

# Guideline 1

## Recordkeeping Capacity Checklist

Brisbane  
August 2012



# Capacity Checklist

## Recordkeeping for Good Governance Toolkit

### GUIDELINE 1: Recordkeeping Capacity Checklist



 **PARBICA**  
Pacific Regional Branch International Council on Archives

- Is my organisation managing records well?
- Ten questions with Yes or No answers



# Why Develop a Checklist?

- To understand what problems agencies have
- To identify priorities for action
- To convince others they need to take action
- To convince others that you are doing a good job



# What is Recordkeeping Capacity?

Having the:

- **Structures**
- **Processes**
- **Staff**
- **Resources**
- **Rules**



to create, find, preserve and dispose of records



policies. CONTACT PARBICA for more information.

## ***2. Do the senior managers of the organisation support good records management?***

Yes  No

Senior management can show their support for good records management by:

- assigning overall responsibility for records management to a senior manager in the organisation, such as the head of corporate services or the undersecretary
- providing adequate budget resources for records management staff and equipment
- ensuring that breaches of the organisation's records management policy are properly investigated and appropriate penalties applied.

Having support from senior managers makes it much easier to keep good records. If senior managers show that they support good records management, other staff will understand that keeping good records is important and will follow the procedures and rules set by senior managers.



## 2: Do the senior managers in your organisation support good records management?

Senior Managers can show support by:

- Assigning responsibility for RM to a senior officer
- Providing adequate budgets, resources and training
- Making sure penalties are applied when staff break records management rules



# Why is it important that they show support?

- Sets an example for all staff
- Makes sure staff know they will be punished if they don't manage records properly
- Makes sure records management is considered in high-level planning

## **2: Do the senior managers in your organisation support good records management?**

What can you do if they do not show support?



- Use the *Good Records Good Governance* brochure
- Make presentations on importance of good records management
- Talk to your own National Archivist



## 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, reviews, etc
- Should be documented
- Should be regularly reviewed

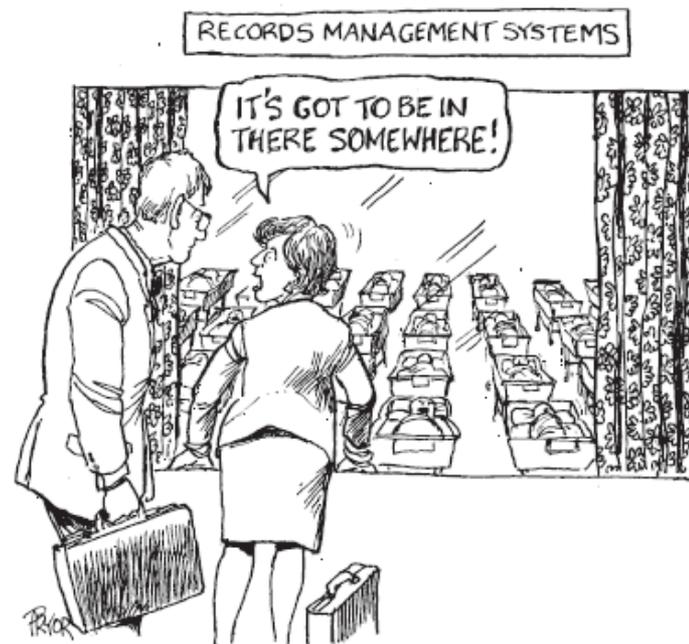
# Why is it important to identify requirements?

- So that the organisation creates the records it needs
- So that the organisation can manage records correctly
- So that the organisation keeps its records for as long as it needs them, but no longer

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

It is easier to find records 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





THE SECRETAR  
DEPT OF HOME  
AUSTRALIA  
COMMUNICAL

4756

100  
100  
100



# Why is it important to be able to find records easily?

- So that staff can work more efficiently
- To make informed decisions, because all relevant information is available
- To make sure that all of the information about an activity is in the same place
- To make it easier for staff to use the records management system



## 8: Does the organisation abide by the government's rules for deciding when its records can be destroyed?

Disposal rules:

- Often require the government archivist's agreement
- Should help to preserve historical records
- Should be based on the organisation's recordkeeping requirements



# Why is it important to have rules for disposal?

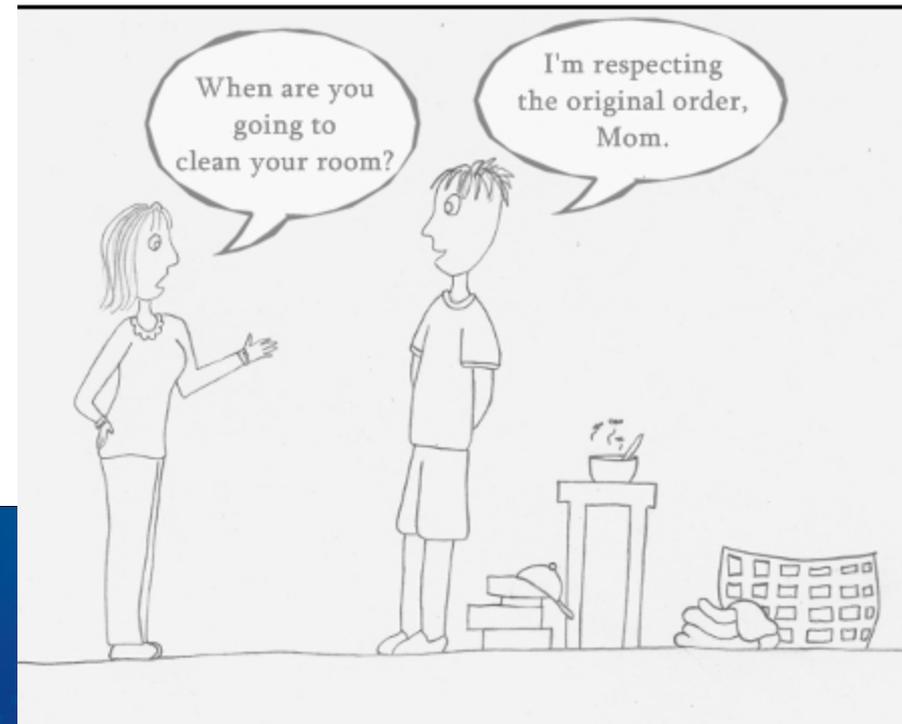
- So that records aren't destroyed when they are still needed
- To help select records that have historical value
- To make sure that organisations can account for the disposal decisions they make

# Group Discussion



Discuss your answers to questions 6-8 with your colleagues around you

Where you answered 'no' to any of the questions, think about what action you or someone else in your organisation might be able to take.





## **6: Does the organisation know what its recordkeeping requirements are?**

What can you do to identify requirements?



- Use the Toolkit Guideline!
- Talk to your own National Archivist

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

What can you do to find records easily?



- Use a file movement register
- Develop a simple-to-use naming and numbering system
- Store records securely
- Make sure staff don't remove papers from files
- Talk to your own National Archivist
- Use PARBICA's model record plan

# 8: Does the organisation abide by the government's rules for deciding when its records can be destroyed?

What can you do if there are no rules?

- Consider developing rules – base them on the analysis of recordkeeping requirements
- Talk to your own National Archivist
- Use PARBICA's model disposal plan



# Group Discussion



1. How do you think the checklist could be used in your country/organisation?

Thank You

