


Recordkeeping for Good Governance Toolkit

GUIDELINE 4: Administrative Record Plan





The original version of this guideline was prepared by the Pacific Regional Branch of the International Council on Archives (PARBICA) for use by countries around the Pacific. This means that the guideline may refer to things that you are not familiar with or do not use in your country. For example, not all governments have an auditor-general who reviews the financial and other records of government departments. You may find that you need to change some of the advice in this guideline to suit your own government's arrangements. To obtain an editable copy of this guideline, contact the national archives, public record office or other records authority in your country, or contact PARBICA at <http://www.parbica.org>.

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WHAT IS A RECORD PLAN?

A record plan is a system for developing titles for files. Good file titling is important for efficient public administration and good decision-making because it makes government information easier to find and use.

Record plans specify how records are to be organised and provide a kind of 'roadmap' to the records of the agency. They describe the types of files an agency has and provide guidance on how staff should title and organise those files. A good record plan is one of the essential components of a recordkeeping system. It will help you to:

- document your activities effectively;
- identify records consistently;
- retrieve records quickly; and
- decide which records are no longer needed.

A record plan gives part of the title of each file, but lets staff, in consultation with records management staff, choose file titles that suit the topic of the file. This should mean that staff do not need to put lots of unrelated material on the same file. Instead, they can create a file that is more specifically about the work that they are doing.

This Record Plan only covers administrative actions that all government departments carry out, such as managing staff and finances. As well as using this Record Plan for its administrative files, each government agency will also need to develop an additional record plan for its core business areas that no other agency carries out. For example, the Ministry of Foreign Affairs will need to develop a record plan for files about diplomatic relations with other governments, as no other ministry is responsible for this area of government work. The Pacific Regional Branch of the International Council on Archives (PARBICA) has produced guidelines on developing record plans for core business areas, which you can find on the PARBICA website at <http://www.parbica.org/Toolkit%20pages/ToolkitIntroPage.htm>.

This Record Plan is designed to be used in conjunction with the PARBICA Disposal Schedule. The Disposal Schedule will provide guidance on how long governments may need to keep the types of administrative records they create. Using this Record Plan to give titles to administrative files will in turn make it easier to make decisions about how long to keep those files using the Disposal Schedule. You will be able to find the Schedule on the PARBICA website at <http://www.parbica.org/Toolkit%20pages/ToolkitIntroPage.htm>.

THE IMPORTANCE OF GOOD FILE TITLING

Official recordkeeping systems often fall into disuse when they are too difficult for staff to use. If staff cannot easily find the file they need, they may not be able to access information about past activities to inform their decisions. They may also be reluctant to place current papers on files if they are unsure that they will be able to locate the information again. Poor file-titling systems can also make it difficult for staff to find the correct file on which to place information, meaning that the record of a particular activity is fragmented across a number of files and cannot be easily pieced together.

If government officers can find files quickly, they can be more efficient and not waste valuable time looking for the information they need. Good file titling makes it easier for staff to see if there is already a file on the subject they need. This leads to better decision-making because officers have access to all of the information they need to make the right decisions. It is also easier to make sure that all of the information about a topic is in the one place, so that you have the whole history of the process on one file.

If everyone understands the file's title, it is easier to make sure that staff do not create new files when the right file is already available. This Record Plan is designed to help all agencies to create titles for their administrative files so that everyone can understand what each file is about.

One method for making filing systems simpler to use is to create a record plan that describes the activities documented in the filing system in a consistent fashion, using language that is familiar and meaningful to the staff who will use the system.

A record plan can help government agencies to operate more efficiently and accountably. Well-described records are more easily located, providing efficiencies in administration because less time is spent locating vital records. Decision-making is often more effective because officers have access to relevant information about past actions and decisions. Agencies can also be more accountable because full records of their administration of a particular function or activity are able to be kept and used.

Good file titling also helps organisations to make good decisions about which records they need to keep and which ones they no longer need. The PARBICA Administrative Record Plan is designed to be used with the PARBICA Disposal Schedule. A disposal schedule provides a transparent and accountable system for making decisions about how long records need to be retained for administrative, legal or historical purposes. The Disposal Schedule uses the same system for describing records as the one used in the Administrative Record Plan. By using both the Record Plan and the Disposal Schedule, it can be easier for government agencies to identify which records they need to keep and which ones are no longer needed.

WHO IS THE PARBICA RECORD PLAN FOR?

PARBICA has developed this Record Plan to provide a starting point for Pacific Islands governments and other organisations that wish to implement new or update existing file-titling systems. It was drafted in consultation with a working group, which was made up of representatives from the following countries:

- Australia
- Cook Islands
- Fiji
- Nauru
- New Zealand
- Palau
- Papua New Guinea
- Samoa
- Vanuatu.

This Record Plan should be considered a draft. It covers all of the kinds of administrative records that most government departments are likely to create and use. Each country that uses the Administrative Record Plan will need to make changes to some parts of the text to make sure that it fits in with its own legal, administrative and cultural requirements. PARBICA has also produced additional guidelines on how to tailor the Record Plan, and on how to implement it in your own organisation. You can find these guidelines on the PARBICA website at <http://www.parbica.org/Toolkit%20pages/ToolkitIntroPage.htm>.

This Record Plan does not include information about the records of the core business of government departments. The core business of a government agency is the work it is responsible for which no other part of the government does. For example, only the Ministry of Health manages hospitals, and only the Ministry of Education runs schools. Each ministry or department will need to produce its own record plan that gives instructions on how to develop titles for files about these types of work. PARBICA has produced a guideline on how to develop a record plan for core business, which you can find on the PARBICA website at <http://www.parbica.org/Toolkit%20pages/ToolkitIntroPage.htm>.

Once you have developed a record plan for your core business activities, you will also be able to develop a disposal schedule for those records. A disposal schedule provides a transparent and accountable system for making decisions about how long records need to be retained for administrative, legal or historical purposes. PARBICA is developing guidelines on how to develop disposal schedules for core business records. You will be able to find these on the PARBICA website at <http://www.parbica.org/Toolkit%20pages/ToolkitIntroPage.htm>.

ADMINISTRATIVE RECORD PLAN

Asset and Resources Management

The function of managing the physical resources the organisation needs to carry out its business, including vehicles, land, buildings, equipment, services, technology (including software) and supplies.

Activity	Description	Examples of tasks	Examples of records
Acquisition	The activity of adding materials to the organisation's physical resources.	Renting office space; buying vehicles, office equipment or consumables.	Tender documents; leasing, hiring and purchase contracts; letters and emails regarding donation of assets or other equipment and stores.
	<p><i>Example of file titles</i></p> <p>The third section of the file title should describe the things being acquired. For example:</p> <ul style="list-style-type: none"> • Asset and Resources Management – Acquisition – Photocopiers • Asset and Resources Management – Acquisition – Request for tender for new office building 		
Consultation and Advice	The activity of communicating with others inside the organisation and externally about how its assets and other physical resources are managed.	Meeting with building owners and landlords; consulting with staff on their resource needs.	Agenda and minutes of meetings; emails, circulars and instructions to staff on how to use office equipment.
	<p><i>Example of file titles</i></p> <p>The third section of the file title should describe the advice being given. For example:</p> <ul style="list-style-type: none"> • Asset and Resources Management – Consultation and Advice – Instructions to staff on stationery orders • Asset and Resources Management – Consultation and Advice – Department of Works circulars 		
Disposal	The activity of discarding assets and physical resources the organisation no longer needs.	Selling or donating unwanted vehicles or equipment; terminating building leases.	Copies of sales advertisements; emails and letters offering to buy assets; vehicle registration transfer documentation.

Activity	Description	Examples of tasks	Examples of records
	<p><i>Example of file titles</i></p> <p>The third section of the file title should describe the assets being disposed of. For example:</p> <ul style="list-style-type: none"> • Asset and Resources Management – Disposal – Sale by tender of office car • Asset and Resources Management – Disposal – Donation of old furniture to community groups 		
Evaluation and Reporting	The activity of assessing the organisation’s assets and resources and the way they are managed, and reporting the results to others.	Gathering user statistics; reviewing equipment requirements.	Internal and external reports on assets and resources; condition reports on buildings and equipment; asset valuations.
	<p><i>Example of file titles</i></p> <p>The third section of the file title should describe the kind of evaluation being done or give the name of the report. For example:</p> <ul style="list-style-type: none"> • Asset and Resources Management – Evaluation and Reporting – Condition reports for Ministry’s office building • Asset and Resources Management – Evaluation and Reporting – Valuation of office vehicles 		
Maintenance and Operation	The activity of using, caring for, servicing and repairing assets and resources to ensure they remain in working order.	Repairing damaged vehicles or equipment; cleaning buildings; arranging regular servicing of vehicles; authorising staff to drive government vehicles; allocating telephones to staff.	Maintenance contracts; renovation plans; vehicle log books; office occupancy plans; utilities supply contracts; software license agreements.
	<p><i>Example of file titles</i></p> <p>The third section of the file title should describe the thing being operated or maintained and/or the kind of repairs being made. For example:</p> <ul style="list-style-type: none"> • Asset and Resources Management – Maintenance and Operation – Contract with Ella Motors for routine servicing of office vehicles • Asset and Resources Management – Maintenance and Operation – Roster of staff to home garage office vehicles 		
Planning	The activity of developing strategies and systems to manage the organisation’s assets and resources.	Conducting risk assessments; developing asset lifecycle plans; developing project plans.	Records documenting the outcome of risk assessments; final drafts of plans; building plans; disaster plans.

Activity	Description	Examples of tasks	Examples of records
	<p><i>Example of file titles</i></p> <p>The third section of the file title should describe the kind of plans being made. For example:</p> <ul style="list-style-type: none"> • Asset and Resources Management – Planning – Emergency evacuation plans for head office building • Asset and Resources Management – Planning – Asset lifecycle plan for building air-conditioners 		
Policy	The activity of developing and deciding on the organisation's asset and resources management priorities and directions.	Developing asset and resources management policies, such as office allocation policies and a use of official telephones policy.	Drafts of policies and working papers; policy proposals; research papers and reports; final policy statements.
	<p><i>Example of file titles</i></p> <p>The third section of the file title should describe the policy. For example:</p> <ul style="list-style-type: none"> • Asset and Resources Management – Policy – Policy on the allocation of office telephones • Assets and Resources Management – Policy – Software use policy 		
Procedures	The activity of setting down methods of carrying out the organisation's asset and resources management processes and activities.	Developing asset and resources management procedures, such as meeting room booking procedures, instructions for cleaners and car maintenance procedures.	Draft and final copies of procedures manuals, handbooks and guidelines.
	<p><i>Example of file titles</i></p> <p>The third section of the file title should describe the procedures. For example:</p> <ul style="list-style-type: none"> • Asset and Resources Management – Procedures – Bomb threat procedures • Asset and Resources Management – Procedures – Office cleaning procedures 		
Registration and Monitoring	The activity of recording the assets and equipment the organisation owns and keeping track of their location and condition.	Stocktaking; taking inventories of supplies; registering assets.	Asset registers; vehicle registration certificates; inspection reports.

Activity	Description	Examples of tasks	Examples of records
	<p><i>Example of file titles</i></p> <p>The third section of the file title should describe the types of resources being registered. For example:</p> <ul style="list-style-type: none"> • Asset and Resources Management – Registration and Monitoring – Asset register • Asset and Resources Management – Registration and Monitoring – 2009 office furniture stocktake 		

External Relations

The function of communicating with external groups, including the public, professional and industry groups, and international sister organisations. For communications with unions on industrial relations matters, use 'Personnel and Establishment – Industrial Relations'. For communications with other parts of government use one of the headings under 'Strategic Management'.

Activity	Description	Examples of tasks	Examples of records
Ceremonies, Events and Visits	The activity of arranging formal or informal events of a ceremonial nature.	Organising building openings, awards ceremonies and VIP visits; drafting guest lists, itineraries and speeches; booking performers and entertainers; arranging catering; making security arrangements for events.	Drafts of speeches; emails, letters and other correspondence with caterers and other suppliers; emails, minutes and other correspondence with VIPs and their staff.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of ceremony, event or visit. For example:</p> <ul style="list-style-type: none"> • External Relations – Ceremonies, Events and Visits – Official opening of new office building • External Relations – Ceremonies, Events and Visits – Speeches drafted for the Minister 2009 		

Activity	Description	Examples of tasks	Examples of records
Conferences, Seminars and Workshops	The activity of arranging formal or informal events of a business nature that are designed to educate or allow discussion.	Organising local or international professional conferences; inviting speakers; researching and drafting speeches and conference papers; booking venues; arranging catering; making security arrangements for events.	Drafts of speeches; emails, letters and other correspondence with caterers and other suppliers; itineraries and other travel arrangements for speakers; conference resolutions and declarations; agenda and minutes of meetings.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of conference being held. For example:</p> <ul style="list-style-type: none"> • External Relations – Conferences, Seminars and Workshops – Arrangements for Ministry to host government workshop on stakeholder management • External Relations – Conferences, Seminars and Workshops – Catering arrangements for stakeholder management workshop <p>Note: This heading should only be used for conferences, seminars and workshops arranged by the organisation. For records about conferences arranged by someone else that the organisation’s staff attend, use ‘Personnel and Establishment – Staff Case Management’ or ‘Personnel and Establishment – Staff Development and Training’.</p>		
Complaints and Feedback	The activity of receiving and responding to criticisms of, and suggestions for, the organisation’s services and performance from members of the public or other external bodies.	Designing and setting up suggestion boxes and feedback forms; keeping registers of complaints; forwarding feedback and suggestions to other areas of the organisation for response; answering general inquiries from the public.	Feedback forms; complaints registers; emails, letters and other correspondence providing feedback to the organisation or responding to that feedback; survey designs, forms and results.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the kind of feedback being given. For example:</p> <ul style="list-style-type: none"> • External Relations – Complaints and Feedback – Customer satisfaction survey • External Relations – Complaints and Feedback – Complaints received from the public 2009 		

Activity	Description	Examples of tasks	Examples of records
Evaluation and Reporting	The activity of assessing the organisation's external relations and the way they are managed, and reporting the results to others.	Gathering visitor statistics; reviewing marketing requirements; evaluating exhibitions.	Internal and external reports on events and exhibitions; reports from staff who have represented the organisation on external or international committees and organisations.
<p><i>Example of file titles</i></p> <p>The third section of the file title should describe the kind of evaluation being done or give the name of the report. For example:</p> <ul style="list-style-type: none"> • External Relations – Evaluation and Reporting – Review of Ministry's advertising program • External Relations – Evaluation and Reporting – Report by Mrs Wale on her international study tour 			
Exhibitions	The activity of mounting displays that inform or educate the viewer.	Planning, designing and mounting exhibitions for trade shows, fairs or other events.	Briefs for designers; draft design materials; drafts of text panels and labels; approvals of designs and text.
<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the exhibition being produced. For example:</p> <ul style="list-style-type: none"> • External Relations – Exhibitions – Display of traditional weaving for office foyer • External Relations – Exhibitions – Design of text panels for stand at National Trade Show 			
Marketing	The activity of promoting the organisation's activities and products.	Market research; developing advertising campaigns; taking promotional photographs.	Research reports; order forms for advertising placements; photographs of the organisation's activities.
<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of marketing being carried out. For example:</p> <ul style="list-style-type: none"> • External Relations – Marketing – Photographs of Ministry activities 2009 • External Relations – Marketing – Advertising for stakeholder workshop 			

Activity	Description	Examples of tasks	Examples of records
Media Relations	The activity of establishing and maintaining relationships with the media.	Authorising and issuing press releases; conducting media interviews and briefings; organising media events.	Drafts of press releases; invitations to media events such as photo opportunities; press clippings; awareness campaigns.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the media activity in more detail. For example:</p> <ul style="list-style-type: none"> • External Relations – Media Relations – Ministry press releases 2009 • External Relations – Media Relations – Transcript of television interview with Permanent Secretary 		
Networking, Liaison and Membership	The activity of managing the organisation's membership of professional or industry bodies and making general contact with individuals or other bodies that share an interest with the organisation.	Applying for membership; appointing or accepting nomination of office holders; attending meetings of external professional and industry bodies; making submissions to inquires or investigations being held by non-government bodies.	Emails, letters and other correspondence with professional bodies or other similar organisations; membership agreements; contact lists; agenda and minutes of meetings; reports and resolutions of committees.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of networking taking place or name the organisation that the organisation is a member of. For example:</p> <ul style="list-style-type: none"> • External Relations – Networking, Liaison and Membership – Minutes of meetings of the International Council on Archives • External Relations – Networking, Liaison and Membership – Nomination of staff to sit on external committees 		
Planning	The activity of developing strategies and systems to manage the organisation's external relations.	Developing marketing plans, event plans and publication plans.	Working papers and drafts of plans; agenda, papers and minutes of consultative planning meetings.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the policy being developed. For example:</p> <ul style="list-style-type: none"> • External Relations – Planning – Internal meeting to develop new marketing logo • External Relations – Planning – Departmental marketing plan 2009 		

Activity	Description	Examples of tasks	Examples of records
Policy	The activity of developing and deciding on the organisation's external relations priorities and directions.	Developing external relations policies such as communications style guides and marketing and sponsorship policies.	Drafts of policies and working papers; policy proposals; research papers and reports; final policy statements.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the plan being developed. For example:</p> <ul style="list-style-type: none"> • External Relations – Policy – Policy on staff communications with the media • External Relations – Policy – Customer service standards 		
Procedures	The activity of setting down methods of carrying out the organisation's external relations processes and activities.	Developing external relations such as procedures for approving publications, event management and handling complaints.	Drafts and final copies of procedures manuals, handbooks and guidelines.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the procedures being developed. For example:</p> <ul style="list-style-type: none"> • External Relations – Procedures – Instructions to staff on dealing with complaints • External Relations – Procedures – Procedures for approving overseas visits 		
Project Support and Cooperation	The activity of working with non-government organisations to help them to carry out projects that relate to the organisation's work.	Making agreements with external organisations; developing project plans; advising community groups on possible projects.	Contracts, agreements and memoranda of understanding; project briefs; project reviews and reports; agenda and minutes of meetings.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of project being supported. For example:</p> <ul style="list-style-type: none"> • External Relations – Project Support and Cooperation – Selection of Community Development Grant recipients • External Relations – Project Support and Cooperation – Agreement to provide speakers for community development conferences 		

Activity	Description	Examples of tasks	Examples of records
Publishing and Printing	The activity of producing materials that promote or inform people about the organisation.	Designing and printing certificates of appreciation, conference programs and promotional materials for external audiences.	Briefs for designers; specifications for printers; drafts of certificates, newsletters and other inhouse designs.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the items being published or printed. For example:</p> <ul style="list-style-type: none"> • External Relations – Publishing and Printing – Production of brochure promoting Ministry’s public services • External Relations – Publishing and Printing – Printing of certificates of appreciation 		

Financial Management

The function of managing the organisation’s financial resources.

Activity	Description	Examples of tasks	Examples of records
Accounting	The activity of collecting, recording and assessing information about the financial transactions and position of the organisation.	Requesting and paying for purchases; authorising purchases and payments; tracking credit card payments; paying taxes.	Journals, ledgers, receipt and revenue records; sales and purchase orders; invoices, claims, vouchers, cheques and cheque butts; cash books; creditor and debtor registers and lists; credit card statements and acquittals; petty cash books and receipts; profit and loss statements; balance sheets.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the specific type of accounting records and the year they relate to. For example:</p> <ul style="list-style-type: none"> • Financial Management – Accounting – Purchase orders 2009 • Financial Management – Accounting – Credit card statements 2009 		

Activity	Description	Examples of tasks	Examples of records
Audit	The activity of officially checking the organisation's activities to ensure it is meeting relevant standards.	Planning internal audit strategies; agreeing on terms of reference for audits; reporting on audit outcomes; responding to audit recommendations.	Letters of engagement; minutes of entry interviews; terms of reference documents; internal financial audit plans; financial audit reports.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the area being audited. For example:</p> <ul style="list-style-type: none"> • Financial Management – Audit – Ministry's financial statements 2009 • Financial Management – Audit – Review of security of petty cash 		
Authorisations and Delegations	The activity of deciding and documenting which officers within the organisation are permitted to authorise financial transactions.	Setting rules for which officers are allowed to authorise the spending of public money; appointing trustees to trust accounts.	Instruments of delegation; formal financial instructions to staff; lists and registers of authorised officers.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of authorisations being made. For example:</p> <ul style="list-style-type: none"> • Financial Management – Authorisations and Delegations – Appointment of trustees to the Education Trust Fund • Financial Management – Authorisations and Delegations – Lists of delegations under the Financial Management Act 		
Banking	The activity of managing the organisation's bank accounts including trust, investment and loan accounts.	Opening, operating and closing bank accounts; paying bank fees and charges; repaying loans.	Bank statements; deposit books; bank reconciliations; investment and dividend statements; loan agreements.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of banking records being kept and the period they relate to. For example:</p> <ul style="list-style-type: none"> • Financial Management – Banking – Bank statements 2009 • Financial Management – Banking – Register of cheque books issued 2009 		

Activity	Description	Examples of tasks	Examples of records
Budgeting	The activity of planning for the use of the organisation's expected funds and costs, and allocating them within the organisation.	Developing internal and external budget estimates and submissions; allocating cost centres and project codes; documenting progress against spending and revenue allocations.	Draft and final budget allocations; new spending proposals and new policy proposals; appropriations; financial transfers/virements/ intersubhead transfers.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of budget being developed and the period it relates to. For example:</p> <ul style="list-style-type: none"> • Financial Management – Budgeting – New spending proposal for public health education program 2009 • Financial Management – Budgeting – Development of department's budget submission 2009 		
Consultation and Advice	The activity of speaking with others inside the organisation and externally about how its financial resources are managed.	Receiving instructions from Treasury or other financial bodies; researching accounting and other financial standards.	Copies of Treasury instructions and circulars; reports analysing relevant accounting requirements.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the kind of advice being given. For example:</p> <ul style="list-style-type: none"> • Financial Management – Consultation and Advice – Advice from Institute of Chartered Accountants on new accounting standards • Financial Management – Consultation and Advice – Treasury circulars 2009 		
Donor Funds Management	The activity of managing, monitoring and accounting for the use of funds provided by aid donors and other external bodies.	Accounting for funds provided by aid donors and other external bodies.	Acquittals and other accounting records; transaction ledgers, financial reports and reconciliations; donor and project registers; aid disbursement criteria.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should name the donor and describe the work the funding supports. For example:</p> <ul style="list-style-type: none"> • Financial Management – Donor Funds Management – Monthly financial reports to AusAID on Human Rights Small Grants Scheme funding • Financial Management – Donor Funds Management – Register of projects funded by Oxfam 		

Activity	Description	Examples of tasks	Examples of records
Evaluation and Reporting	The activity of assessing the organisation's financial resources and the way they are managed, and reporting the results to others.	Internal monitoring of spending against allocations; reviewing financial management arrangements and procedures.	Internal monthly and quarterly reports on income and spending; reports on reviews of financial arrangements and procedures.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of report being made. For example:</p> <ul style="list-style-type: none"> • Financial Management – Evaluation and Reporting – Quarterly expenditure reports • Financial Management – Evaluation and Reporting – Review of internal financial report template <p>Note: This heading does not include the organisation's formal financial reports to government – see 'Financial Management – Financial Statements'.</p>		
Financial Statements	The activity of formally reporting on the organisation's financial position to the government.	Formal reporting to Treasury; reporting to public accounts committees and budget estimates hearings.	Formal financial statements submitted to Treasury; briefs prepared for Public Accounts Committee hearings.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe who the financial statements have been prepared for and what period they relate to. For example:</p> <ul style="list-style-type: none"> • Financial Management – Financial Statements – Statements to Treasury 2009 • Financial Management – Financial Statements – Response to Public Accounts Committee questions 2009 		
Grants	The activity of providing money to external organisations to allow them to carry out specified activities and projects.	Making payments to and monitoring spending by approved grant recipients.	Copies of agreements that set out grant terms and conditions; invoices and receipts submitted by grant recipients.

Activity	Description	Examples of tasks	Examples of records
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the grant program being administered and/or name the organisation receiving the grant. For example:</p> <ul style="list-style-type: none"> • Financial Management – Grants – Selection criteria for community development grants • Financial Management – Grants – Funding agreement with Transparency International under community development grants program 		
Insurance	The activity of taking out a premium to cover the loss of, or damage to, an asset or individual for which the organisation is responsible.	Taking out and renewing insurance policies; making claims against insurance policies.	Insurance policy and renewal documents; records of investigation of claims.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of insurance and/or name the insurance company providing it. For example:</p> <ul style="list-style-type: none"> • Financial Management – Insurance – Public liability insurance with QBE Insurance • Financial Management – Insurance – Workers compensation claims 		
Investigations	The activity of looking into possible corruption, fraud or mismanagement of government money or property.	Research into and assessment of reports of fraud, corruption or mismanagement.	Emails, letters and other correspondence claiming that corruption or fraud has occurred; instructions or advice to investigating authorities including police and auditors; evidence collected as part of an investigation; reports of investigations.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of investigation taking place. For example:</p> <ul style="list-style-type: none"> • Financial Management – Investigations – Allegation by member of the public of misuse of Ministry vehicles • Financial Management – Investigations – Report to police of office break-in 		

Activity	Description	Examples of tasks	Examples of records
Payroll Administration	The activity of making regular or casual payments of salary, wages and allowances to staff members.	Paying salaries and wages; taking deductions from staff payments; calculating allowances and other payments; making superannuation or provident fund payments.	Authorisations from staff to make deductions from salaries; spreadsheets and calculations of allowances payable; receipts and statements from provident funds or other payees.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of payment being made or authorised and the period this relates to. For example:</p> <ul style="list-style-type: none"> • Financial Management – Payroll Administration – Overtime calculations May 2009 • Financial Management – Payroll Administration – Staff authorisations of National Provident Fund deductions 2009 		
Planning	The activity of developing strategies and systems to manage the organisation's financial resources.	Making preliminary investigations of the costs involved in major projects; overall financial plans for the organisation.	Working papers and drafts of plans; agenda, papers and minutes of consultative planning meetings.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the plans being made. For example:</p> <ul style="list-style-type: none"> • Financial Management – Planning – Internal budget preparation calendar 2009 • Financial Management – Planning – Minutes of internal financial management planning meetings 2009 		
Policy	The activity of developing and deciding on the organisation's financial management priorities and directions.	Developing financial policies such as chief executive financial instructions and accounting policies.	Drafts of policies and working papers; policy proposals; research papers and reports; final policy statements.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of policy being developed. For example:</p> <ul style="list-style-type: none"> • Financial Management – Policy – Government accounting policy • Financial Management – Policy – Debt recovery policy 		

Activity	Description	Examples of tasks	Examples of records
Procedures	The activity of setting down methods of carrying out the organisation's financial management processes and activities.	Developing financial procedures, such as banking procedures, petty cash procedures, and procedures for approving the spending of public money.	Drafts and final copies of procedures manuals, handbooks and guidelines.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the procedures being developed. For example:</p> <ul style="list-style-type: none"> • Financial Management – Procedures – Official travel approval procedures • Financial Management – Procedures – Contracting procedures 		
Tendering	The activity of receiving and assessing offers to supply goods and services to the organisation.	Advertising for tenders or quotations; assessing and selecting suppliers; approving suppliers.	Requests for tender or quotation; specifications; agenda and minutes of tender boards and committees; lists of approved vendors.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of goods or services the successful tenderer will provide. For example:</p> <ul style="list-style-type: none"> • Financial Management – Tendering – Audiovisual copying services • Financial Management – Tendering – Internal audit services <p>Note: If the tender is to buy assets or equipment, such as vehicles, buildings, computers or office furniture, use the heading 'Assets and Resources Management – Acquisition'.</p>		

Information Management

The function of creating, acquiring and managing the organisation's information resources and services, including its files and library materials.

Activity	Description	Examples of tasks	Examples of records
Access	The activity of providing access to the organisation's information resources to staff or members of the public.	Registering library members; copying books and journals; freedom of information cases; librarian's reference cases.	Registers of library members; photocopy request forms; letters and emails about freedom of information cases.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe more clearly the type of access being provided. For example:</p> <ul style="list-style-type: none"> • Information Management – Access – Freedom of information request from Mr Wale • Information Management – Access – Register of library users 		
Acquisition	The activity of adding materials to the organisation's information resources.	Corresponding with donors of library materials; placing orders for books or journals; inter-library loans.	Letters and emails offering and accepting donations; publishers' order forms; inter-library loan forms.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of information resources being acquired. For example:</p> <ul style="list-style-type: none"> • Information Management – Acquisition – Donation of law reports from the Pacific Law Library Twinning Program • Information Management – Acquisition – Transfer of files from the former Department of Home Affairs 		
Control	The activity of keeping track of the organisation's information resources.	Cataloguing; registering ISSN and ISBNs; registering new files; tracking file movements.	File registers; file movement cards; library catalogues.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of information being controlled. For example:</p> <ul style="list-style-type: none"> • Information Management – Control – List of files transferred to National Archives • Information Management – Control – Library loans register 		

Activity	Description	Examples of tasks	Examples of records
Consultation and Advice	The activity of speaking with others inside the organisation and externally about how its information resources are managed.	Meeting with library boards and committees; receiving feedback from users; giving advice to the CEO on records management.	Agenda and minutes of meetings; emails and instructions to staff on how to use library and records systems.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the kind of advice being given or who is giving it. For example:</p> <ul style="list-style-type: none"> • Information Management – Consultation and Advice – Meetings of the library users committee 2009 • Information Management – Consultation and Advice – Advice from the National Archives on file-titling systems 		
Disposal	The activity of discarding information the organisation no longer needs.	Sentencing files; weeding library collections.	Lists of destroyed records; lists of records sent to the Archives.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the information being disposed of. For example:</p> <ul style="list-style-type: none"> • Information Management – Disposal – Annual sale of de-accessioned library books • Information Management – Disposal – Authorisation from the National Archivist to destroy 2001 financial records 		
Evaluation and Reporting	The activity of assessing the organisation's information resources and the way they are managed, and reporting the results to others.	Gathering user statistics; reviewing information services.	Internal and external reports on library use and registry performance; progress and final reports on implementation of new library and records management systems.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of report being made. For example:</p> <ul style="list-style-type: none"> • Information Management – Evaluation and Reporting – Library user statistics 2009 • Information Management – Evaluation and Reporting – Report on options for a new records database 		

Activity	Description	Examples of tasks	Examples of records
Intellectual Property	The activity of protecting the organisation's intellectual property and of using the intellectual property of others.	Applying for registration of patents for designs developed by the organisation; paying copyright fees; paying royalties to authors.	Copyright registers; copyright declaration forms.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe clearly the type of intellectual property being managed. For example:</p> <ul style="list-style-type: none"> • Information Management – Intellectual Property – Request for permission to translate training materials into Bislama • Information Management – Intellectual Property – Payment of copyright fees 		
Planning	The activity of developing strategies and systems to manage the organisation's information resources.	Conducting risk assessments; developing information management plans; conducting information needs analyses.	Records documenting the outcome of risk assessments; final drafts of plans.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of plan being developed. For example:</p> <ul style="list-style-type: none"> • Information Management – Planning – Library collection acquisition plan • Information Management – Planning – Records security plan 		
Policy	The activity of developing and deciding on the organisation's information management priorities and directions.	Developing information management policies such as records management policies, library acquisition policies and computer use policies.	Drafts of policies and working papers; policy proposals; research papers and reports; final policy statements.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of policy being developed. For example:</p> <ul style="list-style-type: none"> • Information Management – Policy – Records management policy • Information Management – Policy – Library collection development policy 		

Activity	Description	Examples of tasks	Examples of records
Procedures	The activity of setting down methods of carrying out the organisation's information management processes and activities.	Developing information management procedures such as records management procedures, library loan procedures and data entry procedures.	Drafts and final copies of procedures manuals, handbooks and guidelines.
<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of procedures being developed. For example:</p> <ul style="list-style-type: none"> • Information Management – Procedures – File-titling procedures • Information Management – Procedures – De-accessioning procedures 			
Publishing and Printing	The activity of producing materials that inform people about the information resources of the organisation.	Drafting user manuals; designing forms; printing internal promotional posters.	Final drafts of manuals and other internal publications; letters and emails giving instructions to designers and printers.
<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of item being published or printed. For example:</p> <ul style="list-style-type: none"> • Information Management – Publishing and Printing – Design of library promotional posters • Information Management – Publishing and Printing – Printing of records management forms 			
Storage and Conservation	The activity of storing and caring for the organisation's information resources.	Developing disaster plans; treating damaged books and files; maintaining storage areas; installing security systems.	Pest control plans; registers of key holders.
<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the storage and conservation work being carried out. For example:</p> <ul style="list-style-type: none"> • Information Management – Storage and Conservation – Library and registry disaster plans • Information Management – Storage and Conservation – Pest control schedule 			

Personnel and Establishment

The function of managing the organisation's staff, their entitlements and the structures they are employed in.

Activity	Description	Examples of tasks	Examples of records
Authorisations and Delegations	The activity of deciding and documenting which officers within the organisation are permitted to authorise staffing changes and decisions.	Setting rules for which officers are allowed to authorise leave, overtime and other entitlements.	Instruments of delegation; formal personnel instructions to staff; lists and registers of authorised officers.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the authorisations being granted. For example:</p> <ul style="list-style-type: none"> • Personnel and Establishment – Authorisations and Delegations – Register of officers authorised to approve overtime • Personnel and Establishment – Authorisations and Delegations – List of officers approved to view confidential personnel files 		
Consultation and Advice	The activity of communicating with others inside the organisation and externally about how its staff are managed.	Receiving instructions from the Public Service Commission or other human resource management bodies; researching occupational health and safety and other human resource management standards.	Copies of Public Service Commission instructions and circulars; internal instructions to staff on personnel procedures; reports analysing relevant personnel requirements.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the kind of advice being given. For example:</p> <ul style="list-style-type: none"> • Personnel and Establishment – Consultation and Advice – Public Service Commission circulars 2009 • Personnel and Establishment – Consultation and Advice – Consultation with staff on proposed performance management system 		
Grievances	The activity of hearing, judging and resolving complaints made by and disputes between individual employees.	Receiving complaints; arranging for arbitration or mediation sessions; investigating complaints; making decisions on disputes and recommending actions.	Letters, emails and other correspondence about complaints; documents appointing review panels; investigation reports.

Activity	Description	Examples of tasks	Examples of records
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of grievance being lodged. For example:</p> <ul style="list-style-type: none"> • Personnel and Establishment – Grievances – Complaint about appointment process for Deputy Secretary’s position • Personnel and Establishment – Grievances – Dispute resolution arrangements for staff in the Corporate area <p>Note: For complaints and disputes involving a group of employees, use ‘Personnel and Establishment – Industrial Relations’. For action taken against an individual staff member as a result of a grievance or complaint, use ‘Personnel and Establishment – Staff Case Management’.</p>		
Industrial Relations	The activity of formally dealing with employees and their representatives as a group.	Negotiating agreements with unions or other staff representatives; establishing staff representation committees; responding to strikes or other industrial action.	Agenda, papers and minutes of meetings with unions or other staff representative groups; internal emails, minutes and memos discussing the organisation’s response to industrial disputes.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the negotiations being carried out. For example:</p> <ul style="list-style-type: none"> • Personnel and Establishment – Industrial Relations – Teachers’ union claim for pay rise • Personnel and Establishment – Industrial Relations – Union representation on Occupational Health and Safety Committee <p>Note: For complaints and disputes involving individual employees use ‘Personnel and Establishment – Grievances’.</p>		
Job Design	The activity of evaluating tasks and deciding on the appropriate position description, classification, banding and salary for a position in the organisation.	Job evaluations or job sizing; developing work level standards and classification guidelines.	Position descriptions and selection criteria; reports on job classifications.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the position or group of positions being designed. For example:</p> <ul style="list-style-type: none"> • Personnel and Establishment – Job Design – Standard selection criteria for high school teachers • Personnel and Establishment – Job Design – Whole of Ministry review of job sizing 		

Activity	Description	Examples of tasks	Examples of records
Occupational Health and Safety	The activity of ensuring that the organisation complies with requirements to provide a safe and healthy workplace.	Reporting accidents and injuries; establishing OH&S committees; conducting workplace inspections.	Accident and incident reports; reports of accident investigations; agenda, papers and minutes of OH&S committee meetings; inspection reports.
<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the occupational health and safety issue being documented. For example:</p> <ul style="list-style-type: none"> • Personnel and Establishment – Occupational Health and Safety – Meetings of the OH&S Committee 2009 • Personnel and Establishment – Occupational Health and Safety – Accident and incident reports 2009 <p>Note: For repairing unsafe buildings and equipment, use ‘Asset and Resources Management – Maintenance and Operation’.</p>			
Planning	The activity of developing strategies and systems to manage the organisation’s personnel and establishment.	Developing equal opportunity plans, succession plans, and learning and development plans.	Working papers and drafts of plans; agenda, papers and minutes of consultative planning meetings.
<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the plan being developed. For example:</p> <ul style="list-style-type: none"> • Personnel and Establishment – Planning – Equal Opportunity Plan • Personnel and Establishment – Planning – Staff Development Plan 			
Policy	The activity of developing and deciding on the organisation’s personnel and establishment priorities and directions.	Developing personnel and establishment policies such as values statements, codes of conduct and performance management policies.	Drafts of policies and working papers; policy proposals; research papers and reports; final policy statements.
<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the policy being developed. For example:</p> <ul style="list-style-type: none"> • Personnel and Establishment – Policy – Policy on staff eligibility for scholarships • Personnel and Establishment – Policy – Performance management policy 			

Activity	Description	Examples of tasks	Examples of records
Procedures	The activity of setting down methods of carrying out the organisation's personnel and establishment processes and activities.	Developing personnel and establishment procedures such as recruitment procedures, accident reporting procedures and guidelines on selecting staff for learning and development opportunities.	Drafts and final copies of procedures manuals, handbooks and guidelines.
<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the procedures being developed. For example:</p> <ul style="list-style-type: none"> • Personnel and Establishment – Procedures – Recruitment procedures • Personnel and Establishment – Procedures – Accident reporting procedures 			
Recruitment and Selection	The activity of choosing the most appropriate person to hold a post within the organisational structure.	Advertising vacancies; appointing selection panels; writing interview questions; writing selection reports.	Recruitment request forms and approvals; copies of interview questions; selection reports; letters to unsuccessful candidates.
<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the positions being filled. For example:</p> <ul style="list-style-type: none"> • Personnel and Establishment – Recruitment and Selection – Annual intake of teaching graduates • Personnel and Establishment – Recruitment and Selection – Recruitment of Director, Corporate, position number 349 			
Restructuring	The activity of deciding the number and level of reporting lines for staff required for the organisation to meet its goals.	Implementing ministerial or Public Service Commission instructions on the structure of the organisation; implementing reviews of the organisation's structure.	Organisation charts; directives from Public Service Commission or the Minister on organisation structures; structure review reports.
<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the structure being examined. For example:</p> <ul style="list-style-type: none"> • Personnel and Establishment – Restructuring – Ministry organisation chart April 2009 • Personnel and Establishment – Restructuring – Review of structure of the Corporate Branch 			

Activity	Description	Examples of tasks	Examples of records
Staff Case Management	The activity of administering the rights, responsibilities and entitlements of individual employees throughout their careers.	Appointing, transferring or promoting staff; approving leave; approving allowances such as overtime or travel allowance; approving entitlements such as access to housing or studies assistance; reviewing and reporting on the performance of a staff member; counselling, reprimanding or disciplining staff.	Letters of appointment; probation reports; medical reports; leave records; performance agreements and review reports.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should be the name of the individual staff member. For example:</p> <ul style="list-style-type: none"> • Personnel and Establishment – Staff Case Management – Mr Joseph Wale • Personnel and Establishment – Staff Case Management – Mrs Mere Wise 		
Staff Development and Training	The activity of analysing the organisation's skills needs and arranging training or other opportunities for staff.	Conducting training needs analyses for the whole organisation; designing and delivering internal training courses; researching and enrolling in external training courses; designing staff development schemes such as rotations and mentoring.	Training needs analyses reports; course evaluations; contracts and other agreements with training providers.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the training being developed or delivered. For example:</p> <ul style="list-style-type: none"> • Personnel and Establishment – Staff Development and Training – Ministry training needs analysis • Personnel and Establishment – Staff Development and Training – Computer training for registry staff <p>Note: For records of individual staff members attending training courses, use 'Personnel and Establishment – Staff Case Management'.</p>		

Strategic Management

The function of setting long-term goals for the organisation and directing and managing the organisation's overall activities, processes and resources so that it can achieve them.

Activity	Description	Examples of tasks	Examples of records
Audit	The activity of officially checking the organisation's activities to ensure it is meeting relevant standards.	Planning internal audit strategies; agreeing on terms of reference for audits; reporting on audit outcomes; responding to audit recommendations.	Letters of engagement; minutes of entry interviews; terms of reference documents; internal performance audit plans; performance audit reports; agenda, papers and minutes of Internal Audit Committee meetings.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the audit being undertaken. For example:</p> <ul style="list-style-type: none"> • Strategic Management – Audit – Internal audit review of the Ministry's management of community grants • Strategic Management – Audit – Audit Office performance audit of the Ministry's compliance with the Archives Act <p>Note: For audits of financial statements, use 'Financial Management – Audit'.</p>		
Consultation and Advice	The activity of speaking with others inside the organisation and externally about how its strategic directions are managed.	Receiving instructions from the Prime Minister's office or other strategic management bodies; researching governance and other strategic management standards.	Copies of Prime Minister's instructions and circulars; reports analysing relevant governance and compliance requirements.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the advice being given. For example:</p> <ul style="list-style-type: none"> • Strategic Management – Consultation and Advice – Prime Minister's circulars • Strategic Management – Consultation and Advice – Advice from Attorney-General on Ministry's responsibilities under the Privacy Act 		

Activity	Description	Examples of tasks	Examples of records
Evaluation and Reporting	The activity of assessing the organisation's strategic directions and the way they are managed, and reporting the results to others.	Non-financial reporting to the Minister, the Cabinet or Parliament; making submissions to parliamentary inquiries and committees.	Statements of Intent to the Minister; quality assurance reports; non-financial reports to the Minister or other high-level government bodies.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the type of report being developed. For example:</p> <ul style="list-style-type: none"> • Strategic Management – Evaluation and Reporting – Submission to Cabinet on its review of annual reporting arrangements • Strategic Management – Evaluation and Reporting – Quarterly report to the Minister on progress against Ministry's performance measures 2009 <p>Note: Does not include the organisation's formal financial reports to government – see 'Financial Management – Financial Statements'.</p>		
Internal Committees	The activity of establishing and managing internal bodies that direct the overall management of the organisation.	Planning for and conducting senior management meetings.	Agenda, papers and minutes of senior management meetings; emails, minutes and memos between senior managers that discuss the overall management of the organisation.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the internal committee. For example:</p> <ul style="list-style-type: none"> • Strategic Management – Internal Committees – Risk Management Steering Committee 2009 • Strategic Management – Internal Committees – Business Continuity Planning Committee 2009 <p>Note: Use this heading for high-level internal committees and other bodies that manage the organisation as a whole. For other internal committees, use the heading for the function they are set up to manage, for example, for tender committees, use 'Financial Management – Tenders'.</p>		

Activity	Description	Examples of tasks	Examples of records
Legislation	The activity of advising on and assisting with the development of laws and regulations.	Preparing drafting instructions; briefing ministers on proposed new laws relevant to the organisation; consulting with other bodies on the organisation's own legislation; commenting on legislation administered by other government bodies.	Briefs, letters, emails, minutes and other correspondence with the Minister's office regarding legislation; drafting instructions prepared for the Attorney-General; agenda, papers and minutes of consultation meetings and forums.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the legislation being developed. For example:</p> <ul style="list-style-type: none"> • Strategic Management – Legislation – Ministry's comments on exposure draft of Freedom of Information Bill • Strategic Management – Legislation – Drafting instructions on Ministry's enabling legislation 		
Parliamentary Liaison	The activity of communicating with ministers, Cabinet and Parliament.	Preparing ministerial briefings and responses to questions on notice; writing speeches for the Minister, Prime Minister or other members of parliament; preparing briefings for senior managers who are appearing before parliamentary committees such as the Public Accounts Committee.	Briefing papers and reports; letters, emails, minutes and other correspondence with the Minister or his or her staff; drafts of speeches.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe more clearly the liaison taking place. For example:</p> <ul style="list-style-type: none"> • Strategic Management – Parliamentary Liaison – Briefing for the Permanent Secretary's appearance at Public Accounts Committee Hearing March 2009 • Strategic Management – Parliamentary Liaison – Questions on notice 2009 		
Planning	The activity of developing strategies and systems to manage the organisation's overall directions and activities.	Developing business plans, mission statements, business continuity plans, risk management plans and key performance indicators for the organisation.	Working papers and drafts of plans; agenda, papers and minutes of consultative planning meetings.

Activity	Description	Examples of tasks	Examples of records
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the plan being developed. For example:</p> <ul style="list-style-type: none"> • Strategic Management – Planning – Ministry’s corporate plan 2009–11 • Strategic Management – Planning – Risk Management Plan <p>Note: Use this heading for high-level plans that span the whole organisation. For plans related to a particular function of the organisation, use the heading for that function, for example ‘Personnel and Establishment – Planning’.</p>		
Policy	The activity of developing and deciding on the organisation’s strategic management priorities and directions.	Developing organisation-wide corporate policies such as risk management policies, business continuity policies and fraud control policies.	Drafts of policies and working papers; policy proposals; research papers and reports; final policy statements.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the policy being developed. For example:</p> <ul style="list-style-type: none"> • Strategic Management – Policy – Drafting of Ministry’s vision statement • Strategic Management – Policy – Policy on charging for Ministry services <p>Note: Use this heading for high-level policies that span the whole organisation. For policies related to a particular function of the organisation, use the heading for that function, for example ‘Personnel and Establishment – Policy’.</p>		
Procedures	The activity of setting down methods of carrying out the organisation’s strategic management processes and activities.	Developing organisation-wide corporate procedures such as risk assessment procedures, fraud investigation procedures and strategic planning procedures.	Drafts and final copies of procedures manuals, handbooks and guidelines.

Activity	Description	Examples of tasks	Examples of records
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the procedures being developed. For example:</p> <ul style="list-style-type: none"> • Strategic Management – Procedures – Annual strategic planning calendar • Strategic Management – Procedures – Internal communication protocols <p>Note: Use this heading for high-level procedures that span the whole organisation. For procedures related to a particular function of the organisation, use the heading for that function, for example 'Personnel and Establishment – Procedures'.</p>		
Relationship Management	The activity of communicating with other government bodies, including overseas governments, and non-government organisations.	Preparing briefings and arranging meetings for advisory boards and committees; negotiating and signing agreements with overseas aid bodies and non-government organisations.	Briefings, agenda, papers and minutes of advisory board meetings; emails, minutes, letters and other correspondence about negotiating agreements with government bodies; memoranda of understanding and other agreements signed with government bodies.
	<p><i>Example of file titles</i></p> <p>The third part of the file title should describe the organisation involved in the relationship. For example:</p> <ul style="list-style-type: none"> • Strategic Management – Relationship Management – Meetings of the Advisory Committee 2009 • Strategic Management – Relationship Management – Briefing for Permanent Secretary's attendance at NGO coordination meeting <p>Note: For relationships with professional bodies, use 'External Relations – Networking Liaison and Membership'. For relationships with the public, use the appropriate heading under 'External Relations'. For relationships with the media, use 'External Relations – Media Relations'.</p>		

HOW TO USE THIS RECORD PLAN

This Record Plan can be used to provide titles for files that document the administrative or support functions that every government agency carries out. The topics it covers are:

- **Asset and Resources Management:** The function of managing the physical resources the organisation needs to carry out its business, including vehicles, land, buildings, equipment, services, technology (including software) and supplies.
- **External Relations:** The function of communicating with external groups, including the public, professional and industry groups, and international sister organisations.
- **Financial Management:** The function of managing the organisation's financial resources.
- **Information Management:** The function of creating, acquiring and managing the organisation's information resources and services, including its files and library materials.
- **Personnel and Establishment:** The function of managing the organisation's staff, their entitlements and the structures they are employed in.
- **Strategic Management:** The function of setting long-term goals for the organisation and directing and managing the organisation's overall activities, processes and resources so that it can achieve them.

Agencies may need to develop their own record plan for the work that they do that is not described in this list. This is likely to be their core business, or the work that they do that no other part of the government does. For example, only the Ministry of Health manages hospitals and only the Ministry of Education runs schools. There is information about how to develop a record plan for the core business of an agency on the PARBICA website at <http://www.parbica.org/Toolkit%20pages/ToolkitIntroPage.htm>.

The parts of a file title

The Record Plan works by providing consistent headings that staff can use to develop titles for the files that they create and use. Each file title should have three parts. The Record Plan provides the terms that should be used for the first two parts of each file title. It also provides guidance on how staff should develop the third part of the file title.

The first part of each file title is a very broad heading from the list in this Record Plan that describes a part of the major work each government agency does. These are often called 'functions'.

The second part is another heading from this Record Plan that narrows down the topic in the first heading. These are often called 'activities'.

The third part of the title is a more specific description of the file, which you can create using the guidelines in this Record Plan when you need a new file.

How to title a file using this Record Plan

When you need a new file, find the main heading in the Record Plan that best describes the file you need. For example, if you are ordering a new photocopier for your office, you would use the heading 'Asset and Resources Management' because the photocopier is an asset that will be owned and managed by the government.

Under each main heading is a series of secondary headings that belong to the main heading. Choose the secondary heading that best describes the work you are doing. There are descriptions of the types of records that belong under this heading that may help you.

For example, if you are filing a copy of a request to the Department of Works for a new photocopier, you should already have chosen the main heading of 'Asset and Resources Management'. From the group of secondary headings, 'Acquisition' would best describe the work of requesting a new photocopier.

Under the secondary heading you have chosen, you will find some suggestions of how to make up a third level of heading for your file. Decide on a third level of heading that fits in with this description.

The Records Management staff can then create a new file for you using the headings you have chosen. Your new file title should look something like this:

- Asset and Resources Management – Acquisition – Photocopiers

It is important to note that for your secondary heading, you can only use titles that belong with your first heading. For example, you cannot name your file 'Asset and Resources Management – Budgeting – Photocopiers' because the secondary heading 'Budgeting' is not on the list for the primary heading 'Asset and Resources Management'. This is because the process of budgeting is part of managing the organisation's finances. If the document you want to file is about setting a budget to buy new photocopiers, the correct heading would be:

- Financial Management – Budgeting – Photocopiers

If none of the headings in the Record Plan suits the file that you need, this may be because your document is about the core business of the organisation, or it may be because you need to tailor the record plan for your own country's arrangements.

This Record Plan does not cover records about the core business of each agency. Each agency will need to develop its own record plan that provides file title headings for the work that only it performs. There is more information about developing core business record plans on the PARBICA website at <http://www.parbica.org/Toolkit%20pages/ToolkitIntroPage.htm>.

This Record Plan has been developed as a draft that countries around the Pacific can tailor to their own needs. If you have a document that is not about the core business of an agency and still cannot find a heading in this Record Plan that suits it, this may be a sign that you need to make changes to the record plan so that it suits your government's arrangements. There is more information about tailoring the Record Plan on the PARBICA website at <http://www.parbica.org/Toolkit%20pages/ToolkitIntroPage.htm>.


WHAT NEXT?

This Record Plan should be considered a draft. It covers all of the kinds of administrative records that most government agencies are likely to create and use. Each country that uses the Administrative Record Plan will need to make changes to some parts of the text to make sure that it fits in with its own legal, administrative and cultural requirements. PARBICA has produced additional guidelines on how to tailor the Record Plan for your country. You can find these guidelines on the PARBICA website at <http://www.parbica.org/Toolkit%20pages/ToolkitIntroPage.htm>.

Once you are confident that the Administrative Record Plan is appropriate for your organisation, you should think about how you are going to implement it. PARBICA's guideline on tailoring the Administrative Record Plan also provides information on how to implement the Record Plan in your organisation. You can find this guideline on the PARBICA website at <http://www.parbica.org/Toolkit%20pages/ToolkitIntroPage.htm>.

This Record Plan does not include information about the records of the core business of government departments. The core business of a government department is the work it is responsible for that no other part of the government does. For example, only the Ministry of Health manages hospitals and only the Ministry of Education runs schools. Each ministry or department will need to produce its own record plan that gives instructions on how to develop titles for files about this type of work. PARBICA has produced a guideline on how to develop a record plan for core business, which you can find on its website at <http://www.parbica.org/Toolkit%20pages/ToolkitIntroPage.htm>.

Once you have developed a record plan for your core business activities, you will also be able to develop a disposal schedule for those records. A disposal schedule provides a transparent and accountable system for making decisions about how long records need to be retained for administrative, legal or historical purposes. PARBICA is developing guidelines on how to develop disposal schedules for core business records. You will be able to find these on the PARBICA website at <http://www.parbica.org/Toolkit%20pages/ToolkitIntroPage.htm>.



The *Recordkeeping for Good Governance Toolkit* was produced by the Pacific Regional Branch of the International Council on Archives with assistance from the National Archives of Australia and AusAID.