations and conclusions arising from the Consultant's research over the period of the Study, in keeping with the Terms of Reference for the contract.

The purpose of the Contractor's effort has been to attempt to identify and recommend marine-related records which are essential for the purposes of continuity of government and survival operations (as they relate to the responsibilities of Transport Canada, Marine Administration) resulting from an international confrontation, disaster, fire, terrorist attack, or other such extraordinary event; to identify records presently held which affect the basic rights of individuals; and to provide the above information organized by departmental facility (or Crown Corporation) and category (degree of importance or priority), as well as by level of issuing authority.

This report provides the substantive results of the above efforts. The contents reflect a synthesis of findings obtained by a research and analysis of relevant literature and the results of discussions with staff and line management throughout the Marine Administration, Transport Canada, and with other federal and provincial government departments and agencies as required.

## 2.0 Explanatory Notes

The results of the Research (i.e. the output of the Essential Records Study) are provided in this report in the form of two Appendices, each containing the same basic information, but displayed different ways for the sake of convenience to the reader.

Appendix I delineates proposed Essential Records by Issuing Authority, that is, by the level of government or agency originating the document in order of diminishing level in the organizational hierarchy (i.e. International Law or Practice, Governmental Act, Legislation or Regulation, Departmental, Component/Crown Corporation, Region, etc.).

In Appendix II, proposed Essential Records are displayed by 'organization', that is, to what part of the Marine Administration the Records are most appropriately applied.

Both Appendices display Essential Records by order of the three Categories of such Records identified in the EPC document 'Guide to the Preservation of Essential Records' (EPC 12/79) (see Glossary for description).

In keeping with the Terms of Reference for the Study, there has been no attempt made to identify Essential Records other than those that have direct bearing on the operation of the National Emergency Agency, Marine.

The Emergency Planning Order (SI/81-76 10 June 1981, ref. PC1981-1305 May 21, 1981) clearly spells out the roles and responsibilities of all government departments and agencies with respect to Emergency Planning; thus this report does not address Essential Records requirements clearly associated with other Departments, Administrations or Corporate Entities, such as Personnel, Finance, Material Management, Accommodations, Policy and Planning, etc. This Report deals specifically with Records essential to the maintenance in operation and function of the various organizational elements of the Marine Administration, both departmental and non-departmental (i.e. CMTA Crown Corporations).

With respect to the acquisition and storage of Essential Records, while these subjects remain outside the scope of this particular study, they have been included in a brief discussion and a few recommendations related to them which may be of use to Marine Emergency Planning during the accumulation phase of an Essential Records Program.

## 2.1 Discussion on 'Essential Records'

### A. Emergency Planning

Emergency Planning Canada (EPC) has identified six roles of government in Emergencies. These are:

1. To Inform: Instructing the public how to deal with emergencies.
2. To Warn : Providing analysis and forecasts to assist victims and their aiders.
3. To Co-Opt: Developing systems to enable "normal" private resources to be effectively applied or diverted to emergencies.
4. To Provide: Maintaining resources at reasonable levels and providing them when needed; diverting government resources to meet emergencies.
5. To Restore: Getting things back to normal.
6. To Change: Taking advantage of public attitudinal changes that follow in the wake of an emergency to effect desirable policy changes.

While the above six roles deal with the responsibility of government in the time of an extraordinary event, they also can be readily applied as a basic rationale for the selection and accumulation of Essential Records; to carry out the six tasks or responsibilities described above, a variety of documents or records (see Glossary for definition of 'Essential Records') will be necessary to give legitimacy, credibility and authority to the types of decisions made and actions taken before, during and after an emergency. In other words, besides having a plan of action, an organization must have a 'blueprint' of authority: legal and operating 'enabling' documents that provide the mandate of the organization, which govern its structure and operation, and which describe in detail the 'physical plant'. Without such organizational 'blueprints', the task of operating, rebuilding and reorganizing in the face of a major emergency would be difficult if not impossible.

Emergencies can generally be divided into three main groups: those which threaten small or large numbers of people; those which threaten the rule of law or constitutional government; and those that derive from instability in the international environment.



But for the organizational entity faced with an emergency, the cause is less important than the need and ability to continue to conduct operations. Whatever the ultimate cause of the emergency, the operational organization will be concerned with several immediate problems:

Continuity of Operations  
Communications  
Co-ordination of Operations  
Authority for Operations  
Personnel for Operations

Essential Records will be required related to each of these problems; the Records serve two major functions, that is, to instruct what is to be done and how to do it. Without Essential Records, the organization will be hard put to survive or recover from a major catastrophe.

#### B. What Are Essential Records?

Establishing Essential Records is not an easy task. Two issues are involved: What to protect and how to protect it. Protecting too many records is costly, cumbersome and disruptive. If it can be assumed that in an emergency an organization's key objectives are to protect its assets, protect the rights of citizens, and to assure continued operations, then it follows that Essential Records are those that address primarily those objectives.

As Benedon observes (p. 180), after a nuclear war accounts receivable and engineering drawings fall into insignificance next to "human survival and preservation of managerial, human and natural resources". Nonetheless, during reconstruction all types of records can become important, which represents one of the major difficulties when attempting to establish which records are vital or essential. Only 4% to 6% of all records can be considered to be crucial to the operation of an organization in the event of a major disaster. The U.S. Department of Defense has tentatively identified Essential Records comprising this 4% to 6%. Of their list, a number are directly applicable, in general terms, to Transport, Marine. These are:

- Constitutions & Bylaws
- Accounts Payable & Receivable  
(Crown Corporations)
- Audit Records (Crown Corporations)
- Bank Deposit Data (Crown Corporations)
- Capital Assets List

- Charters, Franchises and Orders-in-Council
- Contracts in force
- General Ledgers (Crown Corporations)
- Engineering Data
- Customer Data (Crown Corporations)
- Licenses & Permits
- Leases
- Inventories of Equipment and Supplies
- Insurance Policies
- Tax Records (Crown Corporations)
- Policy and Operational Manuals
- Payroll/Personnel Documents
- Negotiable Instruments (Stocks, Bonds, etc.)

Other Essential Records which have been identified elsewhere include:

- Certificates of Incorporation
- Minute books of Boards (Crown Corporations)
- Deeds, Blue Prints & Drawings
- Fixed Asset Records (property holdings)
- Mailing Lists
- Current Purchase Orders
- Organization Charts
- Personnel Lists (Key Personnel)
- Financial Signing Authorities
- Responsibility Centre Information
- Union Agreements
- Staffing Standards
- Blank forms of various types

The above lists have been used as a broad basis for establishing a list of Essential Records for the Marine Administration.

#### C. Organization and Storage of Essential Records

Records defined as 'Essential' are those which cannot be immediately replaced after disaster strikes and which would be required to continue operation with a recognized legal mandate. These Records must be stored in a location secure from fire and flood, preferably in a vault. By necessity, these Records should be duplicated and stored in a number of locations, widely dispersed, particularly if the organizational headquarters is a primary target in the event of an international conflict.

To facilitate handling and updating of Essential Records, an 'Essential Records Master List' should be created. This list would provide each organization with a complete inventory of all Essential Records, their location and status, and how they should be stored, updated and protected. Normally, Essential Records should be stored in an area separate from normal records. Storage areas should be equipped with fire extinguishers or a sprinkler system, as well as smoke detectors. Since records can be either papers or electronic data (disks, tapes, micrographics, microfilm, etc.), humidity and temperature of the storage environment are also important considerations. If electronic or micrographic data form part of the Essential Records, then electronic or mechanical readers will have to be available at the dispersed storage sites of the Essential Records.

It should be noted, however, that for practical reasons, micrographics appears to be the most efficient and cost-effective way to store Essential Records. Computer disks and tapes are expensive and subject to damage by radiation, electro-magnetic waves, fire, etc. The computer equipment (hardware and software) required to read tapes and disks may not be readily available during a major emergency; such equipment is also expensive and not practical to duplicate. Thus microfiche and/or paper records offer the most effective alternative, with the former being more acceptable in terms of convenience and ease of storage and portability.

Another issue of note when considering the accumulation and storage of Essential Records is the change of attitude of planners and political analysts since the cold war days of the 1950's and 1960's. During that period, it was commonly believed that nations would have very little warning of an impending nuclear strike - perhaps half an hour to an hour. Under that scenario, it was crucial that Essential Records always be in place at specific locations as a precaution against a preemptive strike.

In the 1980's political analysts and military experts generally believe that any major international conflict would be preceded by a lengthy period (several weeks or even months) of increased international tension and hostility, prior to the precipitation of any actual open warfare. If this is the case, the practicality of long-term acquisition and storage of Essential Records is brought into question. Perhaps in the light of present

attitudes, it might be more feasible not to acquire all Essential Records until the level of international tension is such that major conflict seems imminent. In this scenario, only "category one" records would be accumulated, reducing costs and space requirements. All that would be important up to the point of imminent hostilities would be that all Essential Records would be identified long in advance, and where they could be obtained on short notice. Only 'category one' Essential Records would already be located at emergency centres, while Category 'two' and 'three' would be gathered and stored when it is believed they would be required.

As mentioned earlier in this Report, the acquisition and storage of Essential Records can be a costly process, and the above concepts are included only as suggestions as alternatives to present policies of Essential Records storage. Whatever method of dealing with Essential Records is chosen, it is obvious that dedicated person-years and budgets will be required to support the program; person-years are required to manage the Essential Records program, if it is to be the most successful, and is to be kept current. These resource requirements could be incorporated in the routine administrative budgets of the responsible organizations within the Marine Administration.

### 3.0 Recommendations Arising from Study

It is recommended that:

- .1 An Essential Records Working Group be created for the Marine Administration. This working group, under the direction of DMOE/M with input from departmental records management staff, with a senior representative from each component, crown corporation and corporate entity within CMTA, would be responsible for developing, maintaining and updating or amending as required, an Essential Records Program for CMTA.
- .2 An Essential Records Program be initiated within CMTA which would be managed by the Essential Records Working Group and which would have as its main objectives:
  - Determining all additions to/deletions from identified Essential Records and assigning program responsibilities
  - Analysing and reviewing Essential Records as to the most appropriate and economical means of storage and protection
  - Issuing procedures related to Essential Records
  - Reconciling Essential Records with normal record retention schedules
  - Designating Essential Records centres and preparing instructions for their maintenance
- .3 Essential Records Planning be considered as a part of the normal planning function of CMTA Managers.
- .4 Once established in the appropriate location, Essential Records should be kept current in the same fashion as normal day-to-day working documents are revised and updated. This would be most easily achieved if one officer is assigned responsibility for the Essential Records within each CMTA organizational entity, using a clipboard inventory method to control and update the records as required, at least on an annual basis.
- .5 The Essential Records Working Group should consider creating back-up Essential Records at widely dispersed locations across the country, especially for 'Category One' Essential Records as identified for the Marine Administration.
- .6 Detailed disaster/emergency plans within CMTA should be amended where necessary to include identification and location of respective Essential Records for each organizational entity in CMTA, who controls them, and where they are to be taken in an emergency (if applicable).

- .7 An Essential Records Master List be created; this would comprise Sub-Master Lists from each CMTA organizational unit. The Master List(s) would provide each organization with a complete listing of all Essential Records affecting its operation. Responsibility for the CMTA Master List would rest with the CMTA Essential Records Working Group. Organizational Master Lists would be retained by individual designated Essential Records Managers within the various elements of CMTA.
- .8 Consideration be given to microfiching all identified 'Category Two and Three' CMTA Essential Records and to acquiring appropriate microfiche readers. The possibility of locating microfiche readers and microfiched documents at specific Regional centres should also be considered.
- .9 The individual (and compendium) CMTA Emergency Plans could be amended to incorporate a section dealing with the interpretation of the various legal instruments and collective agreements governing CMTA operations in the face of the invocation of the War Measures Act. Managers responsible for the operation of the Marine transportation infrastructure may not be entirely familiar with their role and the role of other government departments and agencies in the time of a national emergency. (The Emergency Plans constitute a Category One Essential Record)
- .10 Category One Essential Records should include a 'list of key personnel'; but there could also be one showing an inventory of professional and technical skills possessed by personnel employed in various areas in the Marine Administration. Many staff and line managers in CMTA have a variety of professional and technical qualifications not necessarily being used in their current positions (e.g. ex-Master Mariners, Steam Ship Inspectors, Marine Surveyors, Technicians, etc.), but which would be of considerable use in a national emergency. Once compiled, this "inventory of skills and abilities" could form a valuable element of a contingency plan (a 'Category One' Essential Record) in addition to the usual list of key personnel.

4.0 Proposed List of Essential Records for NEAT-M:  
By Issuing Authority

<u>Authority/Title</u>	<u>Proposed EPC Category (1, 2 or 3)</u>
<b>A. <u>International Agreement/Convention</u></b>	
- Interim Canada/Denmark Contingency Plan	3
- Civil Emergency Planning: Exchange of notes between Canada and the USA, Ottawa, 8 Aug. 1967 (Canada, Treaty Series, 1967 #13)	3
- Defense Shipping Authority War Book (Classified)	1
- List of Defense Shipping Authority designees (national and international representatives)	1
- Manuals issued by NATO Civil Wartime Agencies (NCWA) (also Civil Supply Agency and Energy Supply Agency) (also EPC14/81)	1
- International Joint Commission (IJC) on St. Lawrence Seaway: Handbooks/Agreements	3
- International Maritime Organization (IMO) Search and Rescue Conference, 1979 (SAR)	3
- Safety of Life at Sea, 1974 (SOLAS)	3
- International Lifeboat Conference	3
- Geneva Conventions on role of SAR vessels in Wartime & on Seizure of Ships	3
- MOU with St. Lawrence Seaway Development Corporation (SLSDC) and St. Lawrence Seaway Authority (SLSA) on operation of Seaway	3
- International Telecommunications Union, (ITU) Geneva, Radio Regulations, ISBN 92-61-00181-5, 1976, 1982	3
- Allied Naval Control of Shipping; Guide to Masters, ATP2 Vol. 11 (DND) (ANCS)	1
- IMO Conventions on Pollution Prevention	3
- Transport of Dangerous Goods (United Nations)	3
<b>B. <u>Governmental Act, Legislation, Regulation, or Guidelines</u></b>	
- Federal Emergency Planning (EPC, March 1974)	2
- Canadian Charter of Rights and Freedoms	3
- National Defense Act, R.S.C. 1970, C. N-4	3
- Fisheries Act, R.S.C., C. 119, S.1	3
- National Transportation Act, R.S.C. 1970. S. 2 (Chapter N-17)	3
- Department of Transport Act, R.S.C., 1970, C. T-15 and Regulations	3
- Official Secrets Act, R.S.C., 1970, C. 0-2	3

Proposed  
EPC Category  
(1, 2 or 3)

- Public Service Staff Relations Act,  
R.S.C. 1970 C. P-35 3
- Federal Government Beaufort Sea  
Contingency Plan 2
- Oil and Gas Production and Conservation  
Act, 1968-69, C. 48, S.1 3
- Canada Ports Corporation Act, R.S.C. 1970,  
C. N-8 with associated Bylaws 3
- St. Lawrence Seaway Act, R.S.C., 1970, C. S1 3
- Seaway Regulations (SLSA) 3
- Government Harbours and Piers Act,  
R.S.C. 1970, C. G-9 (and associated  
Regulations) 3
- Federal Departmental Responsibilities  
in Emergencies, (EPC) May 1978 1
- War Measures Act, R.S.C., C. 288 S.1 1
- Criminal Code, R.S.C., 1971, C. 34, C. 35 3
- Financial Administration Act (FAA)  
R.S.C., C. 116, S.1 3
- Esp.: Borrowing of Defense Materials &  
Equipment Order (CRC Vol. VI; C. 676)  
Designations Order for Halifax  
Port Corp (SI84-110); Montreal P.C. (SI-84-8);  
Quebec P.C. (SI84-111); Prince Rupert  
P.C. (SI84-109);  
Vancouver P.C. (SI84-7)
- Canada Corporations Act, R.S.C. 1970, C. C-32 3
- Canada Business Corporations Act,  
1974-75-76, C. 35 3
- Access to Information Act, 1980-81-82-83,  
C. 111 3
- Canada Shipping Act, RSC 1970, C. 59,  
& Regulations 3
- Especially -  
Aids to Navigation Protection Regulations  
(CRC. Vol. XV, C. 1403)  
Boating Restriction Regulations  
(CRC. Vol. XV, C. 1407)  
Collision Regulations  
(CRC. Vol. XV, C. 1416)  
Dangerous Goods Shipping Regulations  
(SOR/84-942)  
Eastern Canada Traffic Zone Regulations  
(SOR/81-454)  
Great Lakes Navigation Safety Regulations  
(CRC. Vol. XIV, C. 1428)  
Home Trade, Inland and Minor Waters Regulations  
(CRC, Vol. XVI, C.1429)  
Canso Zone Marine Traffic Regulations  
(CRC. Vol. XV, Ch. 1410)



Charts and Publications Regulations (CRC, Vol. XV, ch. 1415)	
Small Vessel Regulations (CRC. Ch. 1487)	
Navigating Appliances Regulations (CRC. Vol. XVI, C. 1449)	
Non-Canadian Ships Compliance Certificate Regulations (CRC. Vol. XVI, C. 1451)	
Oil Pollution Prevention Regulations (CRC. Vol. XVI, ch. 1452)	
Public Harbours Regulations (CRC. Vol. XVI, ch. 1461)	
Shipping Safety Control Zones Order (CRC. Vol. 111, C. 356)	
St. Lawrence Waterway Marine Traffic Regulations (CRC. Vol. XVII, C. 1470)	
Ship Station Radio Regulations, Parts I, II, III (CRC. Ch. 1473, 1474, 1475)	
Rules of the Road for the Great Lakes (CRC. Vol. XVII, C. 1464)	
- Navigable Waters Protection Act (NWPA) R.S.C., C. 193 S1	3
- Arctic Waters Pollution Prevention Act RS. 1970, C. 2 (1st Supp.)	3
- The Harbour Commission Act, R.S.C. 1970 C. H-1 and Bylaws	3
- The Toronto Harbour Commissioners Act, 1911 C. 98 and Bylaws	3
- The Hamilton Harbour Commissioners Act, 1912 and Bylaws	3
- Arctic Shipping Pollution Prevention Regulations (CRC. Vol. 111, C. 353)	3
- Canadian Human Rights Act, 1976-77, C. 33	3
- Northern Inland Waters Act, R.S.C. 1970, C. 28	3
- Pilotage Act, 1970-71-72, C. 52 (and Regulations)	
General Pilotage Regulations (S.42) (CRC. Vol. XIII, C. 1263)	
Atlantic Pilotage Regulations (S. 14) (CRC. Vol. XIII, C. 1264)	
Great Lakes Pilotage Regulations (CRC. Vol. XIII, C. 1263)	
Laurentian Pilotage Authority Regulations (S.14) (CRC. Vol. XIII, C. 1268)	
Pacific Pilotage Regulations (S.14) (CRC. Vol. XIII, C. 1270)	
- Public Harbours and Port Facilities Act, RSC 1970, C. G-9, (and Regulations)	3
Esp.: Government Wharves Regulations (S.7) (CRC. Vol. IX, C. 881)	
Public Harbours Regulations (SOR/84-811)	

Proposed  
EPC Category  
(1, 2 or 3)

- Public Service Employment Act, R.S.C. 1970, C. P-32 (and Regulations) Esp.: National Defense Civilian Support 1983 Regulations (SOR 83/71) Public Service Employment Regulations (CRC. Vol. XIV, C. 133/)	3
- Radio Act, R.S.C., 1970, C. R-1 (and General Radio Regulations Parts I and II, CRC, Vol. XIV, C. 1371, 1372)	3
- Quebec (& Montreal) Port Warden Acts, 1871-72, C. 33	3
- Transportation of Dangerous Goods Act, 1980-81-82-83, C. 36	3
- Emergency Planning Order (SI/81-76 10 June '81)	1
- Marine and Aviation War Risks Act, R.S.C. 1970, C. W-3	3
- Railway Act, R.S.C. 1970, C. R2 (amended)	3
- Transport Act, R.S.C. 1970, C. T-14	3
- Trenton Harbour Act, S.C. 1922, C. 50	3
- Government Vessels Discipline Act, R.S.C. 1970, C. C-15	3
- Maritime Freight Rates Act, R.S.C., 1970 C. M-3, S.8	3
- Carriage of Goods by Water Act, R.S.C. 1970, C. G-12	3
- Shipping Conference Exemption Act, 1979, SC. 1978-79 C.15	3
- Canada War Readiness Plan (EPC 4/78, Classified)	1
- Civil Emergencies Communications Operating Guide (EPC 9/78)	1
- Guide to the Preservation of Essential Records (EPC 12/79)	3
- TB Administrative Policy Manual, Dec. 1984	2
- TB Guide on Financial Administration for Departments and Agencies of the Government of Canada, 2nd Ed.	2
- DSS Personnel Management Manual	3
- Transport/DND Agreement on Operation of VTS/Information Centres in an Emergency	1
- Government Emergency Book (presently in draft only) (EPC)	1
 C. <u>Departmental/Component/Region/ Other Miscellaneous Records</u>	
- St. Lawrence Seaway Handbook, 1980 Edition	1
- List of Shipping, Parts I (Other than Fishing Vessels), and II (Fishing Vessels) (CCG)	1
- 'Pilot of Arctic Canada', 1970, 3 Vols. (CHS Publication)	3
- TC Telephone Directory (TP 526)	1

Proposed  
EPC Category  
(1, 2 or 3)

- SLSA Lock Operators Manual	1
- SLSA "The Welland Ship Canal, 1913-1933"	2
- SLSA "Traffic Control Manual"	1
- Data related to the National Emergency Equipment Location System (Coast Guard Emergencies) (EDP data) (NEELS)	3
- Canadian Coast Guard Memorandum of Understanding with DND on the role of CG Fleet in Wartime	1
- CSMA Insurance Cards for Canadian Flag Vessels (Can. Shipowners Mutual Association)	1
- CSMA War Risk Insurance Booklet	1
- Agreements concluded under Interdepartmental Board on Defense of Shipping (IBODS), especially with respect to Marine Aids; Fleet Taskings; Coast Guard Radio Stations; Port Security; Vessel Traffic Services	1
- Canadian Defense of Shipping Organizational Memorandum (CDSORG)	1
- <u>Transport Canada Publications</u>	
- TP101 TC organizational Manual	2
- TP104 Administrative Directives Manual	2
- TP115 T&E Policy Manual	2
- TP117 Financial Policy & Procedures Manual	2
- TP136 Notices to Mariners	1
- TP145 Radio Aids to Marine Navigation, Pacific	1
- TP146 Radio Aids to Marine Navigation, Atlantic and Great Lakes	1
- TP222 Mobile Communications (T&E Operating Standards)	2
- TP235 Moorings for Aids to Navigation	2
- TP350 Marine Emergency Plan, Maritimes Region	1
- TP353 Charlottetown Harbour Contingency Plan, Local Marine Emergency Incidents	1
- TP384 Equipment Standards Manual, for Marine Radio Stations Equipment	2
- TP387 Fixed Communications (T&E Operations Standards)	2
- TP390 Notices to Mariners, Annual Ed.	1
- TP394 List of lights, buoys, and Fog Signals, Newfoundland/Labrador Region	1
- TP395 List of lights, buoys, and Fog Signals, Atlantic Region	1
- TP396 List of lights, buoys, and Fog Signals, Inland Waters	1
- TP397 List of lights, buoys, and Fog Signals, Pacific	1

	<u>Proposed</u> <u>EPC Category</u> <u>(1, 2 or 3)</u>
- TP418 Coast Guard Fleet Orders (CGO's)	1
- TP525 Prevention of Pollution from Ships; Information Manual	3
- TP743 Term Pol: Standards for prevention of Pollution at Marine Terminals	3
- TP783 VTS System, St. Lawrence River	1
- TP849 National Marine Emergency Plan, 1977	1
- TP885 Southwestern Nova Scotia Harbours Contingency Plan, local Marine Emergency Incidents	1
- TP932 CCG Arctic Operation Order	2
- TP989 General Telecommunications and Electronics Operations Standards (CGRS)	2
- TP1018 Code of Navigation Practices & Procedures	2
- TP1403 Organization, Objectives and Policies of the Coast Guard (1983)	2
- TP1526 Aids and Waterways Operational Manual and associated Elements (T)	1
- TP1643 Organizational Guidelines, HQ/Region/Field	2
- TP1802 Routing Standards, 3rd Ed.	3
- TP1861 Collision Regulations: Standards for lights, Shapes, Sound Signal Appliances and Radar Reflectors	2
- TP1874 Arctic Marine Emergency Plan	1
- TP2098 Policies & Standards Manual, CG T&E	2
- TP2323E International Code of Signals	1
- TP2495 Navigable Waters Protection Act: Application Guide	3
- TP2505E Maritime Mobile Communications in the Canadian Arctic	2
- TP2834 Government Harbours and Piers Act: Gov't. Wharves Regulations	3
- TP3313E Collision Regulations, Current Ed.	2
- TP3453 Coast Guard Fleet Logistic Instructions	1
- TP3494 National Emergency Agency, Compendium of Marine Emergency Plans (NEATRAN-M)	1
- TP3787E Directory of Air/Marine and Land Services: Transport Canada (for B.C. only)	2
- TP4274E Standard Buoys for Aids to Navigation: Specification	3

- Contingency Plans for each CMTA Region  
(CG & Crown Corps.); and  
Emergency Plans for: SLSA; Ports Canada  
(including individual Port and Police  
Emergency Plans); and Harbours and Ports.  
(These Emergency/Contingency Plans should  
include lists of key personnel;  
Succession lists/designated employee lists;  
inventories of Marine/navigational equipment  
and supplies; a communications plan; and  
other information related to logistics,  
supplies, communications networks, etc.;  
location of vessels & their specifications) 1
- Charts/Maps of local waterways and  
transportation facilities, and other  
navigation information, publications  
& atlases 1
- Port Plans showing location of repair depots;  
cranes; bunkering facilities; water depths;  
dry docks; boiler works; salvage and  
towing services available; etc. 1
- Procedural Guidelines on obtaining and  
interpreting Ministerial Directives,  
Orders-in-Council promulgated under  
various Acts and Regulations for specific  
emergency or wartime circumstances 1
- Financial Information such as relevant  
Responsibility Centre Numbers, Financial  
Codes, budgeting details, including  
appropriate supply of blank forms; spending  
authorities; accounts payable/receivable;  
etc. 3
- Ports Canada "Ports Directory" 2
- Lloyds Register of Shipping, with Updates  
and Supplements; (other ship management  
information) 1
- List of Canadian Ship Agents, Ship Owners  
and Ship Chandlers (must be compiled)  
(with phone numbers & addresses) 2
- Copies of existing Collective Agreements  
for PS Employees; Union Agreements for CC's 3
- Copies of Licenses & permits covering  
operations & personnel skills/abilities 3
- Engineering and Architectural Drawings for  
Coast Guard Bases and Fleet (including SAR  
and Icebreaking Vessels) 3
- Personnel Records, Pension and Pay Records,  
Job Classifications 3

Proposed  
EPC Category  
(1, 2 or 3)

- |                                                                                              |   |
|----------------------------------------------------------------------------------------------|---|
| - Certificates of Incorporation/Charter                                                      | 3 |
| - Original Stocks, Bonds, Deeds, and other negotiable instruments (contracts, lessees, etc.) | 3 |
| - Data related to the "Fleet Maintenance and Management System" (when completed)             | 2 |
| - Insurance Policies in force                                                                | 3 |
| - Minute Books, Records of Decisions, Bank Deposit Data, General Ledgers & Accounts Data     | 3 |

5.0 Appendix II (See Appendix I for full titles)

Proposed List of Essential Records for NEAT-M:  
By Organization

	ORGANIZATION	
	Departmental	Crown Corp.
<u>Category I Essential Records</u>		
- Defense Shipping Authority War Book	X	X
- List of DSA Designees	X	
- NCWA War Manuals	X	
- ANCS Guide to Masters, ATP2 Vol. 11	X	
- Federal Departmental Responsibilities in Emergencies (EPC), May 1978	X	
- War Measures Act, R.S.C., C. 288 S.1	X	X
- Emergency Planning Order, SI/81-76)	X	X
- Canada War Readiness Plan (EPC 4/78)	X	X
- Civil Emergencies Communications Operating Guide (EPC 9/78)	X	X
- Transport/DND Agreement on Operation of VTS - Information Centres in an Emergency	X	
- Government Emergency Book (draft) (when available)	X	X
- St. Lawrence Seaway Handbook, 1980 Edition		X
- List of Shipping, Parts I and II (CCG)	X	X
- TC Telephone Directory, TP526	X	X
- SLSA Lock Operators Manual		X
- SLSA Traffic Control Manual		X
- CCG MOU with DND on fleet role in Wartime	X	
- CSMA Insurance Cards for Canadian Flag Vessels	X	
- CSMA War Risk Insurance Booklet	X	
- IBODS Agreements on Wartime Responsibilities	X	X
- CDSORG Organizational Memoranda	X	X
- TP136 Notices to Mariners	X	X
- TP145 Radio Aids to Marine Nav., Pacific	X	X
- TP146 Radio Aids to Marine Nav., Atl./Great Lakes	X	X
- TP350 Marine Emergency Plan, Maritimes	X	X
- TP353 Charlottetown Harbour Contingency Plan	X	
- TP390 Notices to Mariners, Annual Ed.	X	X
- TP394 Lists of Lights, Buoys, Fog Signals, Newf./Labr.	X	X
- TP395 Lists of Lights, Buoys, Fog Signals, Atlantic	X	X
- TP396 Lists of Lights, Buoys, Fog Signals, Inland Waters	X	X
- TP397 Lists of Lights, Buoys, Fog Signals, Pacific	X	X
- TP418 CGFO's (Fleet Orders)	X	

ORGANIZATION  
Departmental Crown Corp.

Category

- TP783 VTS System, St. Lawrence River	X	X
- TP885 SW Nova Scotia Harbours Contingency Plan	X	X
- TP1526 Aids and Waterways Operations Manual	X	
- TP1874 Arctic Marine Emergency Plan	X	X
- TP2323E International Code of Signals	X	X
- TP3453 CGFLI's (Logistic Instructions)	X	
- TP3494 NEA, Compendium of Marine Emergency Plans	X	
- Contingency Plans for each CMTA Region/ Nat'l HQ	X	X
- Emergency Plans for CMTA Crown Corporations (Seaway, Individual Ports)		X
- Charts and Navigation Publications	X	X
- Port Plans (Inventories/Assets/Facilities)		X
- Procedural Guidelines on obtaining and Interpreting Ministerial Directives, Orders-in-Council promulgated under various Acts and Regulations for specific emergency or wartime circumstances	X	X
- Lloyds Register of Shipping with Supps.	X	X

Category II Essential Records

- Federal Emergency Planning, EPC, March 1974	X	X
- TP101 TC Organizational Manual	X	X
- TP3787E Directory of Air/Marine and Land Services: Transport (B.C. only)	X	X
- TP1403 Organization, Objectives and Policies of the Coast Guard (1983)	X	
- TP1643 Organizational Guidelines, HQ/ Region/Field	X	
- TP2098 Policies & Standards Manual, CG T&E	X	
- Ports Canada, Ports Directory		X
- List of Canadian Ship Agents, Ship Owners and Ship Chandlers	X	X
- Data related to the "Fleet Maintenance and Management System" (when completed)	X	
- TB Administrative Policy Manual	X	X
- TB Guide on Financial Administration	X	X
- SLSA "The Welland Ship Canal, 1981-1933"		X
- TP104 Administrative Directives Manual	X	
- TP115 T&E Policy Manual	X	
- TP117 Financial Policy and Procedures Manual	X	
- TP222 Mobile Communications	X	
- TP235 Moorings for Aids to Navigation	X	
- TP384 Equipment Standards Manual, CGRS	X	
- TP387 Fixed Communications (Oper. Standards)	X	
- TP932 CCG Arctic Operation Order	X	



ORGANIZATION  
Departmental Crown Corp.

Category II (Cont.)

- TP989 Central T&E Operations Standards	X	
- TP1018 Code of Navigation Practices and Procedures	X	X
- TP1861 Collision Regs: Standards	X	
- TP2505E Maritime Mobile Communication in the Arctic	X	
- TP3313E Collision Regulations, Current Ed.	X	
- Federal Government Beaufort Sea Contingency Plan	X	

Category III Essential Records

- Interim Canada/Denmark Contingency Plan	X	
- Civil Emergency Planning; Canada/U.S. Notes	X	X
- IJC on St. Lawrence Seaway: Agreements	X	X
- IMO SAR Conference, 1979	X	
- SOLAS Convention, 1974	X	
- International Lifeboat Conference	X	
- Geneva Conventions on role of SAR in wartime and on Seizure of Ships	X	
- SLSA/SLSDC MOU on Seaway Operation		X
- ITU Radio Regulations, 1976/82	X	
- IMO Convention on Pollution Prevention	X	
- Transport of Dangerous Goods (U.N.)	X	
- Canadian Charter of Rights and Freedoms	X	X
- National Defense Act, RSC, C. N-4	X	X
- Fisheries Act, RSC, C. 119, S.1	X	
- National Transportation Act, RSC, S.2, C. N-17	X	X
- Department of Transport Act, RSC, C. T-15	X	
- Official Secrets Act, RSC, C. O-2	X	X
- Oil and Gas Production and Conservation Act 1968-69, C. 48, S.1	X	
- Canada Ports Corporation Act, RSC, C. N-8/Bylaws		X
- St. Lawrence Seaway Act, RSC, C. S1		X
- Seaway Regulations		X
- Gov't Harbours and Piers Act, RSC, C. G-9	X	
- Criminal Code, RSC, C. 34, C. 35	X	X
- FAA, RSC, C. 116, S.1	X	X
- Canada Corporations Act, RSC, C. C-32		X
- Canada Business Corporations Act, 1974, C.35		X
- Access to Information Act, 1980, C.111	X	X
- Canada Shipping Act, RSC, C.59 & Regulations (See Appendix I for detailed list)	X	X
- Navigable Waters Protection Act RSC, C. 193, S.1	X	
- Arctic Waters Pollution Prevention Act RSC, C. 2 (1st Supp.)	X	
- The Harbour Commission Act, RSC, C. H-1	X	
- The Toronto Harbour Commissioners Act, RSC	X	

ORGANIZATION  
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Category

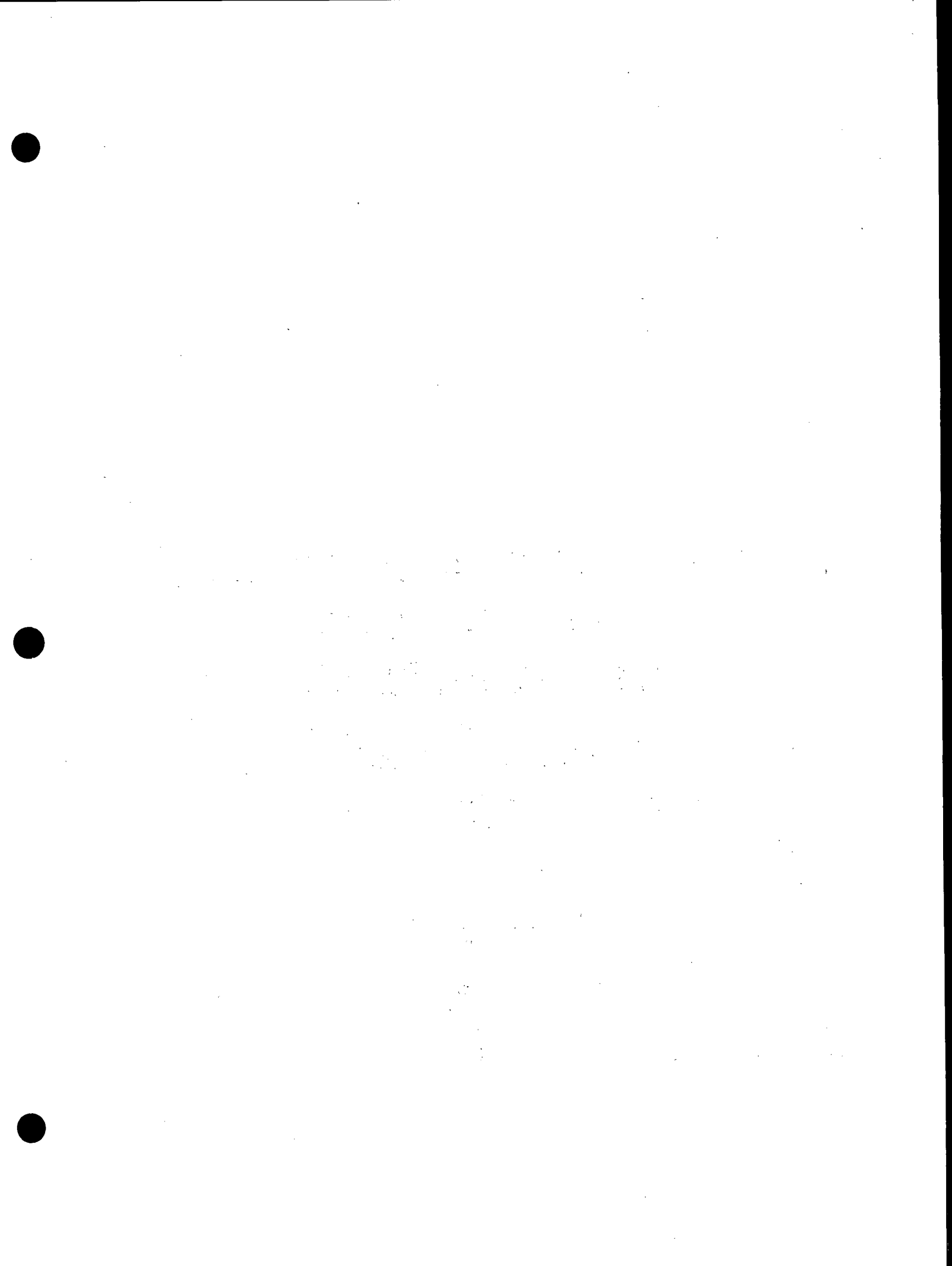
- The Hamilton Harbour Commissioners Act, 1911	X	
- Arctic Shipping Pollution Prevention Regulation	X	
- Canadian Human Rights Act, 1976-77, C. 33	X	X
- Northern Inland Waters Act, RSC, C. 28	X	
- Pilotage Act, 1970, C. 52 & Regulations (See Appendix I for detailed list)		X
- Public Harbours and Port Facilities Act, 1970, and Associated Regulations (See Appendix I)	X	
- Public Service Employment Act, RSC	X	
- Radio Act, RSC, C. R-1	X	X
- Quebec Port Wardens Act/Montreal P.W. Act	X	
- Transportation of Dangerous Goods Act, 1980	X	
- Marine and Aviation War Risks Act, RSC	X	X
- Railway Act, RSC, C. R2	X	
- Transport Act, RSC, C T-14	X	
- Trenton Harbour Act, S.C. 1922, C.50	X	
- Government Vessels Discipline Act, RSC, C. C-15	X	
- Maritime Freight Rates Act, RSC, C. M-3, S.8	X	
- Carriage of Goods by Water Act, RSC, C. G-12	X	
- Shipping Conferences Exemption Act, 1979	X	
- Guide to the Preservation of Essential Records, EPC 12/79	X	X
- DSS Personnel Management Manual	X	
- Pilot of Arctic Canada, 1970, (CHS)	X	
- NEELS (EDP) data (CCGE)	X	
- TP525 Prevention of Pollution from ships	X	
- TP743 Termpol Standards	X	X
- TP1802 Routing Standards, 3rd Ed.	X	
- TP2495 NWPAs: Application Guide	X	
- TP2834 Government Harbours and Piers Act: Gov't Wharves Regulations	X	
- TP4274E Standard Buoys for Aids to Nav.	X	
- Financial Data: RCN's; Financial Codes; Budgeting Details; Blank Forms; Spending Authorities; Accounts Payable, Receivable	X	
- Copies of Existing Collective Agreements for Public Service Employees/Union Agree..	X	X
- Copies of Licenses, permits covering oper., and personnel skills/abilities	X	X
- Engineering/Architectural drawings for CG Bases and Fleet (incl. SAR/Icebreaking)	X	
- Personnel Records, Pension, Pay, Job Classifications	X	X
- Certificates of Incorporation, Charter		X
- Original Stocks, bonds, deeds, and other negotiable instruments (bank deposit data, contracts, lessees, Investment Certificates, etc.)		X
- Insurance Policies in force		X
- Minute books, Records of Decisions, General ledgers, etc.		X

## 6.0 Glossary & Abbreviations

- C.: Chapter
- Emergency: "Any Action or Natural Event which can stop or (d) disrupt the Transportation System"
- EPC: Emergency Planning Canada
- Essential Records: "Records which cannot be immediately replaced after disaster strikes and which will be required to continue operations and to restore/rebuild the organization" (b)
- EPC Definitions of Essential Records (e)
- Category One - records giving information essential for the conduct of survival operations during the shock phase, including, for example, operational plans for the manning of headquarters and operations of the various emergency services.
  - Category Two - records giving information essential in the recovery phase to re-establish the organizational pattern and the basic functions and responsibilities of government, including, for example, records relating to public health, protection of life and property, etc.
  - Category Three - records giving information essential in the recovery phase to re-establish the basic rights of individuals and corporate bodies, including legal, property and other rights.
- Essential Records: "Those records necessary to the life of the company" (i)
- National Emergency Agency, Marine: An agency established by Emergency Planning Order PC 1981-1305 for controlling all forms of Maritime transportation in national emergencies. (Includes: CMTA Departmental Operations; and CMTA Crown Corporations - SLSA, Ports Canada, Pilotage Authorities, Public Ports and Harbours)
- R.S.C.: Revised Statutes of Canada, 1970
- S.: Section

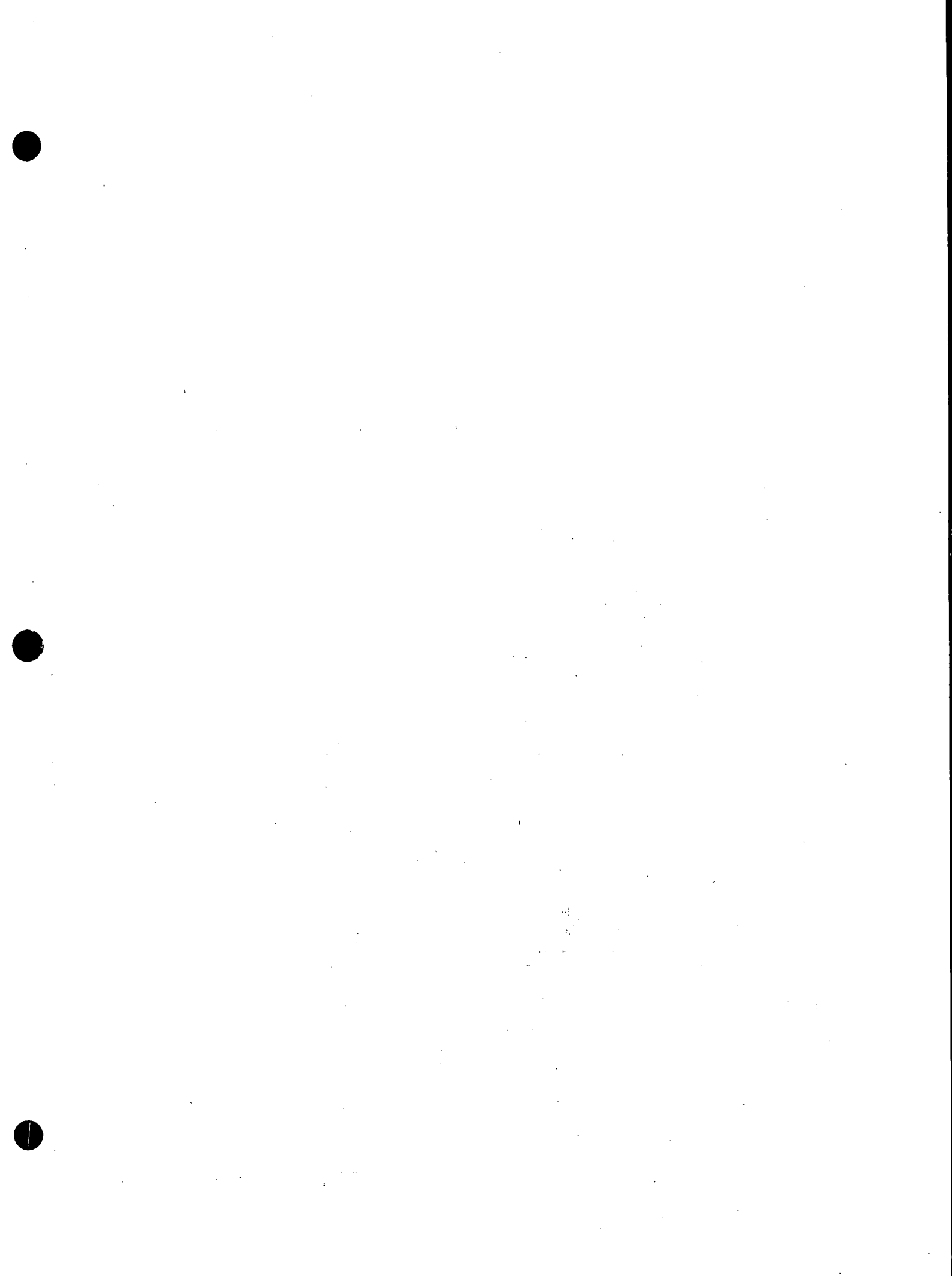
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- c) Blegen, A.H. "Records Management Step-by-Step", Office Publications, Inc. Stamford Connecticut, 1965.
- d) Emergency Planning Canada "Federal Emergency Planning", March 1974.
- e) Emergency Planning Canada "Guide to the Preservation of Essential Records", EPC12/79.
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- g) Griffin, M.C. "Records Management - A Modern Tool for Business". Allyn and Bacon, Inc. Boston, 1964.
- h) Leahy, E.J. & Cameron, C.A. "Modern Records Management", McGraw-Hill, Toronto, 1965.
- i) Place, I. & Popham, E.L. "Filing and Records Management", Prentice-Hall, Inc. Englewood Cliffs, N.J. 1966.



8.0 List of Principal Persons Contacted/Interviewed during Study

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Mr. C.K. Kennedy, QC	General Counsel, Transport Canada
Mr. B. Kuntz,	Records Centre, National Archives
Mr. C.J.R. Lawrie,	Chief, Waterways Development, Coast Guard
Mr. W.A. McCloy,	A/Director, Coast Guard Northern
Mr. W.G. McEwen	Head, Emergency Planning, Transport Canada
Mr. F. Marth	Chief, Marine Finance, CMTA
Mr. R. Mehta	Operations Adviser, Harbours and Ports
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Mr. F. Sherwin	A/Director, Special Projects, Coast Guard
Mr. T.J. Stephen	Director, Planning and Programming Coast Guard
Mr. Glen Stewart	Deputy Commissioner, Coast Guard
Mr. M.A.H. Turner	Director-General, Aids and Waterways, Coast Guard
Mr. B.B. Waine	Superintendent, VTS Projects and Development, Coast Guard
Mr. H.H. Whiteman	Chief, Vessel Traffic Services, Coast Guard



ANNEX B

A GUIDE TO THE PRESERVATION OF ESSENTIAL RECORDS

EPC 12/87

ESSENTIAL RECORDS FOR INDUSTRY

The document Essential Records for Industry was originally published by the Emergency Preparedness Division, Security Services Branch, Department of Supply and Services. The last printing occurred with the publication of the 2nd Edition, 1973. Since much of the data are still valid, extracts from it have been incorporated as an annex to this guide to assist industry in the formulation of their emergency plans dealing with essential records. For ease of reference and reading, the format has been altered to conform to the format of this new guide.

It should be noted that Appendix B - The Admissibility of Photo Copied Documents as Evidence in Courts - which formed part of the original Essential Records for Industry, has not been included in this annex.





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## CHAPTER I

### RECORDS MANAGEMENT AND ESSENTIAL RECORDS

#### The Requirement

1. "Today it seems that a program for the orderly management of records is a corporate necessity."<sup>1</sup> This statement by the American Society of Corporate Secretaries is as valid today as when it was enunciated in 1962. Canadian industry has also recognized the problem. In 1961 the Montreal Board of Trade published a Memorandum on the subject<sup>2</sup> and in May, 1962, "Office Administration" devoted a complete issue to records management. Since that time there have been numerous articles on both records management and the need for the consideration of essential records in such a program.

#### The Functional Approach

2. A company that knows the value of good records management procedures will probably have considered the problem of defining and of preserving essential records, because the two subjects are closely related. True, the former is concerned with all of the records created in the course of normal business while the latter deals only with those records which are essential (or vital) to the company's continued existence during and after an emergency or disaster but both are keyed to the functions of the company.

3. If its records are efficiently organized then their arrangement will reflect the various functions of the company. This will make it much easier to identify the specific functions that will be essential at a time of disaster or emergency and to select the records that relate to them.

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1 Corporate Records Retention Committee, "Survey of Records Retention Practices," American Society of Corporate Secretaries, Inc., 9 Rockefeller Plaza, New York 20, N.Y., p.1, April, 1962.

2 "Retention of Records," circulated by the Montreal Board of Trade, 300 St. Sacrement St., as an enclosure to Board of Trade Circular No. 653, June 1, 1961.

## Procedures

4. Essential records procedures will be simpler to implement and more effective where a good records management program exists. When they are not a part of the usual routine, they will disrupt other procedures to the detriment of all aspects of the records program.

## Microfilming

5. In searching for a solution to their records management problems, a few Canadian businesspeople turned to microfilm. But microfilm is a costly and not necessarily an adequate or effective solution. Many companies which a few years ago embarked upon a microfilm program are now realizing that there are other cheaper and more effective steps which could have been adopted and undertaken, although microfilming is now emerging in automated data processing as an alternative to hard copy printouts.

## Automated Data Records Systems

6. The provision of back-up records for electronic, electromagnetic or electromechanical data processing systems is simply good business practice. It is not expensive and some storage companies provide controlled environment storage facilities for them.

7. The use of automated recording of essential records keeps pace with the expanding use of automated data processing systems used in normal operations. In some areas it is normal practice to create, update and maintain duplicate automated records in secure dispersed storage. To provide this dispersal at nominal cost some data processing companies enter into mutual assistance agreements (MAA). Each participant provides to other MAA participants secure storage, and in an emergency, a specified amount of computer time.

8. The timely and efficient implementation of a mutual assistance agreement requires:

- . "off-site," secure storage of essential records, including copies of mutual assistance agreements, if used
- . an alerting system for emergency teams and their alternates, including a directory of names, business and home addresses and telephone numbers
- . clear definition of their responsibilities

- an operations plan with diagrams, narrative, and specimens are required and including an inventory of records systems and materials, check list for tapes, discs, cards, etc., an established priority of record retrieval and a list of organizations which can produce or print out the records
- designation and organization of an emergency operating centre for retrieving data from essential records
- practice of the emergency operations and the necessary changes to them to correct any shortcomings
- a plan to ensure continuity of automated data communication with customers and suppliers.

### Records Scheduling

9. The most important and useful of these other methods is the development of a records retention schedule and its regular implementation. Allied to this procedure is the provision of a low cost, secure storage area for dormant and inactive records. These are the two prerequisites for an efficient records management program.

### Dispersal Storage

10. There is one requirement, however, that is of primary importance when essential records are to be protected from large-scale disasters. This requirement is the storage of the records outside a possible danger or high-risk area. Where company field offices can be used, the extra cost will be minimal. Where this is not practical or desirable, development of storage facilities in nearby rural areas is the best alternative. Such areas can be used for dormant records storage as well. When this is done, storage procedures for essential records can be reduced to a limited routine. This aspect of good records management - the development of dormant records storage areas - is one that can save money in the long run. The increased utilization of automated data in records systems demands "off-site" secure storage of back-up records.

### Cost

11. What will an essential records program cost? The answer to this question will depend in part on the present state of your records procedures. But any cost incurred for implementation should be regarded as a form

of insurance premium. The costs of selecting, reproducing and storing the essential records must be compared with the possible costs of having to try to operate without them after a disaster.

### Summary

12. Many companies already have some form of essential records programs in effect. Almost every office contains fire-resistant cabinets and blast or shock-resistant safes to protect the important and often essential records of the company. Moreover, a study of the system in the office may indicate that some essential records are being dispersed to a number of locations in the course of daily routines. The company may also operate a storage area or records centre for dormant and inactive records.<sup>3</sup>

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3 National Fire Protection Association, "Protection of Records," N.F.P.A. No. 232, 1960, 470 Atlantic Ave., Boston, Mass. 02210.

## CHAPTER II

### ESTABLISHING AN ESSENTIAL RECORDS PROGRAM

#### Consistency and Support

1. Investigation may reveal that a company essential records program already exists. It is not necessarily true, however, that the company can build a more adequate system of protection on that existing framework. Those records presently receiving special protection were probably selected by different individuals, at different times, and for different reasons. An essential records program to be effective should reflect a consistent management point of view, and not a series of haphazard measures. Moreover, it must have management's unqualified support.

#### Authority for Program

2. One of the most important aspects of an essential records program is the clear delegation of authority and responsibility for the work. If this responsibility lies at a high level in the corporate structure, results and progress are made most easily. This is generally because it has been given to a person who has dealings with all aspects of the company's operation. Often it is the Secretary, the Treasurer or the Internal Auditor, who is made ultimately responsible for records generally and essential records particularly. The individual who knows the interrelationship of all the functions of the various divisions and sections is the person who best can oversee the selection of essential records.

#### Central Direction

3. The operation and administration of the program should be centralized as much as possible. The advantages of such co-ordination are obvious. A representative of one Canadian company with a relatively undeveloped essential records program observed that each division was responsible for the selection, storage, and amendment of its essential records. The company supplied common storage facilities, but that was the limit of central direction.

4. Another company that had centralized the program had better success. In this case the Board of Directors agreed on the advisability of an essential records program, and made the Secretary responsible. This person then delegated his responsibility to the records manager, who drew up a program for the whole company.



## Records Committee and Functions

5. When it has been clearly determined who is accountable for the program, the person responsible should consider establishing a records committee. This committee could provide him or her with detailed information on functions and procedures within the company, and provide the comprehensive view necessary to operate this program.

6. Possibly a records committee already exists. In this case it can attack the problem of essential records. Where a committee must be established, it may be advisable to keep it in existence in order to consider more general records problems. The records committee is an important component of a good records program for it brings the records manager face to face with the records user.

7. The membership of the committee will depend largely on the size and organization of the company. It is important that the members should reflect considerable acquaintance with their departmental functions and records in order to provide a thorough collective knowledge of the company.<sup>1</sup>

8. Computerization has in some cases caused a re-organization of records responsibilities and in many businesses the data processing centre managers are in a good position to assist in identifying essential records.

9. The records committee of one Canadian company interviewed was first concerned with the retention and disposal of records, and it then considered essential records. This indicates again that essential records are really an integral part of any good records program. The following quotation is from a report presented to its management:

"The Committee on the Disposition of Company Records existed at first as two separate committees with identical personnel, one a Committee on the Disposition of Obsolete

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1 A sample membership list for a large company is given in "Systems and Procedures," May, 1957, p.12.

Records, and the other a Committee on the Preservation of Records. A few years ago the two were combined.<sup>2</sup>

A comprehensive program has long since been established for the destruction of useless records, and this program is now a regular part of the Filing Department routine....The program has not resulted in any embarrassing or awkward situations caused by the destruction of old files.

About 12 years ago we commenced microfilming certain records annually, and now have been storing the film in a vault outside Montreal along with a limited number of other duplicate records of importance. The principle we had in mind was that we should provide a duplicate of important records which exist only in Head Office.

The risk of nuclear warfare has inspired the committee to re-examine the entire program for safeguarding minimum essential records, with the consequence that a much more comprehensive program has been developed and put into effect.

The philosophy by which the committee has been guided is that, barring complete devastation which would make it impossible for business to be resumed in anything remotely approaching a normal manner the Company should have in as safe a place as possible the minimum essential records which would enable the surviving staff to carry on...."

#### **Records Committee - Company Functions and Information**

10. While this report gives some idea of the approach of one company to a records committee the more detailed functions of the company must be examined. When the essential records problem is considered, the committee must have a clear idea of the key emergency functions of the company. Next, it must decided what

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2 The Chairman of the Committee was the Senior Vice-President of the company.

information is necessary to permit the execution of these functions. Paradoxically, therefore, the first consideration should not be "essential records." Rather, the committee should consider first "essential information," that is to say, the information that would be essential to the company if it had to re-establish its functions. This may be termed the "functional approach." The records committee of a large American company, after examining this selection problem, concluded that "a functional approach was the best method of selecting records to be safeguarded."<sup>3</sup>

### The Review Approach

11. Another approach that might be taken involves, initially, the review of all record holdings.<sup>4</sup> As each file series is examined, the committee must consider "what the effect on the company's continuity would be if the papers were destroyed or became non-usable."<sup>5</sup> While this method ensures systematic consideration of all records, it can only deal with records now in the file system. It makes no allowance for the protection of information which is not now in record form, but which nevertheless is essential. Moreover, it necessitates an examination of all of the company's records.

### The Functional Approach

12. By using the "functional approach" and determining first, the "essential information," the committee can select the essential records more easily. This is because the committee has a definite goal. Having itemized the essential information it can now locate those records which contain that information. Those records, once located, become the company's essential records.

13. If the record holdings have been arranged to reflect the various functions of the company, the actual

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3 Knight, D.E., "How Lever Brothers Protects its Vital Records," The Canadian Office, January, 1963, p.34.

4 O'Neil, H.F., "Selection and Protection of Vital Records," System and Procedures, May, 1957, p. 13.

5 See Footnote 4.

locating of the essential records is considerably simplified. Very often, however, records are poorly organized. When this is so, an inventory of the complete record holdings becomes necessary. The important point that must be included in an inventory of this nature, is the type of information the records contain. Knowing this, the committee can determine if any one of a file series is essential.

### **Records Inventory**

14. Making an inventory of the records is a basic step in devising a records retention schedule - another key to good records management. In this case, however, the inventory information takes second place to other considerations such as the quantity of the records, their frequency of use, and their legal retention periods.

15. Making an inventory of records is an arduous but major step forward. It is the necessary foundation of a good records program. The committee can use the inventory to locate the records providing the required essential information. Where no records exist that can supply this essential information, documents must be specially created for essential records purposes.

### **Percentage of Total Records**

16. Generally the quantity of essential records should not exceed five per cent of all records of the organization. However, there should not be too much concentration on the reduction of quantity lest the overall program yield too little protection. The correct balance can best be obtained by an accurate and precise definition of the required essential information.



## CHAPTER III

### SELECTING YOUR ESSENTIAL RECORDS

#### Duplication Within the Company

1. When the records containing the essential information have been itemized, the records committee should check carefully to determine if any of the records are duplicated in a number of different offices and locations within the company. Such a check would eliminate the expense of needless duplication. A record that has already been dispersed to a number of branches is probably adequately protected. This method of protection, often referred to as "built-in" dispersal, is the least expensive.

#### Dispersal Through Company Agents

2. Dispersal may also be provided through a company's use of "agents." These agents working on behalf of the company may be banking institutions, trust companies or transfer agents. When some essential records of a company are held by another organization, the owner of the records should determine what protective measures the custodian has taken. The company may conclude from such an investigation that the best way to preserve these records is to ensure their protection itself.

#### Government Duplication Holdings

3. A further example of duplication arises from the records held by government departments. Federally, the Companies Branch of the Department of the Secretary of State of Canada retains certain legal records of federally incorporated companies. Provincially, land registry offices hold detailed land records.

#### Compilation of Essential Records

4. When the records manager has considered all possible sources of duplication and has reduced the number of essential records as far as is practicable, he or she can begin the actual compilation of a set of essential records.

5. Although the records committee may have drawn up a complete list of essential records, the company may feel the cost of implementing the whole program to be beyond its means. It may therefore wish to protect only its "most essential" records.

6. On the other hand, some businesses may find that they can afford to protect not only all their essential records, but a number of other records that would be arduous or expensive to reconstruct. Indeed, if a company is using low-cost storage areas for its essential records, it may be cheaper to keep more records than to sort out the absolutely essential ones. The scope of the essential records program will be controlled primarily by the availability of funds.

#### **List of Essential Records**

7. A listing of "essential records" common to most businesses has been included in this chapter. Its contents were determined after discussions with representative businesses. It is a short list, compared to others which have been suggested,<sup>1</sup> but research could not justify a longer one. The "merely desirable" records have been ruthlessly eliminated, so that only the "essential" records remain. Moreover, the conciseness of the list may convince companies that an essential records program need be neither an administrative problem nor a heavy financial burden. However, this listing should be used solely as a guide. The blanket application by one company of another company's essential records program will not work successfully. A program, to be effective, must be tailor-made for each concern. Moreover, the actual selection of the records must be a matter of judgement, rather than simple and strict adherence to an unvarying definition.

#### **Relative Needs of Companies**

8. It should be remembered that all essential records are relative to the peculiar needs of each company. In this survey most of the companies interviewed agreed that an accurate and recent copy of the accounts receivable was an essential record. One company, however, took exception to this. Because of the nature of their business, their customers were few in number, but "regular and reputable." The Treasurer of this concern stated that he believed it was not necessary to take special precautions with the accounts receivable since it would be easy to reconstruct most of these records from the customers' files.

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1 O'Neil, H.F., "Selection and Protection of Vital Records," Systems and Procedures, May 1957, p. 12.

## Categories of Essential Records

9. Because of the important cost factor, the records listed below have been grouped into three divisions: production, corporate, and financial. This division will permit the program to be introduced in stages, as funds allow.

### Production Records

10. This group is intended to include those records which contain the information essential to the primary end of the company's efforts. These records are of five basic types.

- 1) Production Formulae. These records contain necessary production data such as recipes for mixtures, details of work flow and production procedures.
- 2) Engineering Records. These are records of work in process and completed for customers, as well as of plant machinery and the plant itself, and will probably take the form of drawings and blueprints. These records give rise to another consideration. If the plant and machinery received considerable damage they would probably have to be completely replaced. Thus the records of the old and damaged machinery would be of no use at all. But, if the damages were only slight, these records would be valuable in ordering, or making new parts.
- 3) Supplier Listings. These records, indicating alternate sources of material, and possible alternate materials, could also be used to indicate the approximate quantities of materials required. Such information would be necessary for a renewed purchasing function.
- 4) Computer Program Tapes. These records would be essential for the renewed operation of a computer.<sup>2</sup>

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2 "Protecting E.D.P. Tapes," Administration Management,  
November, 1962, pp. 60-62.



- 5) Research Records. This description can encompass a whole variety of records. They range from laboratory reports to records of exploration for raw materials.

#### **Financial Records**

11. These records are of three basic types.
  - 1) General Ledgers and Journals and Accounts Receivable and Payable. These should be retained if not already duplicated on the general ledgers and journals.
  - 2) Banking Records. These should be sufficient to re-establish the company's financial position with banking institutions.
  - 3) Payroll Records. These should also include listings of payroll deductions for a pension plan or equivalent. If this plan is organized through an insurance company, it is likely that accurate records will be protected by that company.

#### **Corporate Records**

12. Listed are types of corporate records.
  - 1) Minutes of Directors' Meetings. These can also be used to recreate company by-laws and regulations.
  - 2) Records of Company Incorporation and Registration. Although these records are duplicated in the Corporations Branch of the Department of Consumer and Corporate Affairs for federally incorporated companies, individual businesses should ensure that their own copies of the records are adequately protected.
  - 3) Records of Stock, Bond, and Debenture Issues, Together with Lists of Holds and Records of Transfers. Although companies are required to retain these records, very often their transfer agent does so for them. In this case companies should ensure that their records will be adequately protected.
  - 4) Listings of Property Owned and Leases Held. Companies should check with the Provincial Land Registry Office to determine that the more detailed records are being protected.

However, if these records are held locally in field offices, they may already be adequately protected.

- 5) List of Insurance Policies and Canadian Patents Held by the Company. A listing of these records should be sufficient since the Patent and Copyright Office of the Department of Consumer and Corporate Affairs holds the more detailed information of each Canadian patent. Companies holding foreign patents may have to protect these records in their entirety.
  
- 6) Management Succession List. A mere perusal of some of the literature on essential records leads one to believe that this is one of the key essential records. In the survey it was agreed, almost without exception, that as far as Canadian business was concerned, this was not the case. Many companies rely on the availability of senior branch management scattered across the country to replace managerial casualties, without the benefit of a formal succession list. There is one highly effective alternative to such a list. This is the provision in company by-laws empowering the Board of Directors to act even though a large majority of the members might be unavailable. A series of these emergency by-laws has been published indicating how a Board might continue its functions under extraordinary conditions.<sup>3</sup> Under these special provisions a decimated Board could meet and, knowing who was available and their capabilities, proceed to fill the vacant management positions. Some companies which, as a regular administrative program, have developed "management in depth" find the construction of management succession lists relatively easy.

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3 "Company Continuity in Case of Disaster," Conference Board Business Record, November, 1961, pp. 7,9, 14; see also Continuity of Corporate Management in event of Nuclear Attack American Society corporate Secretaries, Inc., 9 Rockefeller Plaza, New York 20, New York, 1963, Appendix B, pp. 21-36.

The records listed here constitute the core of an essential records program. However, it is a list that will have to be used with care and adapted to the special needs of each company.

#### Finding Aids and Storage

13. When it has been decided which of the essential records should be duplicated (Chapter IV) and which will be stored in the original form, the records can be boxed or placed in filing cabinets ready for storage. At this stage a "finding aid" must be devised to permit ready use of the records. These aids should also serve as master inventories. They should describe the form in which the records are being preserved, their arrangement and their location. Moreover, the finding aids should be amended promptly whenever the records are amended.

14. If the finding aids give adequate descriptions, they permit a person who may be unfamiliar with all aspects of the organization to locate the essential records quickly. The finding aids become more important if the essential records are located in several places.

15. The finding aid itself may be arranged in a number of ways. It may be a simple alphabetical listing of subjects, indicating where the records relating to each may be found. It may also be a listing by file number, again indicating the subject and location. Basically, the finding aid should list all of the types of essential records, the information they contain, and where they may be found.

16. The finding aid is the key to the information in a company's essential records. For this reason it should be located with the essential records, and copies should be distributed to all those who may be required to use the records.

## CHAPTER IV

### DUPLICATION OF ESSENTIAL RECORDS

#### Selection of Method

1. Once the essential records have been selected, the problem of duplication must be considered. There are several methods of duplicating records, and each has its own advantages. The method best suited to the duplication of a specific type of record can be adequately determined only when it is known with what rapidity the information must be retrieved. Where quick retrieval is necessary after a disaster, copies must be made so that they can be read without mechanical assistance. Microfilm, punch cards or electronic data systems are suitable ways of storing the information. Storing essential records in electronic data processing systems is the fastest, most economical method. It has the added advantage of quick retrieval if read-out equipment is available.

#### The Carbon Copy

2. The least expensive form of duplication is the creation of a carbon copy. The essential record is created at the same time as the original document with very little extra expense. One Canadian company with a well-advanced essential records program uses the carbon copy method of duplication to a large extent. (See Appendix A.) In this instance those documents containing essential information which were created before the essential records program was introduced, were microfilmed. A carbon copy now keeps them current. This method of duplication, however, is not always practical.<sup>1</sup>

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1 For reports on photo copying equipment, see Perry, W.E., "Microfilm 1962" Administrative Management, November 1962, pp. 40-55. See also, Kleinschrod, W.A. "Unscrambling the Claims about Copiers, "Administrative Management, March 1963, pp. 43-64.

### **The Photocopy**

3. Some types of photocopy may prove to be better than carbon copies. When considering this method of duplication, all aspects should be investigated. Prolonged storage may tend to discolour or otherwise affect the image. Most photocopies, moreover, require affidavits attached if they are to be used as evidence in court. The most important consideration of all is the actual cost of duplicating.

### **The Mircofilm Copy**

4. When dealing with microfilm in an essential records program, cost is not the major factor to be considered. The most important is the ease with which filmed documents can be reproduced. The production process requires special materials and equipment that may be unavailable in time of emergency - the precise time when the information will be required.

5. In the following chapter, emphasis has been placed on the need for continual amendment of essential records. This is the only way that information being stored can be kept current. The amendment of microfilm stored on reels is accomplished only with difficulty and expense. Where, however, microfilm is used in conjunction with aperture cards, the amending process is easier. But even when it is possible to keep microfilmed records current, there is always the problem of reproduction.

6. Nevertheless, several of the companies examined by the survey team were found to be using microfilm in their regular and essential records procedures. One large manufacturing industry used microfilm in aperture cards for the storage of blueprints and engineering drawings. These cards were used not only in the regular operating routines of the company but a duplicate was made and stored as an essential record in a vault some distance from the production areas. In this case the use of microfilm solved problems of duplication and storage. As long as reproduction of the microfilm was possible this was an excellent arrangement.

7. Another company, with many field offices, had developed an extensive system of protection using microfilm. Using the field offices as storage areas, the system is a good example of protection by dispersal. Microfilm was a practical possibility here, for two reasons. The dispersal process involved sending the records some distance across the country, hence compactness was a necessity. Moreover, because of the

quantity of the records, the use of duplicates or carbon copies would have made the whole program unwieldy. In addition, amendment did not present a problem because it was only necessary only to add to, rather than replace or revise, the original documents to keep them current.

### Computer Systems

8. Although microfilm is in common use now, the future will no doubt see greater use of electronic systems and punch cards for the compact storage of information. Electronic systems, however, must be protected from the effects of Electro Magnetic Pulse (EMP).

9. At the request of the former Canada Emergency Measures Organization, Atomic Energy of Canada Limited conducted an experiment on several types of pre-recorded computer tapes. Both "Mylar"<sup>2</sup> and "phosphor bronze" tapes were exposed to gamma radiations of 1,000 roentgens and 100,000 roentgens. The tests revealed no evidence of damage either to the recorded information or to the physical properties of either type of recording tapes.

10. Other studies<sup>3</sup> of this problem confirm basic findings of Atomic Energy of Canada Limited. However,

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2 "Mylar" is the trade name for polyethylene terephthalate resin.

3 See: Meyerhoff, J.A., Digital Applications of Magnetic Devices, (John Wylie and Sons, New York, 1960). United States Atomic Energy Commission, Technical Memorandum-AEC 3391, August 18, 1955; Mason, A.E. Determination of Optimum Materials for Flat Cable Manufacture, UCRL 130044, produced for the University of California by the Product Engineering Laboratories of Packard Electric Division, General Motors Corporation, Warren, Ohio, issued on Microcard 10/9, 1962; "Effects of Radiation on Plastic Packaging Films" Industrial and Engineering Chemistry, March 1958, pp. 323-326; and "Alpha Particle Thickness Gauge Using a Solid State Detector", Nuclear Instruments and Methods, June 1961, pp. 111-114.

these studies show that acetate base tapes become extremely brittle after concentrated exposure to a pure gamma radiation. They confirm that the "Mylar" base tapes retain their strength and elasticity, and lose none of the information recorded. Magnetic tapes generally require special protection from fire because they are more combustible than paper and give off highly toxic fumes in the process.<sup>4</sup>

#### **Compilation Date Identification**

11. When essential records are being duplicated by any method, each should bear the date of compilation. This date will enable those concerned to readily determine whether or not the information is the most recent data available. Original records that have been copied or reproduced for essential records purposes should indicate when and by whom the document was reproduced. This will eliminate checking at some future date to ensure that records have in fact been selected and duplicated.

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4 For a discussion of this problem see, "Protecting E.D.P. Tapes", Administrative Management, November, 1962, pp. 60, 62.

## CHAPTER V

### THE STORAGE AND AMENDMENT OF ESSENTIAL RECORDS

#### Storage Protection

1. After the essential records have been selected, it is imperative that they be adequately protected or all preceding efforts are useless. The best protection is through dispersal - storing them at another and preferably low-risk site. This protection should be supplemented by use of proper equipment at the storage area and, when necessary, by regular amendment of the records.

2. When essential records are dispersed, a complete set should probably be located in at least one place. If this is not possible, a complete finding aid should be located with each portion of the records, indicating where the balance may be found.

#### "Built-in" and "Planned" Dispersal Procedures

3. Since an essential records program is most effective when it is a routine part of the regular records program, every effort should be made to use existing day-to-day procedures. Thus for dispersed storage areas, field offices should receive first consideration. A close examination may reveal that a high percentage of essential records is already being dispersed to field offices. Such "built-in" dispersal can be supplemented by "planned" dispersal. By this procedure the balance of the essential records (i.e. those not regularly distributed) can be delivered to those field offices selected as the best repositories.

#### Records Centres - Individual or Composite

4. Another type of storage area may be a "document building" or "records centre." This building can serve mainly as a storage area for dormant records. If its location is outside a possible disaster or high-risk area it can also be used as an essential

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1 National Fire Protection Association, Protection of Records, NFPA, No. 232 1960 p. 72.



records repository. By allowing safe and inexpensive storage, a records centre becomes an important part of a good records management program as well as offering accommodation for essential records. If a company is not large enough to have its own records centre (and an essential records repository) it could develop some sort of mutual plan by sharing facilities with other companies.

5. One scheme of this nature involves an agreement to store essential records with a company in a low-risk area. This company might be a supplier, a customer or a records storage company. Many industries have found this latter solution to be excellent, and are employing these companies to store their dormant and essential records, sometimes in underground locations.<sup>2</sup>

#### **Other Disposal Localities**

6. Some Canadian companies have developed their own storage facilities specifically for essential records. One company in the Toronto area has constructed a large vault in an abandoned quarry. Another company near Calgary has similar accommodation in the foothills of the Rocky Mountains. Smaller companies may obtain a more limited form of protection by storing their essential records inexpensively at the home of a company executive, a potential user of the records.

#### **Storage Equipment**

7. The basic protection offered by storing records at another site can be increased by the use of proper storage equipment. Although this equipment is fairly standard, each type has its own advantages and disadvantages.

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2 See "Corporate Cavemen," The Wall Street Journal, December 23, 1960; also Mellon Bank News, Vol. 12 No. 2, October 1959; also "How to Protect Vital Records from Destruction," published by Underground Vaults and Storage Inc., 617-623 Union National Bldg., Wichita 2, Kansas.

- 1) Four-Drawer Filing Cabinets (with lock and bar). These cabinets are probably one of the best means of storage from the point of view of accessibility and protection. However, they are the most wasteful of space, the most expensive, and when full, the most difficult to move.
- 2) Transfer Cases (single drawer enclosed cabinet). Transfer cases (unlike the filing cabinet) offer the advantage of full utilization of height, since they can be stacked and interlocked to the height of the room. They are portable and can be easily removed and interchanged. They also feature the same accessibility and protection to the stored records as that provided by filing cabinets.
- 3) Steel Shelving and Cardboard Boxes. Steel shelving and cardboard boxes provide both the cheapest means of storage and maximum utilization of space. While shelving does not give the same protection as cabinets or transfer cases, the use of semi-fireproof cardboard boxes overcomes this lack in many ways. The cartons give the records excellent protection from fire, yet are easily movable and can accommodate most type of records. As a rule, however, the use of shelving and boxes can be justified only if a large quantity of records is involved.<sup>3</sup> Small companies, unless now using shelf-filing systems, will find it easier to allot two or three filing cabinets or transfer cases than to purchase a few feet of shelving and some cardboard boxes.

#### Need for Updating (Amendments)

8. The importance of keeping essential records current cannot be overemphasized. An obsolete record is often a worse-than-useless essential record. The amendment of essential records is necessary and will be easy if it becomes part of the regular routine in a records program. If the amendment procedure is troublesome, it will be neglected and forgotten. The

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3 Ross, H.J., Paperwork Management, (Office Research Institute, P.O. Box 744, South Miami 43, Florida) pp. 88, 91.

essential records being stored will then be of little practical use.

#### **Amendment Procedures**

9. One company which operates its own records centre has recognized the wisdom of using its regular records procedures for essential records purposes. Each day the company sends essential records amendments to the records centre. They are clearly marked to indicate where they are to be interfiled. Obsolete records are removed when this interfiling is done. In this instance the total quantity of essential records being serviced is 25 cubic feet, and the related duties account for only two hours work a week. These duties are routine and the records are current. Although amendment is the final consideration in an essential records program, it is no less important than all other steps.

#### **Regular Program Review**

10. Finally, the adequacy of the whole essential records program should be regularly reviewed by the records committee. As the company develops and grows, it will require more, or different, essential information and, therefore, more, or different, essential records.

APPENDIX 1

A Sample Essential Records Program

The following Appendix has been compiled from the essential records program of a large Canadian company. The company is basing its protection on the dispersal of its essential records. Some records are dispersed automatically as a result of normal procedures; others are sent to the company's records centre. This compendium clearly reveals how closely an essential

records program can interlock with the overall records system. The first column on the left of the page lists the essential records suggested in Chapter III. The next column lists the records actually selected and protected by the company, as well as the reason for protecting that particular record. The remaining columns complete the information.

Suggested Type of Essential Record	Type of Record Series Actually Selected and Reason for Protection	Method of Protection	Frequency of Amendment	Retention Period
A. Production Records				
1. Production Formulae	STANDARD PRACTICE INSTRUCTIONS To re-establish customer processing specifications	Built-in dispersal		
2. Engineering Records	ENGINEERING DRAWINGS To re-establish basic engineering data	Microfilm. Disperse to records centre		
3. Supplier listings	SUPPLIERS' CONTRACTS To re-establish contractual obligations and agreements	Built-in dispersal. Copies maintained in Secretary's Department, and with supplier	As produced, with copies of backlog as time permits	Indefinite

Suggested Type of Essential Record	Type of Record Series Actually Selected and Reason for Protection	Method of Protection	Frequency of Amendment	Retention Period
B. Financial Records				
1. General Ledgers and Journals	1) GENERAL LEDGER To establish assets and liabilities of the company	Microfilm and disperse to records centre	Annually	Permanent
	2) JOURNAL ENTRIES To reconstruct the general ledger between the periods of its annual microfilming and provide supporting data for all General Ledger accounts	Microfilm and disperse to records centre	Monthly	Indefinite
2. Accounts Receivable and Payable	1) INVOICE REGISTERS - DAILY To reconstruct outstanding accounts receivable	Tabulating copy. Disperse to records centre	Daily	Three months
	2) ANNUAL FINANCIAL EXHIBITS To establish basic financial data	Bring the microfilm up to date initially and retain existing microfilm. Carbon copy in future.	Annually	Permanent

Suggested Type of Essential Record	Type of Record Series Actually Selected and Reason for Protection	Method of Protection	Frequency of Amendment	Retention Period
3. Banking Records	1) BANK DEPOSIT - DAILY To establish the company's daily cash position, in all banks in which it has deposits	Disperse to records centre Carbon copy. Disperse to records centre	Daily	Three months
	2) YEAR END LISTING OF SECURITIES (AUDITED) To establish the securities owned by the company	Carbon copy. Disperse to records centre	Annually	One year or until superseded
4. Payroll Records	1) SECURITY INSTRUCTION LETTERS To establish the securities in the pension trust fund. These records will bring the annual exhibit of securities in the fund up to date	Carbon copy. Disperse to records centre	As prepared	18 months

Suggested Type of Essential Record	Type of Record Series Actually Selected and Reason for Protection	Method of Protection	Frequency of Amendment	Retention Period
2)	<p>EMPLOYEE CONTRIBUTION RECORDS-ANNUAL            To reconstruct an employee's retirement equity in the Contributory Retirement Plan. This record establishes an employee's total contributions. The payroll registers permit reconstruction of an employee's contributions up to the last pay period</p>	<p>Tabulating copy.            Disperse to records centre</p>	Annually	One year or until superseded
3)	<p>PAYROLL REGISTERS            To reconstruct the gross salary deductions and net pay of each employee</p>	<p>Tabulating copy.            Disperse to records centre</p>	Monthly	15 months

Suggested Type of Essential Record	Type of Record Series Actually Selected and Reason for Protection	Method of Protection	Frequency of Amendment	Retention Period
C. Corporate Records	MINUTES OF MEETINGS OF BOARD DIRECTORS To establish official corporate policy as determined by the Board of Directors	Bring the microfilm up to date, initially retain existing microfilm. Carbon copy in future. Disperse to records centre	As prepared	Permanent
1) Minutes of Directors Meetings	MINUTES OF MEETINGS OF BOARD DIRECTORS To establish official corporate policy as determined by the Board of Directors	Bring the microfilm up to date, initially retain existing microfilm. Carbon copy in future. Disperse to records centre	As prepared	Permanent
2) Records of Stock, Bond and Debenture Issues, together with lists of holders and records of transfers	SHAREHOLDER LEDGER CARDS To establish the number of shares held by each shareholder	Built-in dispersal. Copies maintained in Secretary's Department and by Transfer Agent		
3) Listings of Property owned and leases held	TITLE DEEDS To establish ownership of the company's property	Built-in dispersal. Copies maintained in Secretary's Department and local registry offices		
4) List of Canadian Patents held by the Company	RECORDS OF AGREEMENTS AND PATENTS To establish a record of all current agreements and patents	Microfilm existing record, initially. In future prepare carbon copy. Disperse to records centre	Monthly	Indefinite





The dated Bibliography from Essential Records for Industry has been included in this annex because much of the data is still relative to the establishment of an effective Essential Records Program. The availability of each publication may be influenced by whether the publication is still in print and the name and address of the Publisher has not changed.



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