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## THE ROCKY MOUNTAIN RECORD

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### NARA'S NEW RECORDS MANAGEMENT WORKSHOPS

Implementing or maintaining a Federal agency records program has many challenges. Through its Records Management Training Program, NARA offers a variety of **new and updated** records management courses designed to address these challenges and to meet the changing environment of Federal record-keeping. These courses present practical information that agencies can use to manage their records and ensure agency and Government accountability, protect the rights of stakeholders, and identify records with archival value.

Participants in NARA records management training will receive a comprehensive overview of managing information by performing practical task-oriented, hands-on exercises throughout each course. They may take an examination upon completion of the “core knowledge” courses (there are five of these) and those who pass these courses will receive a signed NARA certificate. The certificate attests that the recipient will have the skills necessary to perform their records management duties more efficiently and effectively. (A future newsletter article will go into more depth regarding the new NARA certification program.)

NARA is introducing six new courses relating to areas of knowledge that are relevant to anyone responsible for managing records. These courses are:

#### ***Knowledge Area 1: Records Management Fundamentals.***

This is a basic overview of the management of records. It includes general information on identifying records and non-record materials, increasing program efficiency, applying laws and regulations to managing information, understanding the special requirements associated with electronic records, distinguishing vital records, and promoting and evaluating your program. Audience: New records officers or coordinators, those wanting refresher training, or those requiring a brief overview of managing Federal records throughout their lifecycle.

#### ***Knowledge Area 2: Creating and Maintaining Agency Business Information***

This covers the management of information through its lifecycle; how to create, identify, and maintain records; development of policies and procedures for managing e-mail and word processing files; planning for the maintenance of all media using file plans and proper filing techniques; and identifying steps for automating work processes through the use of imaging, document management, and electronic records management systems. (*Certification course*.) Audience: Those responsible for developing information and records systems such as records officers, coordinators, and liaisons.

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### **Knowledge Area 3: Records Scheduling.**

This course helps you perform a business analysis for developing a retention schedule, tells you how to do a records inventory, and instructs you in developing disposal instructions for all records including electronic and special media records. The course also covers how to use the General Records Schedules (GRS) in writing your own schedule; how to assess retention of records based on business needs, accountability, legal requirements, and archival value; how to obtain internal and external approvals for the schedule; and how to complete the NARA Standard Form (SF) 115. (Certification course.) Audience: Anyone responsible for developing or updating agency records schedules.

### **Knowledge Area 4: Schedule Implementation.**

This course covers how to apply the GRS and your own approved agency retention schedules to all agency records in order to properly and legally dispose of your records. It also provides detailed instructions on how to transfer inactive records to the NARA records centers, transfer permanent records to NARA, draft guidelines for the disposal of temporary records and the transfer of permanent records, and train your staff on implementing schedules. (Certification course.) Audience: Anyone responsible for creating and maintaining agency business records; shipping and retrieving records from storage; disposing of temporary records; and transferring permanent records to the National Archives.

### **Knowledge Area 5: Asset and Risk Management**

This course helps you learn how to identify risks within your records management system,

how to identify and protect vital records, how to mitigate risk to records, and how to perform a risk analysis. The course also covers how to develop a risk control program, and how to use cost-benefit analysis to assess potential records management projects. (Certification course.) Audience: Those responsible for creating and maintaining agency business records such as new and current senior records management personnel, records managers, and information resource managers.

### **Knowledge Area 6: Records Management Program Development.**

This course teaches you how to perform a self-evaluation of your program, market and promote your program, gain support from management, establish an effective records training program, and protect records from unauthorized destruction. (Certification course.) Audience: personnel who are involved in managing, operating, or evaluating records management programs, as well as records officers, coordinators, and liaisons.

In addition to these new workshops, NARA's Training Program is currently developing four new half-day courses for professionals including IT personnel, program managers and legal counsels, as well as all Federal workers and Federal contractors.

The Rocky Mountain Region will offer all six of the new "Knowledge Area" workshops, some more than once. You can find the schedule for Fiscal Year 2005 on page 6 of this newsletter issue.

For more information about the new workshops and registrations for all courses, you can contact the main Records Management Division number, (303) 407-5720, or via e-mail to:

**[workshop.denver@nara.gov](mailto:workshop.denver@nara.gov)**

## RACO WEST HIGHLIGHTS

### E-RECORDS ISSUES

For the first time ever, a NARA-sponsored Records Administration Conference (RACO) was held outside the beltway. On August 31, 2004, the Rocky Mountain Region played host to the RACO West conference in Denver, Colorado. Over 175 Federal records managers and Information Technology managers, officials from state, local, and tribal governments, as well as private organizations and companies were in attendance.



Regional RACO was developed to provide learning opportunities for individuals outside the Washington, D.C. area and was also intended to provide NARA with a way to advocate records management outside of Washington, D.C., and to emphasize the importance of records management to regional locations.

The theme for RACO West was “Electronic Records: Under Construction.” The keynote speaker was NARA’s top expert on electronic recordkeeping, **Dr. Mark Giguere**, who covered the latest happenings in E-Government and electronic records management. Dr. Giguere provided background on various E-Government initiatives that involve records management: Correspondence Tracking, Enterprise-wide Electronic Records Management (ERM), Electronic Information Management

Standards, and the Transfer of Permanent Electronic Records to NARA. For the latter initiative, NARA has now produced transfer standards for e-mail, scanned textual documents, Portable Document Format (PDF) records, digital geospatial records, digital photography, and web content. In a separate session Dr. Giguere described the accomplishments of the Electronic Records Policy Working Group (ERPWG), which recently released its recommendations for the effective management of Government information on the Internet and other electronic records. One of the outcomes of the work of ERPWG will be an ERM “toolkit” for agencies that can be accessed through a web portal that is managed and hosted by NARA. The tools will include documents, interactive guidance products, links to useful web sites, best practices, process, models, policies and directives, tips and techniques, lessons learned, and other useful tools.

A panel on “Managing Electronic Records” was presented by **Bill Greathouse** from NARA—Pacific/Alaska Region, **Edie Ramey** and **Bruce Littlehorn** of the National Park Service (NPS), Denver Service Center, and **Donna Read** from the NARA—Southeast Region. The NPS and NARA speakers recounted their experiences in managing records management automation software pilot projects. Some of their lessons learned included:

- Have vendors demonstrate their product using real agency records;
- Add specific performance requirements to contracts;
- Reengineer business processes, as necessary, and understand document and information workflows before implementing a product;
- Provide a reasonable timeframe for the project schedule. Don’t have a short schedule for this type of project’s scope and size;

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- Users expect an ERM solution to be as easy to use as e-mail. Don't underestimate the importance the degree of user-friendliness of a product.
- Do your homework first before committing to a product purchase;
- Go on field trips—visit the vendor's other clients to see how the product works and if the client is satisfied;
- Get all promises in writing;
- Initiate change management to get staff buy-in;
- Consider how much customization of the product will be needed;
- Determine ahead of time the user training that will be needed to successfully implement the software;
- Build in costs to upgrade and improve the software if it does not meet all needs.

**John Faundeen**, Acting Records Officer for the U.S. Geological Survey (USGS) and archivist at the Earth Resources Observation Systems (EROS) Data Center (EDC) in Sioux Falls, SD, talked about how the EDC manages its vast collection of geospatial data records. The EDC is a data management, systems development, and research field center for the USGS National Mapping Division. A variety of researchers use the EDC including scientists, managers, and technical users from around the world, who use data from the EDC's archives for a variety of data applications and research programs. Data from the EDC archives have been used in studying both natural and man-made disasters.

Mr. Faundeen described the preservation challenges and the processes in use at EDC to manage 110,000 rolls of aerial photography and 2 petabytes of digital satellite imagery.

The final session of the day consisted of a panel of NARA speakers. In addition to Dr. Giguere, **Howard Lowell** of the Modern Records Program discussed NARA's latest initiatives that will affect Federal agency records management including the resource allocation study and the Records Management Initiatives (RMI). **Dr. Ken Thibodeau** discussed current happenings with the Electronic Records Archives (ERA), which is NARA's strategic response to the challenge of electronic records. ERA will authentically preserve and provide access to any kind of electronic record, free from hardware and software dependency, enabling NARA to carry out its mission into the future. NARA recently awarded two contracts for the development of ERA to Lockheed Martin and Harris Company. Finally, **David Weinberg (NR)** and **Barbara Byers (NREK)** covered NARA proposals for future storage of electronic media. These proposals include physical media storage, conversion of



NARA panel discusses e-records issues at RACO West. From left, Barbara Byers (seated), Howard Lowell (standing), Mark Giguere, David Weinberg, and Ken Thibodeau.

analog records to e-records, disaster recovery of vital records, digital repositories, and other related services. To view the slide presentations from RACO West 2004, access [http://www.archives.gov/records\\_management/training/raco\\_west\\_2004.html#presentations](http://www.archives.gov/records_management/training/raco_west_2004.html#presentations).

Next year's RACO West will be hosted by the Pacific/Alaska Region in Seattle, Washington, in the summer of 2005.

<b><i>Records Center Services</i></b>	<b><i>Telephone Number</i></b>	<b><i>Contact</i></b>
Transfer of records to the Records Center. SF-135s, and Records Disposition Notices.	303-407-5760	denver.transfer@nara.gov
Reference services. OF-11s, CIPS, etc.	303-407-5769	denver.reference@nara.gov
Bankruptcy Records	303-407-5700	denver.reference@nara.gov
<b><i>Archival Operations</i></b>	<b><i>Telephone Number</i></b>	<b><i>Contact</i></b>
Archival Research	303-407-5740	denver.archives@nara.gov
Genealogy	303-407-5740	Eileen Bolger
Public Programs	303-407-5749	Eileen Bolger
<b><i>Records Management</i></b>	<b><i>Telephone Number</i></b>	<b><i>Contact</i></b>
Records appraisal	303-407-5720	Nancy Merz, CRM, CA
Disaster response	303-407-5720	Kathy Arntz, CRP
RM workshops	303-407-5720	Susan Johnson workshop.denver@nara.gov
Targeted assistance	303-407-5720	Pat Day—Kathy Arntz, CRP— Nancy Merz, CRM/CA
RM Services in New Mexico	505-248-7555	Steve Adams, CRM/NS Steve.Adams@nara.gov

# Records Management Courses—NARA Rocky Mountain Region, FY 2005

## February 2005

15—Records Management Fundamentals—Albuquerque, NM

16-17—Creating and Maintaining Agency Business Information—Albuquerque, NM

## March 2005

1—Records Management Fundamentals—Denver, CO

2-3—Creating and Maintaining Agency Business Information—Denver, CO

29-30—Records Scheduling—Denver, CO

31—Records Management Program Development—Denver, CO

## April 2005

25—Electronic Records Forum—Albuquerque, NM

## May/June 2005 (dates are pending)

Records Management Fundamentals—Tentative Site: Jackson, WY

Records Schedule Implementation—Tentative Site: Jackson, WY

## June 2005

15—Records Management Fundamentals—Denver, CO

22-23—Records Schedule Implementation—Albuquerque, NM

## July 2005

12-13—Asset and Risk Management—Denver, CO

13—Records Management Program Development—Albuquerque, NM

14—Disaster Preparedness & Response for Records Managers—Denver, CO

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