

Identifying and Filing Records

What is a record?

A record is any material that documents or supports the administrative, fiscal, legal and business transactions of the organisation. Examples of records include, but are not limited to:-

- Policy papers and recommendations
- Minutes of meetings
- Decision Papers
- Memoranda
- Correspondence
- Images
- Audio or video recordings
- Material that is received from external sources and used for research or official business
- Supporting material such as substantive drafts, annotated documents, raw data, notes of telephone conversations and meetings

The following checklist has been designed to help you determine whether or not an item should be treated as a record. If the answer to **any** of these questions is 'Yes' then the item is a record and should be treated in line the corporate records management processes and procedures.

Is it a record checklist	Y/N
Was it made or received in the course of official business?	
Does it document a function of the authority?	
Does it document an action taken?	
Does it document a decision made?	
Does it document the formulation of a policy?	
Does it document a decision making process?	
Does it document a change to organisational policy or procedure?	
Does it have financial implications?	
Does it have legal implications?	
Is it required for the operation or administration of normal business processes?	
Does it need to be approved by another individual or body?	
Does it need to be reported to another individual or body?	
Does it set a precedent?	
Is it governed by legislation?	
Does it affect or protect the rights and entitlements of citizens?	

Who is responsible for filing records?

- Any officer that creates a record is responsible for ensuring that it is filed in an official records keeping system i.e. Corporate L: Drive or cloud storage on Sharepoint or in line of business systems.
- Any officer who receives a record from outside the authority is responsible for ensuring that it is filed in an official records keeping system i.e. Corporate L: Drive or cloud storage on Sharepoint or in line of business systems.
- If you receive a record from another officer in the authority you should check with the author that it has been filed appropriately. If you wish to file a copy it should be kept on official records keeping system i.e. Corporate L: Drive or cloud storage on Sharepoint or in line of business systems and named and dated appropriately. Please bare in mind that access to the filing locations may be restricted (e.g. L:Drive) and therefore an alternative location may need to be sought.

The following diagram will help you to determine whether or not it is your responsibility to file the record:

