

Table of Contents

<i>Worksheet</i>	<i>Contents</i>
0. Directions	Instructions on using the checklists
1. Definitions	Definitions of the data considered in the checklists
2. Checklist - Regulatory Uses	Checklist of regulatory needs served by record keeping
3. Checklist - Prevention	Checklist of error avoidance and other prevention purposes addressed by record keeping
4. Checklist - Improvement	Checklist of revenue enhancement and other improvement purposes supported by record keeping

0. Directions

Step	Instructions
a.	<i>Review the definitions (worksheet 1). Modify the categories to fit your organization, if needed.</i>
b.	<i>Go through the checklists (worksheets 2, 3, and 4). Check all items of concern to you ("Applicable?" column) and note the specifics of your situation ("Details" column), using the examples as a guide ("Illustrative Scenario" columns).</i>

1. Definitions

The Definitions describe the types of records referenced in the checklists.

	<i>Type of Record</i>	<i>Definition</i>	<i>Typical Content</i>
1	Research & Development Records	Activities by which products or services are invented	who does what, how, when and where
2	Marketing Records	Activities by which the organization learns about customers and the marketplace, and vice-versa	types of campaigns, message content, target groups, media employed, dates
3	Customer & Distributor Records	People or entities that acquire products or services	names, contact information, demographics

18	Management Records	Activities by which the organization coordinates all the work, including use of the personnel, facilities, and equipment, as well as the conduct of financial and legal affairs	Who does what, how, when and where

2. Checklist - Regulatory Uses

	<i>Type of Record</i>	<i>Regulatory Uses</i>	<i>Illustrative Scenario</i>	<i>Applicable?</i>	<i>Details</i>
1	Research & Development Records	>Proof of proper work practices being followed	Funding agency checks whether conditions for a grant are respected.	<input type="checkbox"/>	
2	Marketing Records	>Proof of proper communication practices being followed	Communications oversight agency audits organization for 'truth in advertising'.	<input type="checkbox"/>	
3	Customer & Distributor Records	>Proof of proper practices being followed regarding privacy and security of data >Cooperation in investigations	Law enforcement asks for assistance with locating a suspect.	<input type="checkbox"/>	
		

3. Checklist - Prevention

	<i>Type of Record</i>	<i>Preventative Uses</i>	<i>Illustrative Scenario (Error)</i>	<i>Illustrative Scenario (Malice)</i>	<i>Applicable?</i>	<i>Details</i>
1	Research & Development Records	<ul style="list-style-type: none"> >Error detection >Fraud and intellectual property theft prevention 	Identify mistakes by having a 2nd team duplicate procedures	Detect bogus results by having independent, outside experts check them	<input type="checkbox"/>	
2	Marketing Records	<ul style="list-style-type: none"> >Avoidance of miscommunications >Fraud and marketing analysis theft prevention 	Detect untenable promises by having technical experts double-check language	Detect bogus success claims by marketing partners by independent verification	<input type="checkbox"/>	
...		

4. Checklist - Improvement

	<i>Type of Record</i>	<i>Improvement Uses</i>	<i>Illustrative Scenario</i>	<i>Applicable?</i>	<i>Details</i>
1	Research & Development	>Credibility enhancement in marketing >Synergies within R&D and with other activities	Detect immediate sales opportunities by publicizing interim research results among sales and marketing personnel	<input type="checkbox"/>	
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