

Guideline 2

Identifying Recordkeeping Requirements

Funafuti, Tuvalu
June 2013





Recordkeeping Capacity no. 6: Does the organisation know what its recordkeeping requirements are?

Recordkeeping requirements:

- Are a need to keep evidence of an organisation's actions and decisions
- Are usually identified in laws, policies, procedures, rules, reviews, etc
- Should be documented
- Should be regularly reviewed



Why Develop this guideline?

- To help agencies identify what records they need to create and manage
- To help records managers convince their colleagues they need to take some action
- To help agencies comply with the law
- To help agencies operate efficiently
- To help agencies account for their actions



What is a Recordkeeping Requirement?

- a need to keep evidence of the organisation's actions and decisions.
- are usually documented in rules, procedures, guidelines or laws
- Example
There shall be a register of licensees.





Public Expectations

- Recordkeeping requirements could also be an expectation from the public/community

PUBLIC ANGRY OVER PASSPORT RED TAPE

A local man has complained to the Ombudsman about his treatment by the Passports Office after he was refused a replacement for his lost identity document.



How to identify requirements

There are three main steps in identifying an organisation recordkeeping requirements.

1. identifying and collecting sources
2. recognising recordkeeping requirements
3. documenting recordkeeping requirements.



Sources: Laws

1. Find all laws relating to your organisation
 - Enabling legislation
 - Administered Legislation
 - Administrative Legislation

Where would you get this information from?





Sources: other external sources

1. Regulations and government policies relevant to your organisation
2. Reports or investigations
3. The Media
4. The public

Full list on page 9.



Sources: internal sources

1. Staff
2. Internal strategic and planning documents
3. Organisational procedures

Involves talking to people!





Recognising Recordkeeping Requirements

- Your sources will tell you - but not always specifically!
- Find or listen to the recordkeeping words

Agenda / document / form / receipt / permit / evidence full list on page 11





Types of recordkeeping requirements

1. Create a record
 - forms, information, “there must be..”
2. Maintain a record
 - time periods, locations
3. Dispose of record
 - “destroy after ...”, “forever...”
4. Provide access
 - “inspection”, “open”, “restricted”



Document requirement

- Appendix 1 of the guideline
- Options for grouping them together
 1. Business activity
 2. Section of the organisation
 3. Importance



Group Discussion



What are some of the recordkeeping requirements of your organisations.

Identify some examples of each and state whether they relate to
Laws / government policy / organisational needs / public expectations



Strategies for using the requirements you've gathered

1. Reward good behaviour and good recordkeeping
2. Convincing people to change procedures
3. Reporting to senior management
4. Reviewing the requirements periodically

Thank You

