

Guidelines 4-6

Developing a file plan for government agencies

Tuvalu Government Filing Manual

Funafuti, Tuvalu
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Aims of this Session

- Understand what a record plan is and how it relates to file titling
- Understand the concept of functions and activities of a government body and how they relate to record plans and file titling
- Introduce PARBICA's model record plan and the other toolkit guidelines associated with it
- Get to know the Tuvalu Government Registry Filing Manual
- Practice using the Record Plan for file titling
- Come up with some ideas for development



Reminder of Recordkeeping Capacity

Question 7: Can the organisation find particular records when it needs them?

Finding records is easier if you use:

- A file creation and movement register
- Secure storage that only RM staff can access
- A naming and numbering system that all staff can understand



What is a Record Plan?

- A Record Plan is a type of file titling system.
- Other terms you might have heard are:
 - File Index
 - File Plan
 - Thesaurus
 - Business Classification Scheme



Why have a Record Plan?

- Why have a file titling system?
 - Otherwise:
 - Staff may use their own systems
 - Filing can be inconsistent
 - Filing may not happen
 - Documents might be lost
 - Objectives may not be achieved



Why have a Record Plan?

- Records need to be accessible. We need to be able to find them when we need them.
- This means giving them titles that:
 - Reflect what is in the files; and
 - Are understandable to the people using the files



Why have a Record Plan?

Administration – General – Miscellaneous



Why have a Record Plan?

IM Report on ISO15489 Implementation



Why have a Record Plan?

- Record Plans help us to avoid general titles by:
 - Linking file titles to the work that we do;
and
 - Providing flexibility to make file titles that reflect specific tasks and actions



What is a Record Plan?

- Record Plans help us to avoid confusing file titles by:
 - making sure everyone uses the same words to describe the same thing



Digital Recordkeeping

Christchurch Regional Office

Dunedin Regional Office

Access Management

Acquisition

Agreements and Contracts

Liaison

Meetings

Outsourcing

Planning

Policy

Procedures

Projects

Public Reaction

Appreciation

Complaints

Congratulations

Reading Room Management

Remote Reference Management

Reporting

Reprographics

Research

Responsiveness to Maori

Appraisal and Disposal

Clients

Financial Management

Government Relations

Information Management

Intellectual Control of Archives

Physical Control of Archives

Preservation

Property Management

Publication

Recordkeeping in Government

Remote Reference

Staff Management

Stakeholder Relations

Strategic Management

Technology and Telecommunications

Utility Folder



What is a Record Plan?

- Records are related to the work that we do
- Remember – a record is evidence of a business transaction
- No work – no records!
- So, it makes sense to base the name of a record on the business transaction that the record is evidence of.



What is a Record Plan?

- A Record Plan is a system for creating files and file titles based on the organisation's **FUNCTIONS** and **ACTIVITIES**



What is a Record Plan?

- Functions are the broad aims or purposes an organisation is set up to achieve:
 - Part of the Bureau of Public Service System's purpose is:
 - To provide employment services to government
 - To provide training services to government; and
 - To monitor the overall performance of the public service



What is a Record Plan?

- Activities are the groups of processes or actions the organisation takes to carry out its functions:
 - to fulfil its function of performance monitoring, the BPSS might:
 - Provide advice
 - Publish standards
 - Request reports



What is a Record Plan?

- A file at the BPSS about providing advice to Ministries about public service values statements could be called:
 - Performance Monitoring – Advice – Instructions to Ministries on public service values



What is a Record Plan?

- Advantages:
 - Files closely follow work
 - Easier to find the right file to put documents on
 - Easier to be accountable for our work
 - Easier to understand file titles because they use the terms we use in our work
 - No need to change filing system when organisation structure changes
 - File titles are more flexible and specific
 - Don't have to think in advance of every possible file title



Introduction to PARBICA Record Plan:

Reminder of key concepts:

Functions = the broad aims or purposes an organisation is set up to achieve:

Activities = the groups of processes or actions the organisation takes to carry out its functions

Subjects = The specific action or process taking place documented in the file



Introducing the PARBICA Record Plan

- Record Plans relate to the functions of an organisation
- Each organisation within government has its own unique functions,
 - only the BPSS sets standards for public service personnel
 - eg only the Passports Office in the Ministry of State issues passports
- Therefore, each organisation needs its own Record Plan



Introducing the PARBICA Record Plan

- But... there are some functions that all government organisations do to help them carry out their work
 - eg financial management: all Ministries need to carry out tasks to manage their money, develop budgets, make payments etc



Introducing the PARBICA Record Plan

- PARBICA has developed a Record Plan for the functions that all Ministries carry out:
 - Asset and Resources Management
 - External Relations
 - Financial Management
 - Information Management
 - Personnel and Establishment
 - Strategic Management

Introducing the PARBICA Record Plan

- Administrative or Common functions – the functions that all Ministries carry out to support their work
 - eg all Ministries have to manage their finances
- Core functions - the functions that only one Ministry carries out
 - eg only the Passports Office in the Ministry of State issues passports



Introducing the PARBICA Record Plan

- All Ministries manage their staff and establishments BUT... BPSS has a special responsibility to manage all public servants
- All Ministries manage information BUT... the National Archives has a special responsibility to manage records about the government



Introducing the PARBICA Record Plan

- Record Plans describe the Functions and Activities of an organisation
- These headings can also be used to describe the files that document these Functions and Activities
- The PARBICA Record Plan also gives examples of the kinds of records that might be produced when we carry out these functions and activities



Reiteration:

Introducing the PARBICA Record Plan

- A Record Plan helps to describe records consistently so that people can find them easily
- Because each Ministry's work is unique, each Ministry needs its own Record Plan
- Some functions are carried out by all Ministries, and PARBICA has developed a Record Plan that can be used by (almost) anyone for these functions



Related guidelines

- Guideline 4 – model administrative record plan
- Guideline 5 – advice on how to adapt the model administrative record plan
- Guideline 6 – developing a record plan for core functions



Introducing the Tuvalu Government Filing Manual

Group activity: Getting to Know the Tuvalu Government Filing Manual





Group activity

5 groups:

- 3 groups do sections 1-8
- 2 groups do sections 4-17

Each group reports back on:

- 2 things they consider as being the most important messages; and
- 2 things that they don't already do

Afternoon Tea



How to use the PARBICA model record plan for file titling





How to Use the PARBICA Record Plan

- These are still very broad headings that aren't much help on their own as file titles:
 - Financial Management – Budgeting
 - Asset and Resources Management – Acquisition
- It is usually more efficient to have more specific file titles:
 - so that we can find information quickly
 - so that files don't become hard to manage



How to Use the PARBICA Record Plan

- When we use the PARBICA Record Plan, we need to develop file titles in three parts:
 - Function: eg Asset and Resource Management
 - Activity: eg Acquisition
 - Subject: eg Purchase of new photocopiers



How to Use the PARBICA Record Plan

- Step-by-step:
 - Decide on a function (first part of the file title) *eg Asset and Resources Management*
 - Chose an activity from the list for that function (second part of the file title) *eg Acquisition*
 - Develop a title that reflects what the document is about (third part of the file title) *eg Purchase of new photocopiers*

Group activity: Using the PARBICA Record Plan





Using the Record Plan - Exercises

- Look at each sample document
 - Which function?
 - Which activity?
 - What other information would you put in the file title?



Ministry of Home Affairs' experience of using the PARBICA Record Plan

- Updating the file index



Using the Record Plan - Discussion

- What do you think of the Record Plan?
- Do you think you can use it to improve your own existing systems?
- What would you need as support for this?

Wrap Up

- Governance is the systems, structures, processes and rules used to make decisions, take action, manage resources and monitor progress
- We need complete, accurate and reliable records to help us make decisions, take action and monitor progress



Wrap Up

- 10 steps to good recordkeeping were addressed yesterday.
 - Policy
 - Senior management support
 - Assigned responsibilities
 - Training
 - Procedures
 - Understanding recordkeeping requirements
 - **ACCESSIBLE RECORDS**
 - Authorised disposal
 - Secure storage
 - Performance measures



Wrap Up

- Record Plans help make records accessible
 - Good file titles reflect what is in the files;
and
 - Are understandable to the people who use
the files
- Using functions and activities helps to make
file titles consistent and understandable over
time

Wrap Up

- All organisations have core functions – the things they are set up to do
- All organisations also use administrative or common functions – the work they do to support their core functions
- Sometimes core functions and common functions can look very similar – we need to remember the differences

Wrap up

- PARBICA's model administrative record plan and the other toolkit guidelines associated with it can be adopted or used to help update existing file titling systems
- The Tuvalu Government Registry Filing Manual is a resource for guidance on Registry procedures, including file titling



Actions

- What next?
 - What you plan to do using the filing manual or the Record Plan