

Knowledge Area 1

Records Management Overview

THE
NATIONAL
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TRAINING
PROGRAM

Administrative Items

- Emergency procedures
- Emergency exits
- Restrooms
- Break facilities
- Lunch facilities
- Cancellation policy
- Course attendance policy
- Please turn off mobile devices



Getting to Know You: The Dream Team

1. If you were going on a long-term mission to outer space, which 3 people would you want with you, and why? Take a moment to consider your choices, then share them with your table.
2. As a table, select two people from your group's lists to recommend for our class Dream Team. A spokesperson will tell who your two choices are, and why your table chose them.
3. Finally, we'll each share:
 - Name
 - Agency/organization
 - City

Your Records Management Experience

How much records management experience do you have?

- Less than one year
- 1–4 years
- 5 or more years

How much time do you spend on records management tasks every month?

- 80%–100% of my time
- 50%–79% of my time
- 25%–49% of my time
- 10%–24% of my time
- Less than 10% of my time

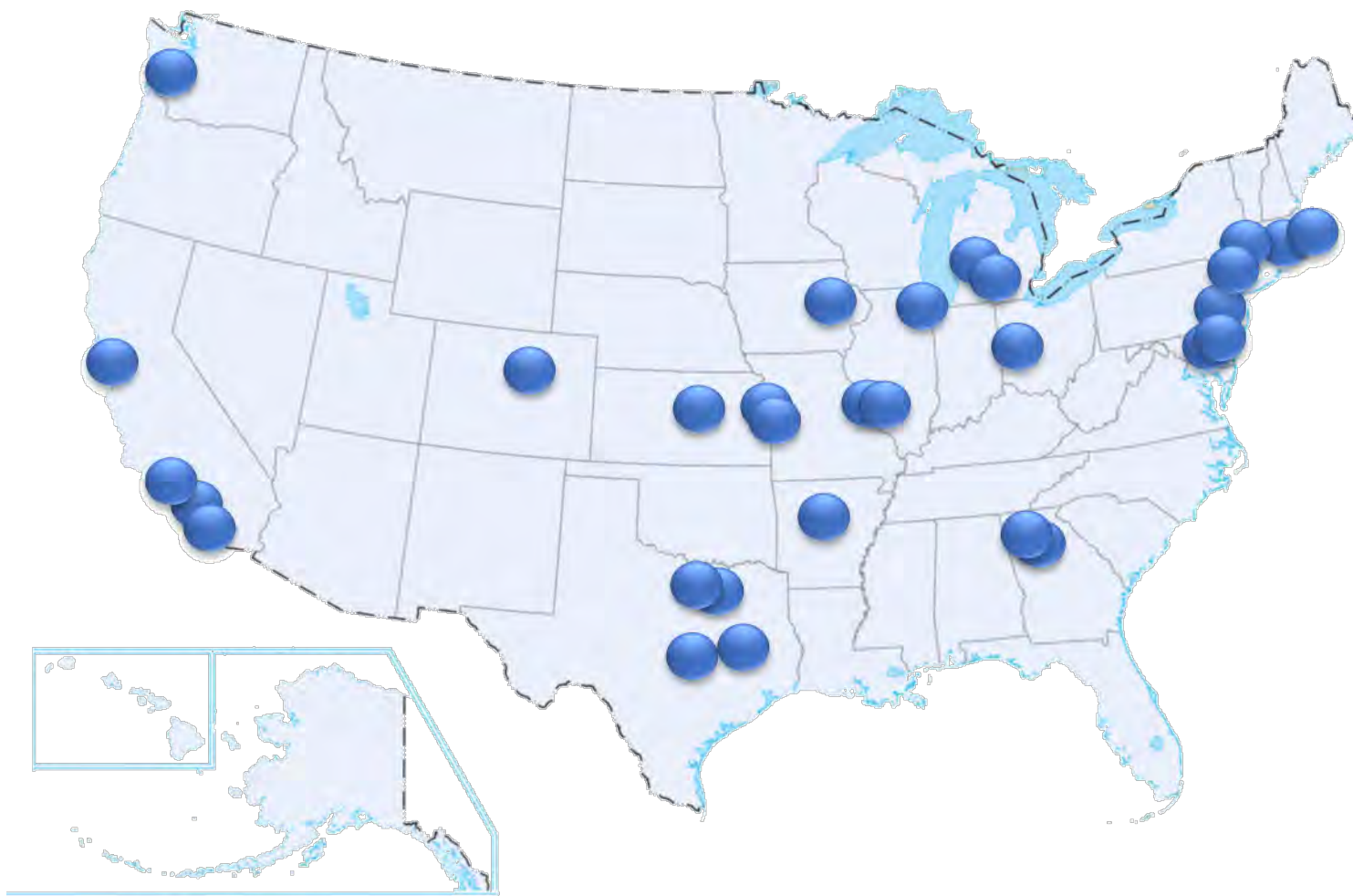
About NARA

National Archives and Records Administration (NARA) is an independent agency that enables citizens to access records documenting:

- The rights of American citizens
- The actions of Federal officials or agencies
- The national experience



About NARA



Knowledge Area 1

Course Outline

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NARA's Knowledge Areas (KAs) and Certificate of Federal Records Management Training

- **KA 1: Records Management Overview**
- **KA 2: Creating and Maintaining Agency Business Information**
- **KA 3: Records Scheduling**
- **KA 4: Records Schedule Implementation**
- **KA 5: Asset and Risk Management**
- **KA 6: Records Management Program Development**

Course Objectives

At the completion of this course, you will be able to:

- Demonstrate that effective records management adds value to agency business processes
- Identify the stakeholders and explain their primary roles and responsibilities
- Explain how an agency creates and maintains trustworthy records
- Explain the importance of developing records management strategies

Course Agenda

- Welcome
- Course Outline
- Module 1: People
- Module 2: Processes
- Module 3: Technology, Tools, and Resources
- Course Wrap-Up

Course Materials

Knowledge Area 1: Records Management Overview Participant Guide (PG)

- KA 1 Modules 1 through 3
- KA 1 Handouts
- KA 1 References

Course Outline

Applying What You Learned

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Action Items Worksheets

- At the end of each module you will be given the opportunity to complete an Action Items Worksheet
- Use this worksheet to record what you have learned in the module and how you will apply it to your job



Course Outline

Why Are We Here?

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Records Management from a High-Level View

- There is a decline in staff who specialize in filing
- Growing investment is being made in software that creates records but does not manage them
- Mission-critical records are often not sharable, retrievable, or usable
- Copies proliferate; data are conflicting or unreliable
- Email and instant messaging replace other communication

Records Management from a High-Level View (cont'd.)

- Litigation and discovery costs are skyrocketing
- Authenticity is questioned
- Records are prematurely destroyed
- Tools to **manage** electronic records lag far behind needs

Consequences of Poor Records Management

- Arthur Andersen's downfall was its work for Enron
- A 2001 memo directed Arthur Andersen workers to destroy all Enron audit material



Consequences of Poor Records Management (cont'd.)

- Missing war records –
Army issued guidelines
- Guidelines not followed in Iraq
- No records for 15 field units
between 2003 and 2008
- Increased challenges in documenting
what occurred and determining benefits



Do Records Matter?

- The BP Deepwater Horizon oil spill – biggest in U.S. history
- President Obama created the National Commission on the BP Deepwater Horizon Oil Spill and Offshore Drilling
- Records kept by BP and Federal agencies were critical to the investigation and final report



Module 1: People

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Module 1 Learning Objectives

At the conclusion of this module, you will be able to:

- Define and identify people with recordkeeping roles of external stakeholders in the records management program
- Define and identify people with recordkeeping roles of internal stakeholders in the records management program
- Explain how these roles are related to a successful records management program

Module 1: People

Lesson 1: Records Management Stakeholders

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Records Management Stakeholders

People and organizations who may affect, be affected by, or perceive themselves to be affected by, a decision or activity.

- Can be internal or external
- Consider:
 - Your agency's interest in stakeholders
 - Stakeholders' expectations of you

Roles of Records Management Stakeholders

- Agency Head
- Senior Agency Official
- Chief Information Officer
- Program Manager or Supervisor
- System Administrator or IT Manager
- IT Staff
- Web Manager

Roles of Records Management Stakeholders (cont'd.)

- Inspector General
- General Counsel
- Public Affairs Officer
- Historian

Roles of Records Management Stakeholders (cont'd.)

- Digital Imaging Manager
- Federal employee
- Others
 - FOIA Officer
 - Privacy Officer
 - Information Security Officer
 - NARA
 - Contractors
 - Public

Making Records Decisions

- Adequate understanding of recordkeeping requirements
- Assessment of the risks
- Appreciation of best methods for obtaining compliance



Module 1: People

Lesson 2: Records Management Staff

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Roles of Records Management Staff

- Agency Records Officer
- Records Liaison
- Records Custodian
- Agency Contractors Doing Records Work

Review Activity

Who Is Responsible?



Building Alliances with Records Management Stakeholders

What groups of people need to work together to make records management effective in your agency?



Building Alliances with Records Management Stakeholders (cont'd.)

- Require employees to create records according to processes that document business activities
- Ensure that information and processing systems create appropriate records
- Ensure that records are maintained, stored, and preserved

Module 1: People

Lesson 3: Records Management Competencies for All

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Skills for Working Together

- Electronic records management
- Communication
- Risk assessment and management
- Business process design
- Systems analysis
- Requirements development
- Project management



Records Management Responsibilities

- Connect agency employees to records management task by:
 - Using incentives and rewards
 - Including them in performance plans
 - Providing continuing training
 - Implementing change management



What Does an Agency Records Officer Need to Know?

- The organizational goals
- A firm foundation on which to build additional layers of expertise:
 - IT
 - Business Analysis
 - Legal Implications
- Not the details!

**RM
Takes a
Team!**



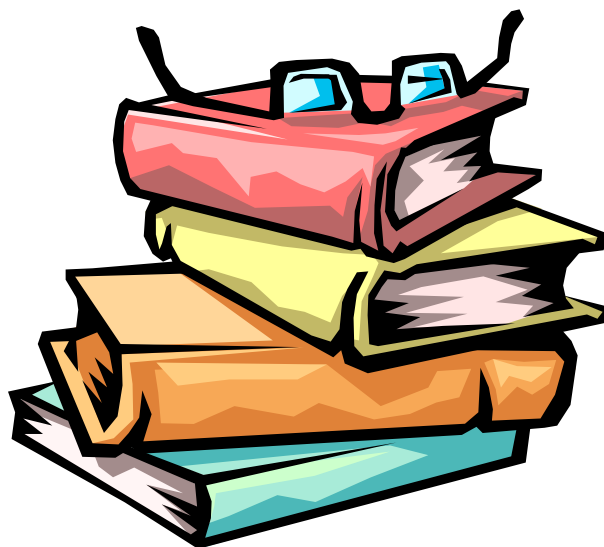
Module 1: People

Module 1 Review and Wrap-Up

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Module Review



Applying What You Learned

Module 1 – Action Items Worksheet



Module 2: Processes

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Module 2 Learning Objectives

At the conclusion of this module, you will be able to:

- Explain the records lifecycle
- Explain how records management roles support business processes
- Identify and discuss processes within the framework of records management program elements
- Explain legal requirements and standards for documenting creation, capture, and retention of records within a business process

Module 2: Processes

Lesson 1: Information and the Records Lifecycle

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What Is a Record?

... includes all recorded information, **regardless of form or characteristics, made or received** by a Federal agency under Federal law or in connection with the transaction of public business and **preserved or appropriate for preservation** by that agency or its legitimate successor as **evidence** of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the **informational value** of the data in them.” (44 U.S.C. 3301, Definition of Records)

What Is a Record? (cont'd.)

A record:

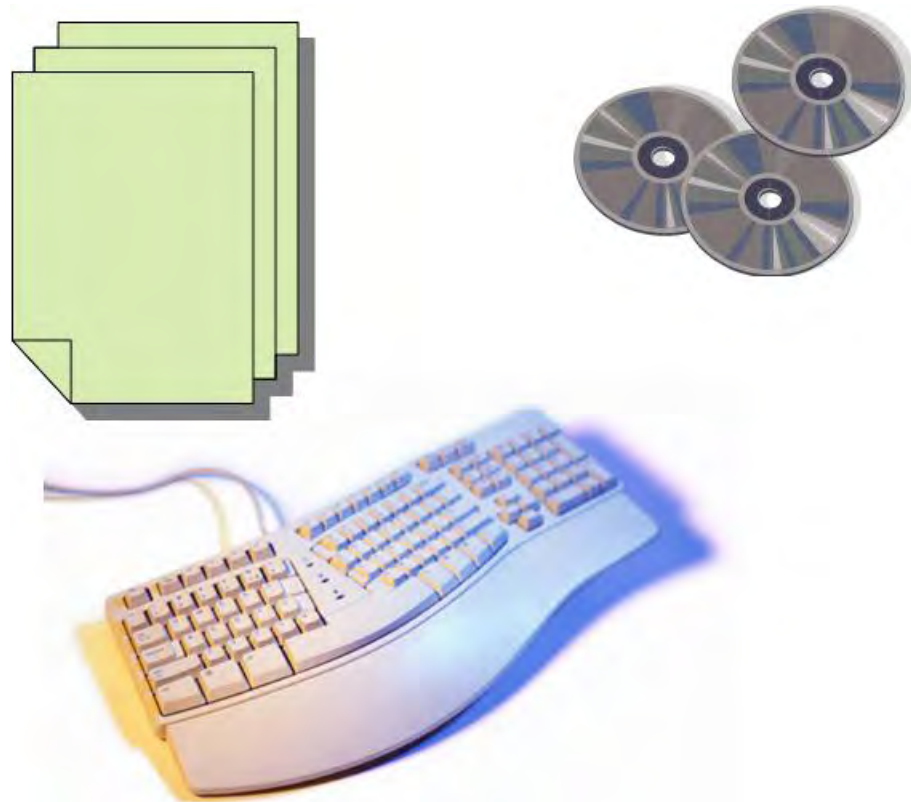
- Accurately reflects what was communicated or decided
- Correctly reflects what action was taken
- Supports needs of business to which it relates
- Provides evidence for Congress and for litigation
- Is the object of FOIA requests



Is Everything a Record?

Federal agencies create and maintain:

- Federal records
- Nonrecord materials
- Personal papers



Why Distinguish Which Documents Are Records?

Why is it important to know that not all documents are Federal records?



What Are Temporary, Permanent, and Unscheduled Records?



Temporary – approved by NARA for destruction

Permanent – determined as such by NARA and accessioned by National Archives



Unscheduled – not yet designated as temporary or permanent

What are Vital Records and Essential Records?

- Vital agency records are needed to:
 - Meet operational responsibilities during emergencies
 - Protect legal and financial rights
- Federal Continuity Directive 1 refers to essential records as:
 - Information systems technology
 - Applications and infrastructure
 - Electronic and hardcopy documents
 - Reference documents



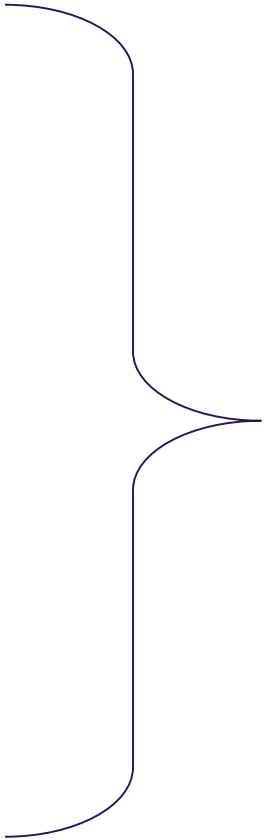
Essential Records Management

Essential records management is the identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment needed to support essential functions during continuity activation.

Records Scheduling

- Provides specific, mandatory instructions for records no longer needed for current government business
- A records schedule may also be known as a:
 - Records disposition schedule
 - Records control schedule
 - Records retention schedule
 - SF-115
 - ERA Records Schedule
 - Schedule

What Is Records Management?

- Planning
 - Controlling
 - Directing
 - Organizing
 - Training
 - Promoting
- 

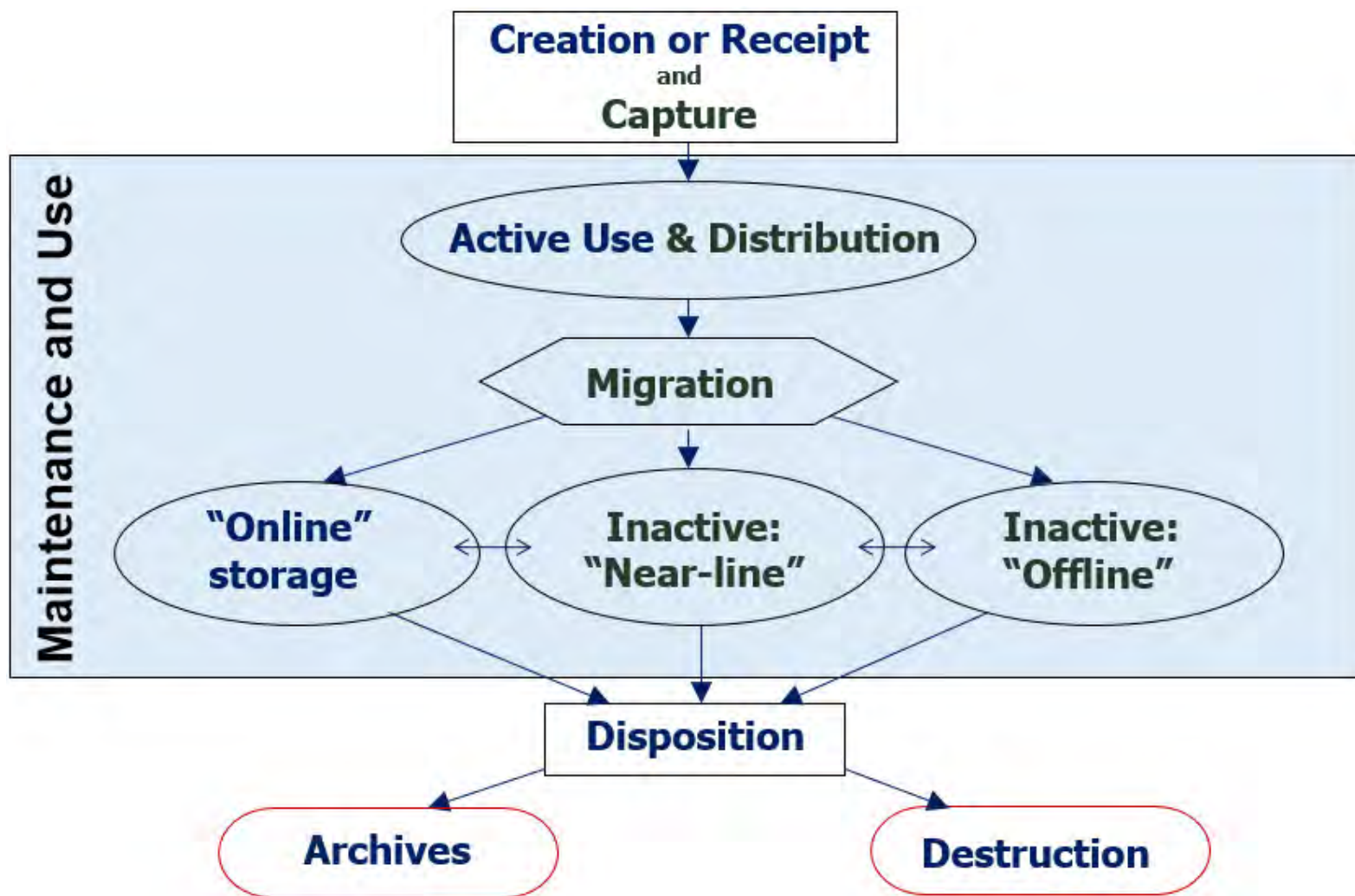
Regarding records:

- ✓ Creation
- ✓ Maintenance
- ✓ Use
- ✓ Disposition

The Records Lifecycle



The Electronic Records Lifecycle



Trustworthy Records

- Document recordkeeping system's operation, controls, and safeguards
- The following characteristics ensure trustworthy records:
 - Authenticity
 - Reliability
 - Integrity
 - Usability



Module 2: Processes

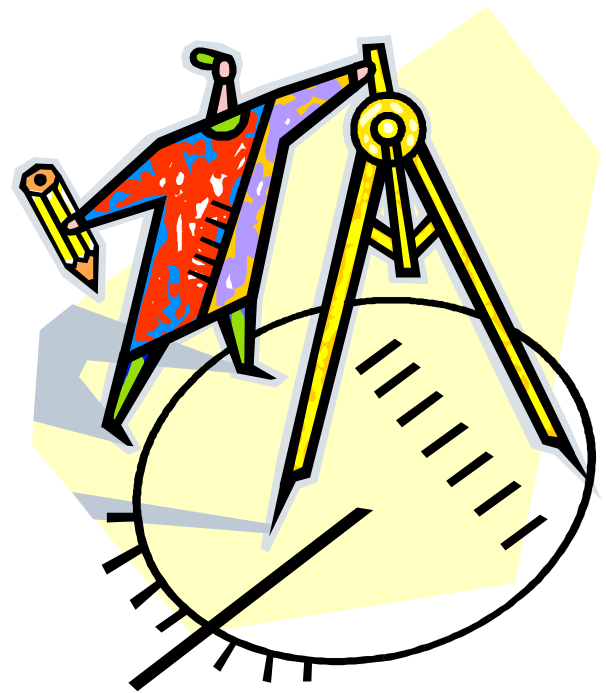
Lesson 2: Records Management Processes

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Records Management Processes: What to Do

To ensure trustworthiness throughout the lifecycle, organizations should establish and administer a comprehensive records management program.



ISO 15489-1:2001

Suggested Processes

- Determine what records to create and information to include for each process
- Decide form and structure for records, as well as technology to be used
- Select metadata for each record
- Establish record metadata management plan
- Determine requirements for retrieving, using, and transmitting records between business processes

ISO 15489-1:2001

Suggested Processes (cont'd.)

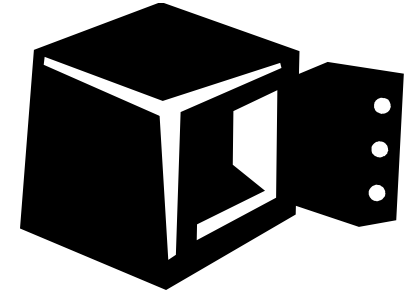
- Decide how to organize records
- Assess risks from failure to have authoritative records
- Preserve records and make them accessible
- Comply with requirements, standards, and policy



ISO 15489-1:2001

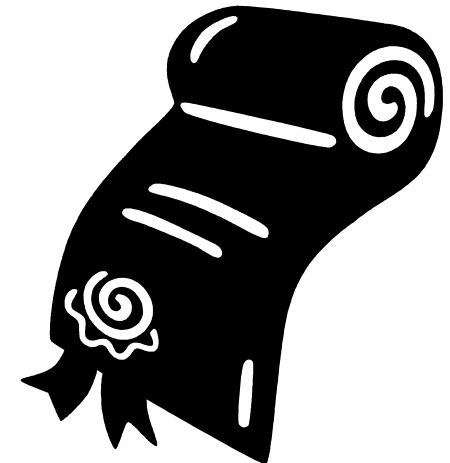
Suggested Processes (cont'd.)

Ensure that records are safe and secure.



Ensure that records are kept only as needed.

Identify opportunities for improvement.



ISO 15489-1:2001

Suggested Processes (cont'd.)

- Use ISO process list as framework for an effective records management program at your agency
- Each process is an important step toward ensuring trustworthy records, efficient access, and accountability

Records Management Processes: How to Do It

- ISO 15489-1:2001 is a **list of processes**
- NARA Guidelines in 36 CFR, Chapter 12, Subpart B are **details of how to implement processes**



§1220.30 Agency Records Management Responsibilities

- Issue agency-wide directive assigning authorities and responsibilities for records management:
 - Designate Agency Records Officer
 - Provide adequate network of support personnel

More in KA 2



§1220.30 Agency Records Management Responsibilities (cont'd.)

- Conduct inventories
- Develop records schedules
- Develop file plans
- Implement schedules
- Establish effective disposition procedures

More in KA 2, KA 3, and KA 4



§1220.32 Agency-Implemented Records Management Principles

- Evaluate your agency recordkeeping requirements
- Ensure that staff members can define a Federal record
- Teach staff when to “declare” a record and how to include it in a system that manages records
- Promote records management awareness through regular staff training

More in KA 2



§1220.32 Maintenance and Use of Records

- Organize records
- Maintain records security
- Manage records access
- Facilitate records retrieval
- Preserve records
- Audit recordkeeping practices

More in KA 2

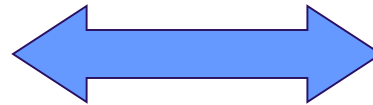


§1220.32 Disposition of Records

Develop records schedules approved by internal and external stakeholders so records are:



Retired to FRC or transferred to NARA.



Properly disposed of or deleted.

More in KA 2, KA 3, and KA 4



§1220.34 Carry Out Agency Records Management Responsibilities

- Appoint Agency Records Officer
- Forward person's contact information to NARA, National Records Management Program
- NARA and your agency work together



§1220.34 Agency Internal Evaluations

- Review records schedules yearly
- Monitor employee attention to records schedules
- Report any unauthorized disposal action to NARA
- Assess the need for records management training at all levels of organization



§1236.10 Electronic Records

- Records are defined by electronic systems instead of records series
 - Typically including inputs, master files, outputs, and documentation of the systems
- Recordkeeping requirements must be built into the functionality of the information system
- Section covers all types and formats of electronic records, including email

Review Activity

Where Is Your Agency Now?



Module 2: Processes

Module 2 Review and Wrap-Up

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Module Review



Applying What You Learned

Module 2 – Action Items Worksheet



Module 3: Technology, Tools, and Resources

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Module 3 Learning Objectives

At the conclusion of this module, you will be able to:

- Explain how records management is managed in today's environment and describe the role of stakeholders
- Describe the future of records management and identify which tools, technology, and resources are needed to help prepare for those changes

Module 3: Technology, Tools, and Resources

Lesson 1: The Way It Is

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Realities of Today's Business Environment

Changes in how government works have undermined its ability to manage records and information.



Headline Examples:

- Army's deletion of the "War Records"
- Loss of records and info after 9/11

Challenges in Today's Reality

- Rapid technological obsolescence
- Overwhelming volume
- Difficulty assuring the authenticity, reliability, and integrity (e.g., “trustworthiness”) of records

Challenges in Today's Business Environment

- Records management perceived as a low priority
- Huge volumes of electronic information are being created
- Electronic records are complex
- Identification and classification of electronic records are difficult in a decentralized computing environment

Regulatory Framework in Today's Business Environment

- Federal Records Act
- Electronic Freedom of Information Act (EFOIA)
- OMB Circular A-130
- Clinger-Cohen Act
- Government Paperwork Elimination Act (GPEA)
- Health Insurance Portability and Accountability Act (P.L. 104-191)
- Paperwork Reduction Act of 1995
- Government Performance Reporting Act (GPRA)
- Electronic Records Management 36 CFR 1236
- Presidential Memorandum on Managing Government Records – 11/28/2011
 - Managing Government Records Directive M-12-18

Effective Partnerships in Today's Business Environment

No one can develop and promote a records management program in isolation



Get top managers involved, too

Module 3: Technology, Tools, and Resources

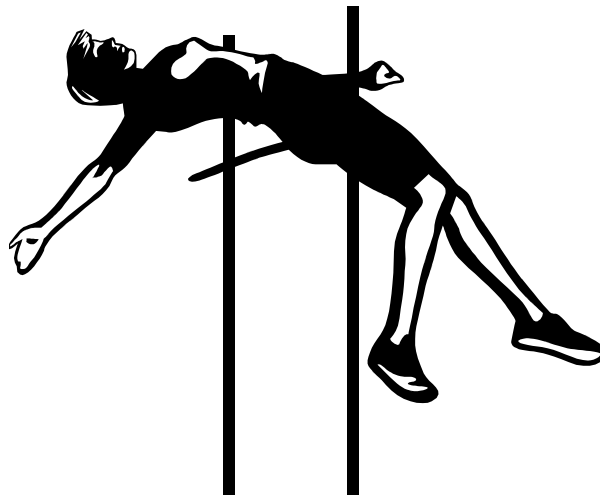
Lesson 2: The Way It Should Be

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Adapting to Current Business Realities

To overcome the barriers, Federal agencies must manage their records from the moment of creation.



Tools for Implementing Records Management Strategies

- The Presidential Memo on Managing Government Records Directive
- ISO 15489-1-8
- InterPARES Project
- Business Process Analysis (BPA)
- DoD 5015.2
- The Systems Development Life Cycle (SDLC)
- Capital Planning and Investment Control (CPIC)
- The Federal Enterprise Architecture (FEA)
- The Records Management Profile
- The Toolkit for Managing Electronic Records

ISO 15489-1-8 Design and Implementation Methodology

Provides guidance on designing and implementing sustainable record systems.

Section 8.4 Design and Implementation Methodology

- a) Making a preliminary investigation
- b) Analyzing business activity
- c) Identifying requirements for records
- d) Assessing existing systems

Section 8.4 Design and Implementation Methodology (cont'd.)

- e) Identifying strategies for satisfying records requirements
- f) Designing a records system
- g) Implementing a records system
- h) Conducting a post-implementation review

International Research on Permanent Authentic Records in Electronic Systems (InterPARES)

- InterPARES Project “The Long-term Preservation of Authentic Electronic Records” developed through the three phases:
 - Phase 1 – Preservation of databases and document management systems
 - Phase 2 – Develop theory and methods
 - Phase 3 – Implementation of the findings

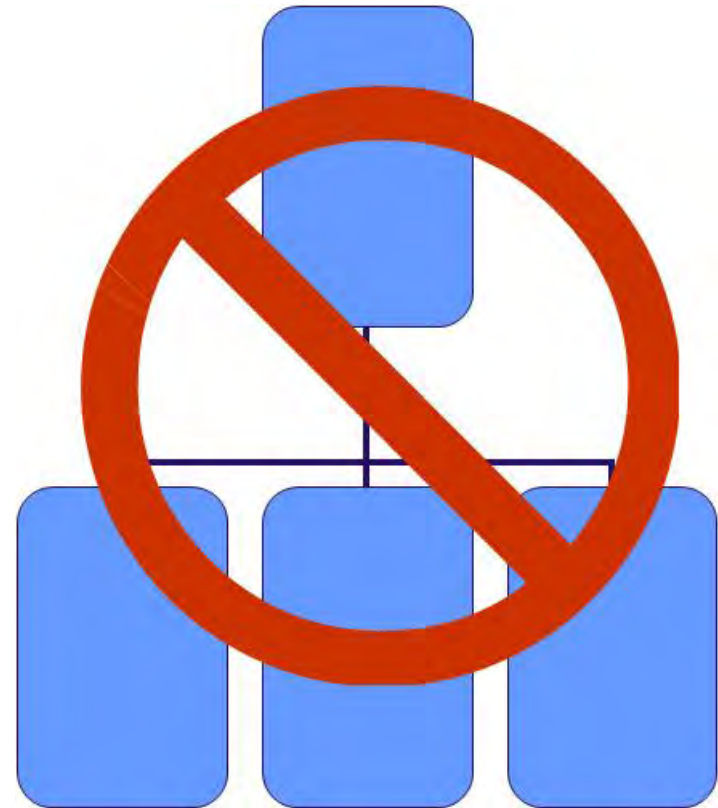
How Could I Use This in My Agency?

How could I use the tasks outlined in ISO 15489-1-8.4 in my agency?



BPA for Better Records Management

- BPA is done to find out how business is conducted in an organization
 - Which records are created?
 - What is their context?
 - How does the agency use the records?



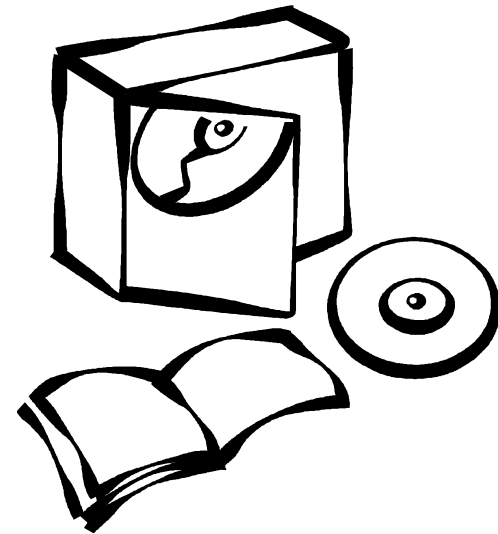
BPA is Already Happening in Your Agency

IT already uses BPA to:

- Develop a model of the future state of the process
- Define system requirements to meet user needs
- Solve any process problems

DoD 5015.2

- Provides a generic set of requirements for electronic records management applications
- Sets design criteria standards for RMA software



DoD 5015.2 (cont'd.)

Also covers requirements such as:

- Accommodating dates and date logic
- Implementing standard data (metadata)
- Ensuring backward compatibility
- Ensuring accessibility

How Could I Use This in My Agency?

How could I use the generic requirements of the DoD 5015.2 Standard in my agency?



Records Management and the SDLC

- Product Plan
- Phases
 - Concept Development
 - Requirements Definition
 - Preliminary Design
 - Detail Design
 - Development
 - Integration and System Test
 - Development and Acceptance
 - Production

CPIC Proposals for ERM Applications

If your agency is about to buy and implement an ERM system, this guidance will help you coordinate and control the ERM capabilities.

How Could I Use This in My Agency?

How could I use the decision points in the CPIC guidance in my agency?



The Federal Enterprise Architecture (FEA)

- The FEA goals are to:
 - Define and align Federal business functions and support IT via a set of common models
 - Identify opportunities to reuse IT assets across Federal agencies
 - Improve effectiveness of IT spending
- The FEA is based the government's lines of business

The Records Management Profile

- Compliance with relevant laws and regulations
- Consistent records management practices across the agency
- Improved customer service
- Real cost savings

How Could I Use This in My Agency?

How could I use the various Records Management Profile models in my agency?



Toolkit for Managing Electronic Records

The Toolkit for Managing Electronic Records is a portal where proven ERM guidance tools will be organized and regularly updated. These tools will include:

- Case studies
- Best practice documents
- Process models
- Policies and directives
- Tips and techniques
- Training programs
- Lessons learned
- Presentations

Electronic Media Storage (EMS)

- NARA can now store electronic media in an environmentally controlled underground records center at our Midwest facility
- This services are currently available in the Washington, D.C., area and at the Fort Worth Federal Records Center



Module 3: Technology, Tools, and Resources

Lesson 3: A Look to the Future

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Cloud Computing

- Cloud computing is a technology that allows users to access and share data and computing services via the Internet or a VPN
- Five essential characteristics
 - On-demand self-service
 - Broad network access
 - Resource pooling
 - Rapid elasticity
 - Measured services



Cloud Computing Challenges

- May lack the capability to implement records disposition
- Must be made aware of the record retention requirements
- Lack of formal technical standards
- Lack of portability standards
- Need to anticipate how continued preservation and access issues will be resolved

Social Media Records

- Facebook
- Wikis
- Blogs
- Social networks
- Photo libraries
- Virtual worlds
- and many more



Social Media Challenges

- Recordkeeping in a collaborative environment
- Content located in multiple places
- Ownership and control of data that resides with a third party
- Identification of records
- Implementation of records schedules
- Capture of frequently updated and complete records
- Public expectations
- Handling personally identifiable information

The Web

- It is more than a place to post, browse, and share textual information
- The Web can be:
 - A static repository
 - A dynamic repository
 - Used for communication
 - Query driven
 - Used for information interaction

Categories of Web Records

- Records relating to website development and administration
- Records relating to technical operation of a website
- Records relating to website content

Apply What You Know About Electronic Records to Web Records

- Information found on website must be managed as records
- Identify Web-related records needed to ensure trustworthiness for your website
- Use the concepts of reliability, authenticity, integrity, and usability to establish criteria to identify Web-related records needed to document agency programs

Management and Disposition of Web Records

- Manage Web records by preserving their content, context, and structure
- Include websites and website-generated records in your retention schedules
- Assess
 - Business needs
 - Risk
- Consider
 - Whether Web content is available elsewhere
 - Government accountability
 - Legal rights

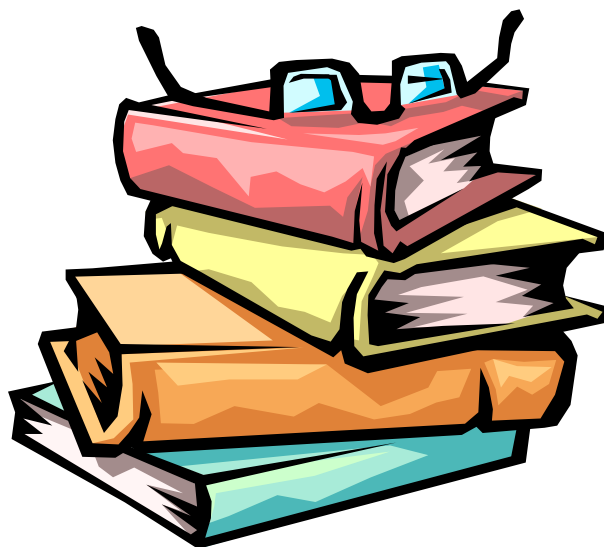
Module 3: Technology, Tools, and Resources

Module 3 Review and Wrap-Up

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Module Review



Review Activity

How Does My Agency Get There?



Applying What You Learned

Module 3 – Action Items Worksheet

